# Oracle Financial Services Operational Risk, Governance, and Compliance Management **User Guide**

*Release 8.0*
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# Oracle Financial Services Operational Risk, Governance, and Compliance Management **User Guide**

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# About this Guide

The *Oracle Financial Services Operational Risk/Governance and Compliance Management* User Guide explains the concepts of the Oracle Financial Services Operational Risk/Governance and Compliance Management (OFSOR/GCM) and provides step-by-step instructions for navigating through the application.

This chapter discusses the following topics:

- Who Should Use this Guide
- How this Guide is Organized
- Where to Find More Information
- Conventions Used

## Who Should Use this Guide

The *Oracle Financial Services Operational Risk/Governance and Compliance Management User Guide* is designed for various users of Operational Risk/Governance and Compliance Management application.

Following sections have its own set of users:

- Risk Library and Risks
- Control Library and Controls
- Incidents
- Key Indicator Library and Key Indicators
- Issues and Actions
- Scenarios
- Business Environment Scorecard
- Change Management
- Insurance Policies
- Processeses
- Information Library
- Compliance
- Admin Tasks
- Application Preferences
- Questionnaire

## Risk Library and Risks

The following user roles are defined in the Risk Library and Risks section:

- **Risk Identifier**:

  This user identifies the risks that can adversely affect the business.

- **Risk Owner**:

  This user manages most of the activities of Risks. This user can create, edit, submit, and delete risks. The Risk Owner can link Causes, Information Libraries, manage linkages and documents. This user can also create, link, and delete Issues and Actions.

- **Risk Assessor**:

  This user is responsible to assess the effectiveness of a Risk. This user can create, edit, and delete Risk Assessments. The Risk Assessor can edit Challenge in Open status and can close a Risk. This user can also create, link, and delete Issues and Actions.

- **Risk Challenger**:

  This user can challenge a Risk Assessment in Submitted status. The Challenger can create, delete, and edit Challenges.

- **Risk Audit Officer**:

  This user can audit Risks and can view all Risk details.

## Control Library and Controls

The following user roles are defined in the Control Library and Controls section:

- **Control Identifier**:

  This user is defined for Control Library. A Control Identifier identifies the control measures to be taken in order to mitigate the risks.

- **Control Owner**:

  This user manages most of the activities of a Control. This user can create, edit, submit, close, and delete controls. The Control Owner can view, create, edit, and delete Control Assessments, Attestations, and Test Plans. This user can link and delink Issues and Actions, KCIs, Information Libraries, Incidents, and other Controls.

- **Control Assessor**:

  This user is responsible to assess the effectiveness of a control. This user can create, edit, and delete Control Assessments. The Control Assessor can create and link Issues and Actions, and can edit Challenges in Open status.

- **Control Challenger**:

  This user can challenge a Control Assessment in Submitted status. The Challenger can create, edit, submit, and delete the challenges.

- **SOX Controller**:

  This user has the authority to approve control attestations. The SOX Controller can create and link issues and actions to a control.

- **Control Audit Officer**:

  This user can audit controls. This user can view the Control Assessments, Attestations, Test Plans, Test Results, and Issues and Actions.

- **Control Tester**:

  This user can create, edit, submit, and delete Test Results.

## Incidents

The following user roles are defined in the Incidents section:

- **Guest User:**

  This user identifies the Incident and creates a new Incident. A person who is outside or inside business unit can log in to the Incident module as a Guest User.

- **General Incident User:**

- The user receives a task in the Inbox to allocate it to Incident Owner depending on the Business Unit.

  **Note:** This user receives the tasks only from Guest User.

- **Incident Owner:**

  This user performs the following actions:

  - Identifies and creates a new Incident.
  - Accepts the ownership of Incidents submitted by General Incident Owner.
  - Edits an existing Incident.
  - Creates, edits, or deletes the Impacts and Recoveries. Links or delinks the Causes, Risks, Controls, KIs, Internal Incidents, External Incidents, and Insurance. Creates, and links or delinks the Issues.
  - Submits an Incident for Review or Closure depending on the Gross Loss Amount and whether the Incident is compliance/non-compliance, or legal/non-legal, or confidential/non- confidential.
  - If an Incident is closed, Incident Owner can also request for Reopening of a closed Incident.

- **Incident Reviewer:**

  This user reviews the non-compliance, non-legal, and non-confidential Incidents which have losses above the upper threshold level. After the review, the Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.

- **Confidential Incident Reviewer:**

  This user reviews the Confidential Incidents which have losses above the upper threshold level. After the review, the Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.

- **Legal Incident Reviewer:**

  This user reviews the Legal Incidents which have losses above the upper threshold level. After the review, the Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.

- **Compliance Incident Reviewer:**

This user reviews the Compliance Incidents which have losses above the upper threshold level. After the review, the Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.

- **Incident Approver**:

  This user receives the non-compliance, non-legal, and non-confidential Incidents submitted for approval by the Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, this user approves the request of the Incident Owner for reopening of a non-compliance, non legal, and non confidential Incident.

  An Incident Approver can handle both internal and external Incidents.

- **Confidential Incident Approver**:

  This user receives the Confidential Incidents submitted for approval by the Confidential Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Confidential Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, the Approver approves the request of the Incident Owner for reopening a Confidential Incident.

- **Legal Incident Approver**:

  This user receives the Legal Incidents submitted for approval by the Legal Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Legal Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, the Approver approves the request of the Incident Owner for re-opening of a Legal Incident.

- **Compliance Incident Approver:**

  This user receives the Compliance Incidents submitted for approval by the Compliance Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Compliance Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, the Approver approves the request of the Incident Owner for re-opening a Compliance Incident.

- **Operational Risk User**:

  This user uploads and edits the external Incidents and submits it to Incident Approver for Approval.

- **Incident Group User**:

  This user identifies the Incident group and creates a new Incident Group. The Incident Group User can group the Incidents into an Incident group, ungroup the Incidents from an Incident group, or delete the Incident groups.

## Key Indicator Library and Key Indicators

- **Key Indicator Library Identifier**:

  This user identifies new Key Risk Indicators, Key Control Indicators, Key Performance Indicators, and Business Environment and Internal Control Factors applicable to the organization and adds them to the Library. The Key Indicator Library records can be mapped to different Key Business Dimensions wherever it is applicable once is it entered in the Library. A Key Indicator Library Identifier can specify whether the Key Indicator Library is an Enterprise Key Indicator Library and add a few common attributes which will be applicable across all BUs where the Key Indicator Library is instantiated. A Key Indicator Library Identifier can also close their respective records.

## Issues and Actions

The following user roles are defined in the Issue and Actions section:

- **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 the 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 can also reopen the completed actions.

- **Action Owner:**

  This user is responsible for assessing the actions created by the Issue Owner, working on the entire 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.

## Scenarios

The following user roles are defined in the Scenario section:

- **Scenario Identifier**:

  This user manages the day to day scenario tasks and manages the scenario actions such as creating scenarios, mapping scenarios to business units, and updating scenarios. The Scenario Identifier also performs tasks such as viewing scenarios, deleting scenarios, adding and deleting documents to a scenario, assessing scenarios, managing linkages, and deleting issues and actions, reviewing scenarios and closing scenarios.

- **A Scenario Approver**:

  This user approves or rejects scenarios, attaches and deletes documents to scenarios and create, link, delink, and delete issues and actions.

## Business Environment Scorecard

- **BES Identifier**:

  This user identifies the environmental factors which affects the business of an organization. Based on the impact of these factors, this user gives them a score, and creates scenarios, risks, and risk appetite statements as per the scores.

## Change Management

The following user roles are defined in the Change Management section:

- **Change Initiator**:

  This user can create and edit a change initiative, monitor the risks and controls associated with the change initiative, update the progress, and track the change initiative to completion.

- **Change Initiative Stakeholder (Approver)**:

  This user can approve or reject a change initiative requested by a Change Initiator for completion.

- **Risk Owner**:

This user can link risks associated with the initiated change initiative.

## Insurance Policies

- **Insurance Owner**:

  This user manages the insurance policies in an organization. This user keeps track of day-to-day updates of every Insurance Policy. The Insurance Owner captures, maps BUs, and renews the closed insurance policies.

## Processeses

The following user roles are defined in the Processes section:

- **Process Identifier**:

  This user identifies processes and assigns to Process Owner. The Process Identifier can view, create, edit, submit, and delete Processes. Additionally, this user can link and delink Issues and Actions to Processes, view Processes assessments, and attestations. This user can also create Risks, Controls, and Key Indicators (KIs).

- **Process Owner**:

  This user can view, create, edit, submit, and delete Processes. The Process Owner can create and link and delink Issues and Actions to Processes. The Process Owner can view, create, edit, and delete Processes Assessments and Attestations. This user can also create Risks, Controls, and Key Indicators (KIs).

- **SOX Controller**:

  This user can view Processes Assessments and Attestations and also approve Processes Attestations. The Sarbanes-Oxley Act (SOX) Controller can view Processes and create, view, and link and delink Issues and Actions to Processes.

- **Audit Officer**:

  This user can audit Processes and also view Processes Assessments and Attestations. The Audit Officer can view Processes, as well as view Issues and Actions linked to Processes.

## Information Library

The following user roles are defined in the Information Library section:

- **Library Creator**:

  This user creates, edits, and links Library.

- **Library Approver**:

  This user approves and Rejects library records, edits library records in Open status, and uploads reference documents.

## Compliance

The following user roles are defined in the Compliance section:

- **Compliance Identifier:**

  This user manages the entire process involved in Regulations or Policies. The Compliance Identifier creates, edits, deletes, and closes Regulations or Policies and also links and delinks to an Obligation Library.

- **Obligation Identifier**:

This user manages the entire process involved in Obligation Library. The Obligation Identifier creates, edits, deletes, and closes Obligations and also links and delinks Regulations or Policies.

- **Obligation Owner**:

  This user can view Obligation details, create Issues, link and delink Issues and Actions, Risk,Controls, KI's, and Incidents.

- **Obligation Assessor**:

  This user creates, edits, and deletes Obligation assessments. The Obligation Assessor can view Obligation details, create Issues, and link and delink Issues and Actions.

- **Chief Executive Officer (CEO)**:

  This user manages the entire process involved in SOX 302/404 Certification. The CEO creates, edits, deletes, and asserts SOX 302/404 Certification and also links Process and Controls to SOX 302/404 Certification.

### Admin Tasks

- **Administrator**:

  This user manages the Admin features in an organization. This user configures, maintains, and performs tasks that are applicable across the organization.

### Application Preferences

- **Administrator:**

  The Administrators can define the settings used throughout the application, including Workflow, User Interface, Issues and Actions functionality, and Risk Assessment functionality.

### Questionnaire

- **Questionnaire Creator**:

  This user is responsible for performing all actions pertaining to Questions Library and Questionnaire Library.

## *How this Guide is Organized*

The *OFSOR/GCM User Guide* includes the following topics:

- Chapter 1 *About OR/GCM,* describes Oracle Financial Services Operational Risk or Governance and Compliance Management application, its workflow, and user roles and actions.
- Chapter 2 *Getting Started,* explains how to access and login to the application.
- Chapter 3 *General Features,* explains the general features of Oracle Financial Services Operational Risk or Governance and Compliance Management. These are the common features that are found across all modules.
- Chapter 4 *Managing Risk Library and Risks,* gives detailed information on Risk Library and Risks such as user roles and actions, tasks and notifications, managing details, and so on.
- Chapter 5 *Managing Control Library and Controls,* describes the about Control Library and Controls and its user roles and other aspects. Explains about creating, closing, and other features of Control Library and Controls.

- Chapter 6 *Managing Incidents,* describes how to manage Incidents module including how to search, create, reject, and review Incidents.
- Chapter 7 *Managing Key Indicator Library and Key Indicators,* provides complete information about managing Key Indicator module, user roles and action and so on.
- Chapter 8 *Managing Issues and Actions,* describes the Issues and Action workflow, and explains how to create, and manage Issues and Actions.
- Chapter 9 *Managing Scenarios,* provides information on the Scenarios module including different reports generated in this module, and also explains how to create, edit, and manage Scenarios.
- Chapter 10 *Managing Business Environment Scorecard,* explains the Business Environment Scorecard and its salient features. It also describes about creating, copying, and revising Business Environment Scorecard.
- Chapter 11 *Managing Change Management,* discusses about change management, which enables you to create a change initiative, monitor the risks and controls associated with the change initiative.
- Chapter 12 *Managing Insurance Policies,* explains information about Insurance Policy and how to perform various actions in the Insurance module including its user roles and actions.
- Chapter 13 *Managing Processes,* describes about Processes details. Discusses about tasks and notifications, user roles and action, and other features of Processes module such as creating, editing, and deleting Processes.
- Chapter 14 *Managing Information Library,* discusses about the detailed information about information library, which acts as a repository of information and helps an organization to manage their information assets.
- Chapter 17 *Managing Compliance,* provides step-by-step instructions to use compliance module and explains user roles and action and workflow.
- Chapter 18 *Managing Admin Tasks,* describes how to map and configure user roles and actions. This module also gives information on delegating, universal search, and access rights.
- Chapter 19 *Managing Application Preferences,* explains you how to manage the workflows of each module of OFSOR/GCM, manage field names, messages, screen name, and so on.
- Chapter 20 *Managing Questionnaire,* provides information about the Questionnaire module such as Questionnaire Library and Questions Library.
- Chapter 23 *Managing Dashboards,* explains Oracle Business Intelligence Enterprise Edition (OBIEE) which enables the user to access the dashboard reports.
- Chapter 24 *Managing Extensibility and Adaptability,* describes how to extend the existing user interface components, as well as adapt the user interface components to the required look and feel, without the need of undertaking customization as an implementation task.

## *Where to Find More Information*

For more information on Oracle Financial Services Operational Risk/Governance and Compliance Management, refer to the following documents:

- *Oracle Financial Services Operational Risk/Governance and Compliance Management 6.0 Release Notes*: This guide details the highlights of the Oracle Financial Services Operational Risk/Governance and Compliance Management 6.0 release.

To find additional information about how Oracle Financial Services solves real business problems, see our Web site at www.oracle.com/financialservices.

## Conventions Used

Table 1 lists the conventions used in this guide.

**Table 1. Conventions Used in this Guide**

| Convention | Meaning |
|---|---|
| *Italics* | • Names of books, chapters, and sections as references<br>• Emphasis |
| **Bold** | • Object of an action (menu names, field names, options, button names) in a step-by-step procedure<br>• Commands typed at a prompt<br>• User input |
| `Monospace` | • Directories and subdirectories<br>• File names and extensions<br>• Process names<br>• Code sample, including keywords and variables within text and as separate paragraphs, and user-defined program elements within text |
| <Variable> | Substitute input value |

# CHAPTER 1 About OR/GCM

This chapter provides a brief overview of Oracle Financial Services Operational Risk (OR) or Governance and Compliance Management (GCM).

This chapter discusses the following topics:

- Overview of OR/GCM
- Important Features in OFSOR
- Important Features in OFSGCM
- OR/GCM Flow

## Overview of OR/GCM

OR and GCM solution provides a comprehensive framework to manage governance, risk, and compliance across the organization. The solution is built on Oracle Financial Services Analytical Application Infrastructure, the industry's only integrated business infrastructure designed to serve Enterprise Risk, Performance, Compliance, and Customer Insight requirements. Oracle Financial Services Analytical Applications use a commonly available

analytical infrastructure consisting of a unified financial services data model, analytical computations and the industry-leading Oracle Business Intelligence platform.

## Important Features in OFSOR

OFSOR provides the following features to help organizations manage their operational risk:

- Business Environment and Scorecards
- Risk and Control Assessments
- Incident Management
- Key Indicators
- Issues and Actions
- Scenario Analysis
- Change Initiatives
- Business Unit Risk Profile
- Other Features

## Business Environment and Scorecards

OFSOR begins with an assessment of the business environment to understand and arrive at the strategic objectives of an organization. It also helps in understanding the core business processes that exist to support those objectives and the various internal and external factors influencing these objectives. The Business Environment Scorecard (BES) assists in determining the impact that these specific factors may have on a Business Unit. It also enables to capture business objectives, which helps identify the risks that threaten the achievement of those objectives.

## Risk and Control Assessments

OFSOR drives a very effective risk and control management methodology within the organization. The application allows for recognition, assessment, and control of operational risks impacting various categories of risk inventory (for example, Credit, Traded, Non-traded, Market, and so on) that impact the strategic objectives of a business unit. Central libraries for risks and controls are available to ensure consistency in the management of risks and controls within the organization. The application allows for top down and bottom up instantiation of these risks and controls across various dimensions such as lines of business, locations, products, processes, and so on. Allowing the assessments to take place at various granularities in the organization.

Multiple assessment methodologies such as questionnaire, formula-based, or manual assessments are supported within the application with the ability for an oversight user to challenge the assessment. A thorough linkage capability to other entities such as key indicators, internal and external loss events, obligations, and so on offers a complete view for users to make informed decisions.

Risk Event Types allow for consistent identification and reporting of risks across the organization. The OFSOR also offers a completeness check for risk identification by risk event types allowing businesses to review whether or not specific risks are applicable to them and reconcile it with losses for those risks.

## Incident Management

Incident management functionality enables systematic gathering and analysis of loss data as per the requirements mandated by Basel II regulations. This functionality is addressed by an extensive multi-stage configurable workflow to manage the lifecycle of an event including incident investigation, approval, ownership, review, and closure.

The system captures different types of incidents such as Actual Loss, Near Miss, Estimate, and Provisional Losses. Additionally, the loss is captured under a cause, event, and effect paradigm. As such, the bank can classify the losses based on a causal category or classify losses based on the risk event types, and its multiple effects with recoveries in a multi currency environment. The incidents are captured at the granularity of Business Unit, Location, Risk Category, Product, and Process across the organization. Furthermore, to enable proactive operational risk management and to enable the 360-degree view of risk, the captured incidents can be linked to Risks, Controls, Internal Incidents, Key Risk and control Indicators, and Issues and action plans. The application also helps capture confidential compliance and legal incidents and offers a different workflow and approval process from the respective departments.

A whistle-blowing capability is also provided to record Incidents through a concept called Guest Users which is then routed to the Loss Manager who verifies and enriches the loss details to push it through the typical lifecycle of Incidents.

The application also provides banks with the ability to integrate external loss events from organizations such as ORX and BBA Gold to help benchmark themselves against their peers.

## Key Indicators

OFSOR allows use of Key Indicators (KIs) as quantitative measures to monitor individual Risks and to determine the effectiveness of Controls. It is used as a mechanism for risk monitoring. Key Indicators can be simple, based on a single measure or can be a calculated value from various measures joined by a formula behind it. The measures can get their values from both internal and external sources. The application allows users to define various levels of thresholds depending on the level of analysis required. KI values are compared against threshold ranges defined. This determines the Red Amber Green (RAG) status of the KI. Various notifications and tasks can be sent to appropriate stakeholders depending on the level of the KI value breach. The RAG status can be used as an indicator of the effectiveness of the Controls on the Risk. KIs can be used to ensure that risk exposures are adequately monitored and allow corrective actions to be taken before significant risks occur.

## Issues and Actions

OFSOR allows Issues to be created from any module in the application (for example, Risks, Controls, Loss event, Key Indicators, Compliance, and so on) and added to the issue tracking capability. It allows defining Actions (remediation for issues) to be created, assigned and then routed through a completion workflow. The Issue and Action capability can also be used independently to address various audit activities. Actions can further split into multiple activities for better management of large and long-lasting actions. Individual actions are reviewed and once all actions associated with an issue are complete, the issue gets closed. Delegation, re-assignment, transfer of ownership, reminders, and escalations for action completion are available and are fully addressed by an auditable workflow.

The application also allows a configurable option of turning off issue creation and management and instead directly creating actions against the entities such as Risks, Controls, and so on.

Each Issue and Action can record associated costs to enable the organization to review the business from a financial angle to further focus resources and management attention.

## Scenario Analysis

OFSOR provides scenario analysis of top risks with links to individual risks and assessments to help the institution consider potential outlier risks, using a workshop analysis approach. Scenario analysis is a forward-looking methodology and is used to evaluate the typical and worst case impact and likelihood of extreme but plausible risk events across the whole firm. The assessment of the scenarios can be done differently for each of the impacted business units, allowing more granularities. The assessments provide the four point estimate for scenarios which is a key input to capital modeling.

## Change Initiatives

OFSOR allows managing change initiatives, which is quite frequent in any organization. The Change module is the central repository for capturing various types of change initiatives in the organization such as a new product launch, a regulatory change, new IT system, and so on. It is vital to identify and manage the execution and delivered risks associated with change initiatives to ensure the delivery of the objectives behind the change. Change Initiatives are evaluated through a change decision tree to get a recommendation of the risks to be considered, appropriate stakeholders for the change and the materiality of the change. It ensures that every risk owner performs a delivery risk assessment of the change with respect to each of the associated risks, through a workflow. The workflow also obtains sign-off from all relevant stakeholders. The application generates a detailed risk profile for the business unit, showing how the change impacts the risk profile of the business unit.

## Business Unit Risk Profile

OFSOR allows business managers to proactively evaluate a complete risk profile for each business unit across the firm, with detailed information on risks, controls, KRIs, regulations and obligations, and changes being made as a result of projects, and from outstanding action plans. When generating the risk profile, the application allows specific filters to be applied and saved to consider entities based only on specific categories or themes. Firms can monitor trends through KRIs and other factors as changes to systems, improvements to controls, in processes, or other external events that could impact the level of future losses, and thereby operational risk capital. From this complete 360° view, managers are able to plan ahead and proactively manage risks and protect reputation and capital accordingly. This application gives a bird's eye view of everything a business manager or other senior level person needs to know about each business unit in the organization.

## Other Features

Following are some additional features:

- Dashboards
- Questionnaires
- Planning and Scoping
- Administrative Capabilities
- Configurability

### Dashboards

OFSOR comes with an extensive library of pre-defined dashboards and reports for every entity in the system. A few examples are risk and control heat maps, assessment across various business units and jurisdiction, incident analysis, issue and action tracking, KI trends, and so on. Reports can be saved in and exported in any standard formats.

### Questionnaires

OFSOR offers a rich questionnaire capability to achieve various functionalities with the application. Basic, Score-based, and Decision Tree questionnaires are supported. Questionnaires assist in assessment, attestations, and other functionalities by allowing ratings to be based on opinion from a large user community. Questionnaires are fully configurable by users.

### Planning and Scoping

OFSOR gives organizations the ability to drive assessments of risks and controls or any other entities in the application on a scheduled basis through auto-generated workflow requests to assessors. These can be based on preset dates, eliminating human interventions for all planned assessment cycles. The module automatically detects multiple schedules for the same entity and provides recommendations to avoid assessment fatigue.

### Administrative Capabilities

OFSOR offers very exhaustive administrative capabilities like reference data maintenance, financial impact scales maintenance, delegation, user authorization, user preferences, and search preferences to offer flexibility to users.

### Configurability

OFSOR offers significant configurability to the customers through tools such as Forms Manager and Workflow Manager, which can be used by customers to configure their own screens and workflows.

## *Important Features in OFSGCM*

OFSGCM provides the following features to help organizations manage their governance and compliance:

- Governance and Compliance Management
- Provide Insight across the Enterprise
- Fully Manage End-to-End Audit Processes
- Drive Regulatory Compliance and Management
- Organize Enterprise-wide Business Continuity Management

### Governance and Compliance Management

OFSGCM takes the core operational risk solution to the next level where the Audit teams can oversee and review all risks and controls across lines of business, while recording their notes or opinion and ratings. This allows them to bring weaknesses to the attention of business managers in order to fulfill their role as the third line of defense.

The Business Continuity Managers can develop business continuity plans in conjunction with the business for each part of the firm's operations. Through these plans they have hard evidence of the level of dependencies on things like IT systems, outsourced services and suppliers, and the impact on business from the failure of any one dependency.

The Compliance Managers need to know various regulations wherever the firm does business. This application allows them to make sure each part of the business knows how those regulations directly affect them, as well as ensuring that those regulations are fully complied.

### Provide Insight across the Enterprise

OFSGCM complements and makes use of all features and functions of OFSOR to extend the power of business managers to prepare for the unexpected and to ensure business acts within internal policies and external regulations.

With so much information about the different risks and controls faced by each part of the business, the business continuity recovery planning and relevant regulations and changes that are impacting each part of the business are vastly important to track and monitor. The application provides a 360 degree view of data and knowledge that a business head needs to know.

Operational risk is not just about having the knowledge of risks and controls, and conducting periodic assessments. It is about fully understanding and managing risks. Every day it is possible to read about a competitor that faces a large loss for a variety of reasons.

To avoid following the same path, financial institutions need to do the following:

- Stay focused and be proactive
- Be thinking ahead on what might happen

- Challenge presumptions and use knowledge from one part of the business to benefit another
- Fully comprehend dependencies on systems, and where products are being sold to customers. Are they being sold in the right way and to the right people

By collecting all these facts together in one system, in an integrated fashion, and presenting it in an easy to understand manner OFSOR will benefit all parties involved.

## Fully Manage End-to-End Audit Processes

Managing the audit process is a very important aspect to be compliant with policies and procedures, and ensuring operational risks are kept to acceptable levels. OFSGCM audit teams have the proper tool at their fingertips to successfully review this entire process. With an integrated Governance, Risk, and Compliance (GRC) framework, this application can help with the following:

- Create Audit Plans across business units, processes, or themes as IT Security
- Oversee when a risk-based audit was last conducted and know the audit rating which was applied
- Schedule the next visit, define the scope and objectives of that visit and assign the people responsible for conducting the audit
- Manage audit resources

When an Audit is assigned to an auditor, a workflow is begun within the application that aids this process. The Auditor then uses work papers to record audits and assessments across all types of incidents, risks, controls, processes, and business units.

An Audit is complete when the findings have been approved, and the Line of Business manager has had the opportunity to comment and agree on audit actions. This entire process can be monitored through completion, in a dashboard and reports, to make sure that all steps are accomplished and the Audit can be deemed complete.

## Drive Regulatory Compliance and Management

Overseeing new and existing regulations is an arduous task that should not be taken lightly. There are a variety of steps that go into this process and a system to track and manage all steps is required to be successful. OFSOR brings relevant details of all policies and regulations together with specific obligations under these policies and regulations, to the attention of all business units. It helps everyone understand which parts of the business these regulations and obligations affect and understand where the business has overlooked their responsibilities.

As part of the overall process, the application tracks and knows which controls are used to ensure each business unit is compliant with each obligation. You can use test plans to check that the control is not just designed well in theory but works in practice too.

Finally, the Chief Compliance Officer can see that all parts of the overall business are compliant with each regulation and have confidence in judgment when it is reported to the Board and Regulators.

### Organize Enterprise-wide Business Continuity Management

It is imperative the lines of business do not work in individual silos, especially when it comes to Business Continuity Management.

Managers must see that business continuity plans are created, tested, and approved. It needs to be easy to identify key dependencies on systems, other operating units, processes, and premises and ensure minimum disruption times for each dependency when defining recovery plans.

OFSGCM allows each dependency to be individually tracked and managed, and then to understand how critical the resource is to various businesses. The next step is to ensure each dependency has its own recovery plan appropriate to its criticality and minimum tolerable disruption time while appropriate controls and test plans are created around these risks.

## *OR/GCM Flow*

Following diagram shows detailed flow of OFSOR/GCM application.

**Figure 1. Searching Risk Library Search using Basic Search**

# CHAPTER 2 Getting Started

This chapter explains different steps to login to the OFSOR/GCM application.

## Logging in to the OFSOR/GCM Application

Once the application is installed and configured, you can access OFSOR/GCM through the Web Browser or through the Oracle Financial Services Analytic Application (OFSAAI).

To access OFSOR/GCM from OFSAAI, follow these steps:

1. Enter the OFSAAI URL in your browser. The OFSAAI Login page displays.

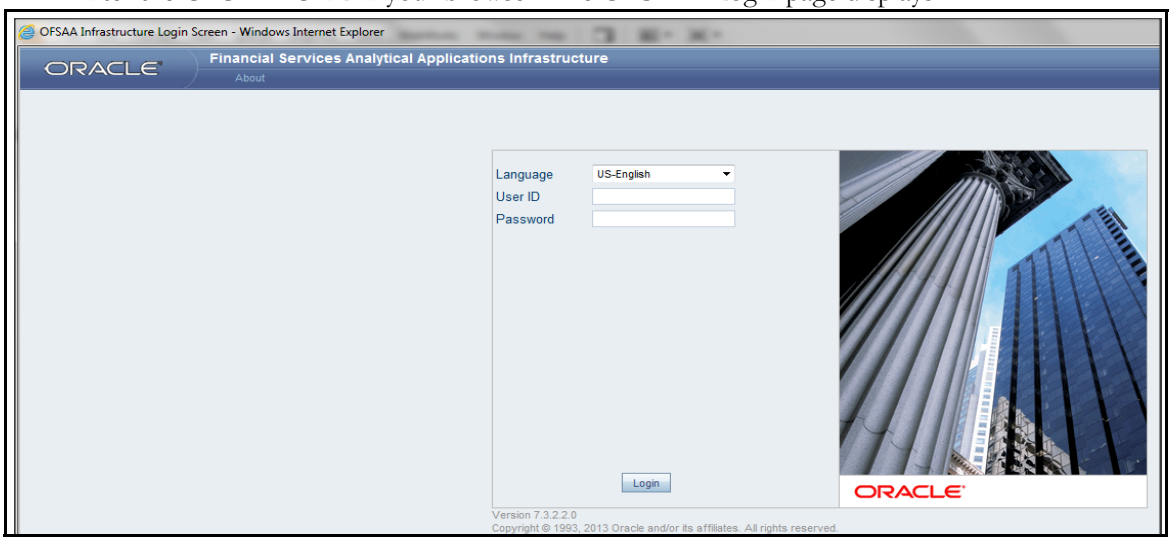



**Figure 2. OFSOR/GCM Application Login**

2. Select the **Language** from the Language drop-down list.
3. Enter your **User ID** and **Password**.

4. Click **Login**. The OFSAAI page is displayed.

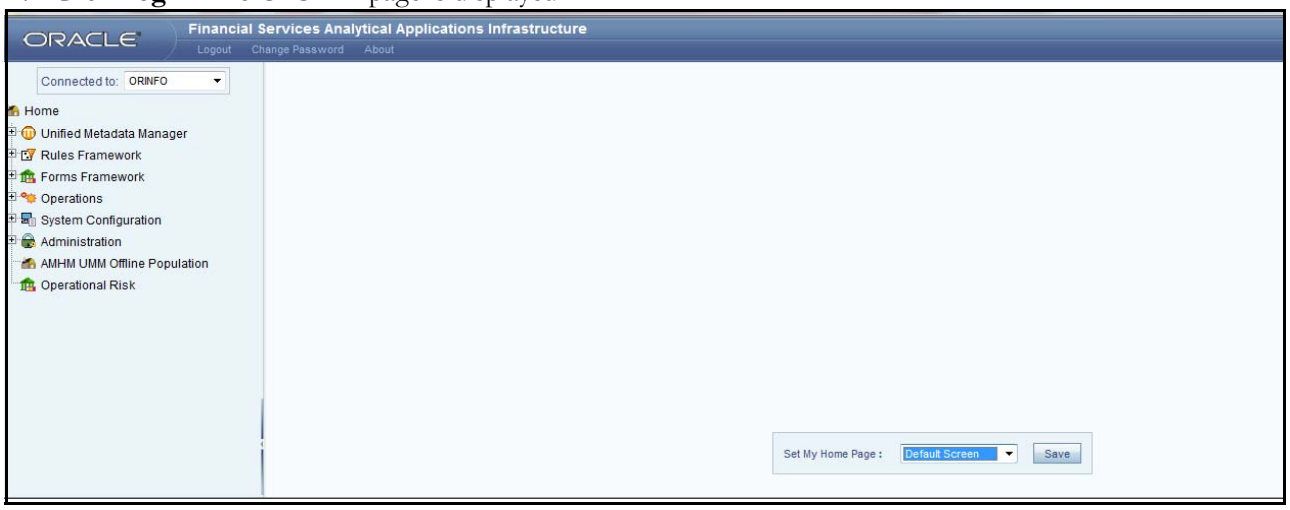



**Figure 3. OFSAAI Page**

5. Click **Operational Risk** or **Governance Compliance Management**. The Oracle Financial Services Operational Risk or Governance and Compliance Management Home page is displayed.

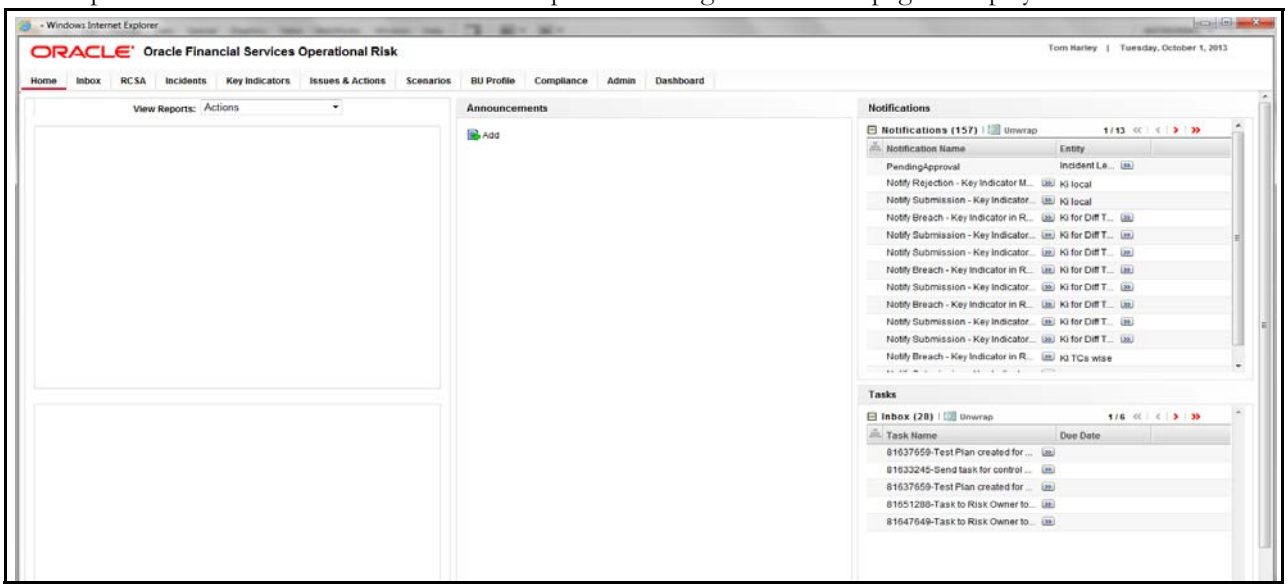



**Figure 4. OFSOR Home page**

# CHAPTER 3 General Features

This chapter explains the general features of OFSOR/GCM application. These are the common features that are found across the modules of OFSOR/GCM 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
- OFSOR/GCM Common Screen Elements
- Managing OFSOR/GCM

## *Managing OFSAAI Home Page*

This section describes how to manage the Oracle Financial Services Analytical Application Infrastructure Home page. Any user logging in to OFSOR/GCM 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)

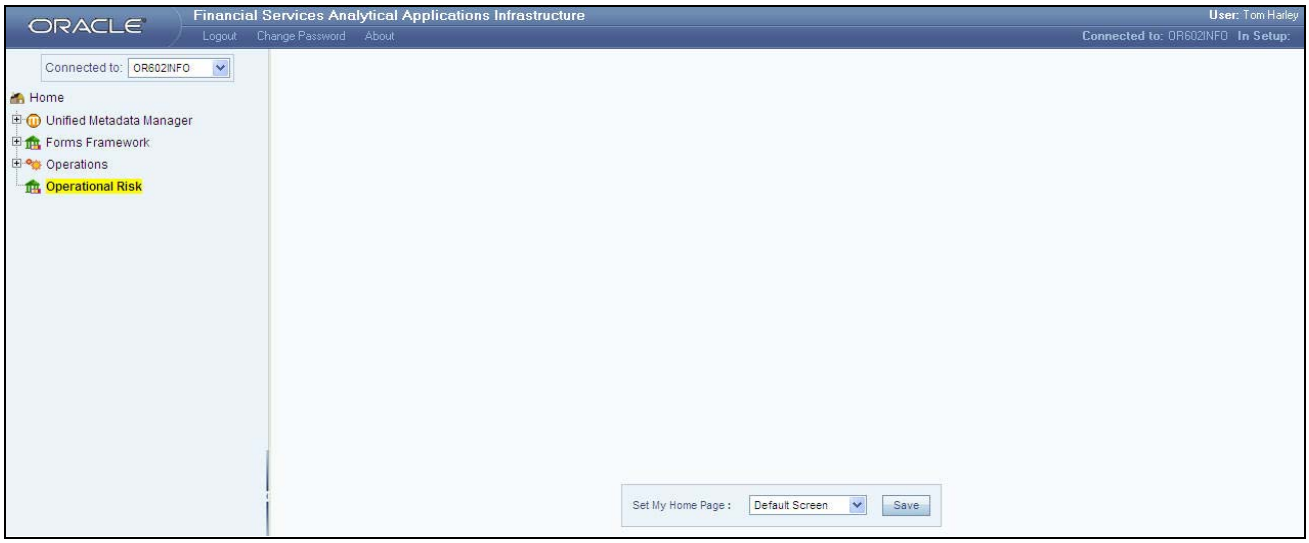



**Figure 5. OFSAAI Home Page**

### 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 **Operational Risk** in the LHS Menu, the OFSOR 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.

## *OFSOR/GCM Common Screen Elements*

This section describes the common screen elements of OFSOR/GCM.

The following tables lists the various icons and buttons in the OFSOR/GCM 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, only the first few characters 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 expanded, 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. |
| | 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. |

**Table 2. Screen Elements**

| Icon/Button | Name | Description |
|---|---|---|
| View More | 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 | 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 | Click this button to display the calendar. You can select a date from the calendar. |
| | 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 | Save Draft | Click this button to save a draft version of a record. |
| Edit | Edit | Click this button to edit the details of a record. |
| Update | Update | Click this button to update the changes made to a record. |
| Submit | Submit | Click this button to submit a record. |
| Cancel | Cancel | Click this button to cancel an action. |
| Close | Close | Click this button to close a page or windo w. |

## *Managing OFSOR/GCM*

This section describes how to manage the Oracle Financial Services Operational Risk 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 OFSOR. 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

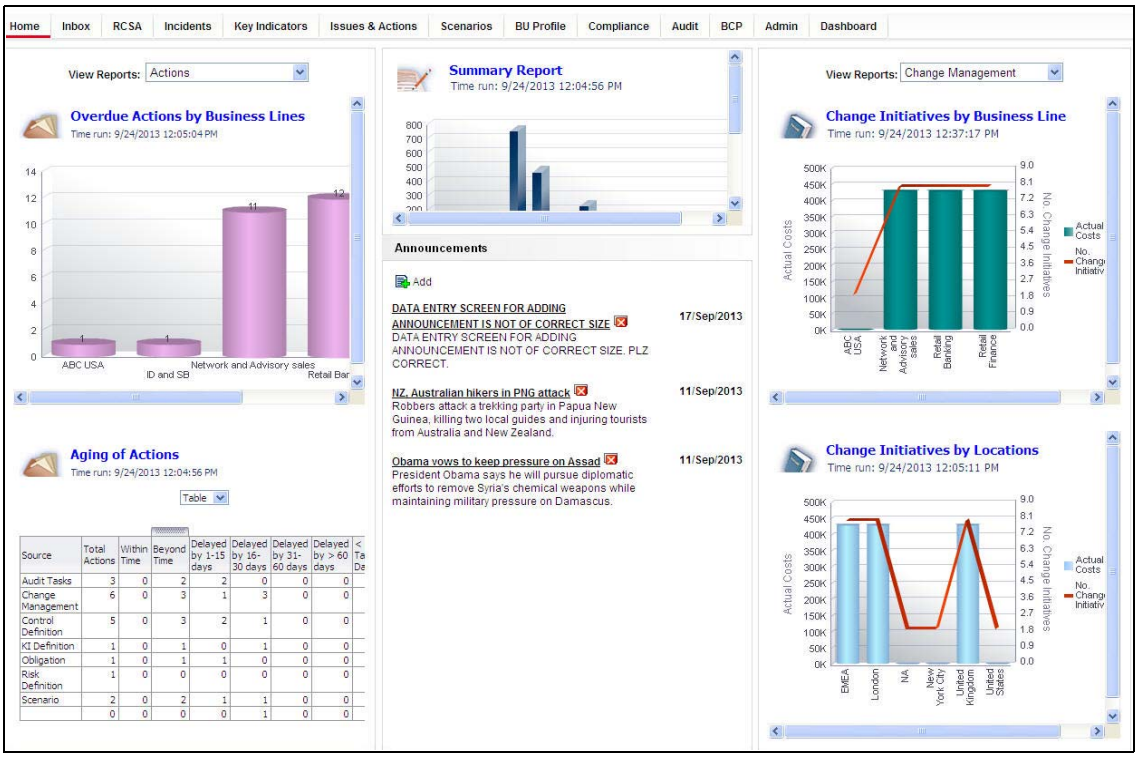



**Figure 6. OFSOR Home Page for Top Management Users**

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

- Reports
- Announcements
- Summary Report
- Notifications
- Tasks

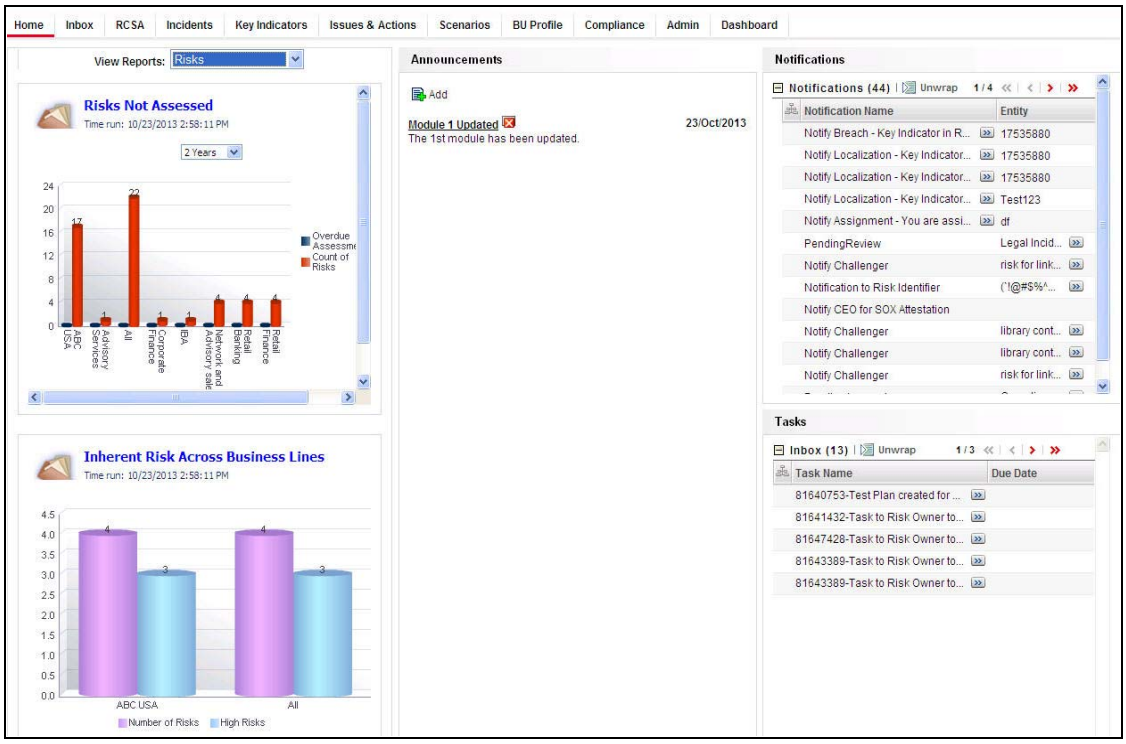



**Figure 7. OFSOR Home Page for Other Users**

## 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 OFSOR. This section displays announcements and organizational updates related to OFSOR. 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 OFSOR Home page.
2. Click **Add** in the Announcements section. The Add Announcement window is displayed.




**Figure 8. 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 OFSOR 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
- Reassigning Tasks

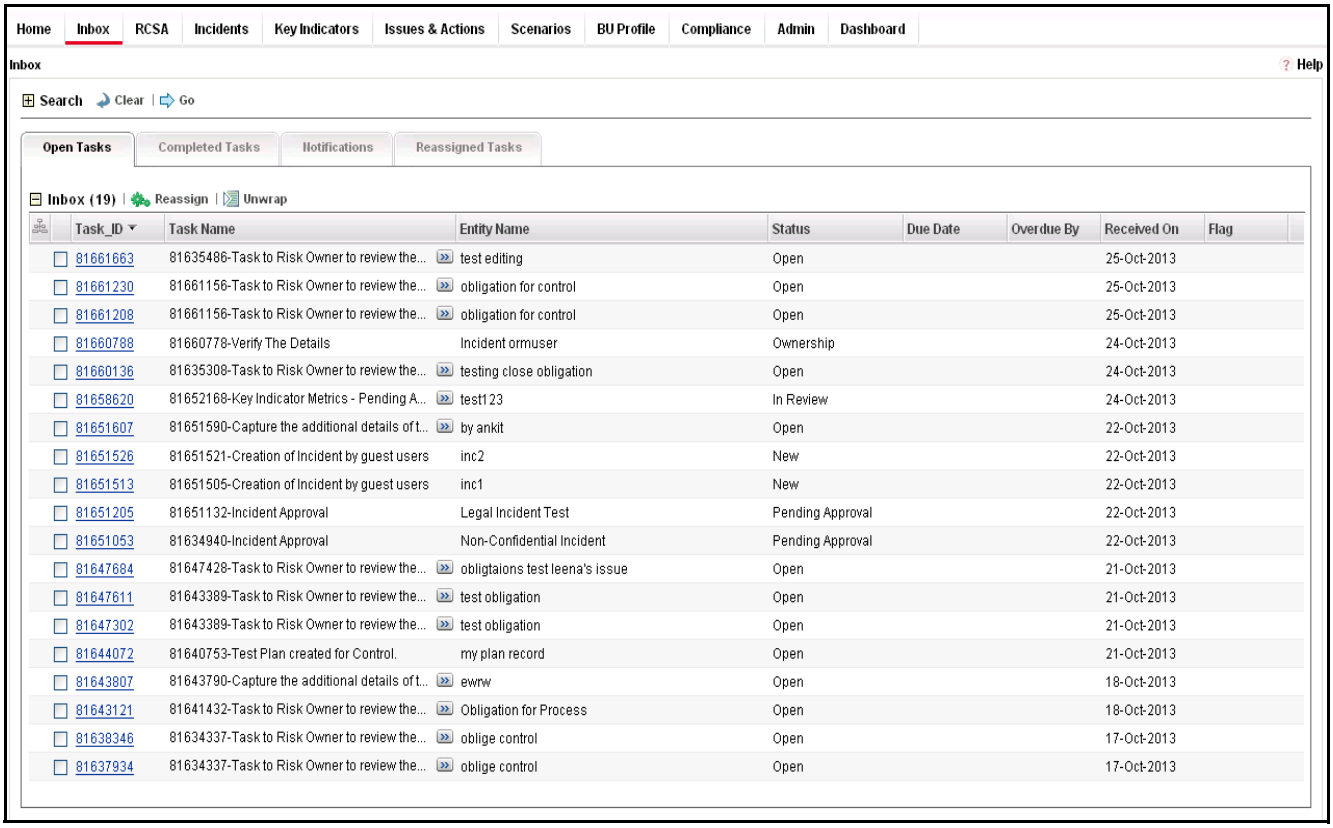



**Figure 9. Inbox**

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.

### *Completed Tasks*

This tab displays tasks which have been performed or completed by the user.

### *Notifications*

This tab displays notifications sent to the user for information.

### *Reassigned Tasks*

This tab displays tasks which were not performed by the actual receiver and are reassigned to a different user.

## 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 OFSOR.
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:<br><=<br><<br>=<br>><br>>=<br><br>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.*

### Reassigning Tasks

This feature helps reassign certain task to a different user who is mapped to the same role as the logged in user.

To reassign a task, follow these steps:

1. Login to OFSOR. The OFSOR Home page is displayed.
2. Click **Inbox**. The Inbox page is displayed.
3. Select a task and click **Reassign**. The Re-assign Task window is displayed.

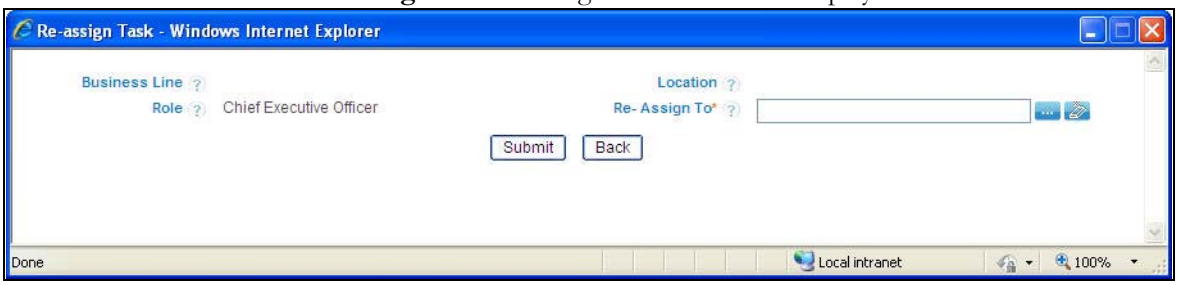



**Figure 10. Re-assign Task**

4. Click the hierarchy browser icon beside the Re-Assign To box. The hierarchy browser is displayed.

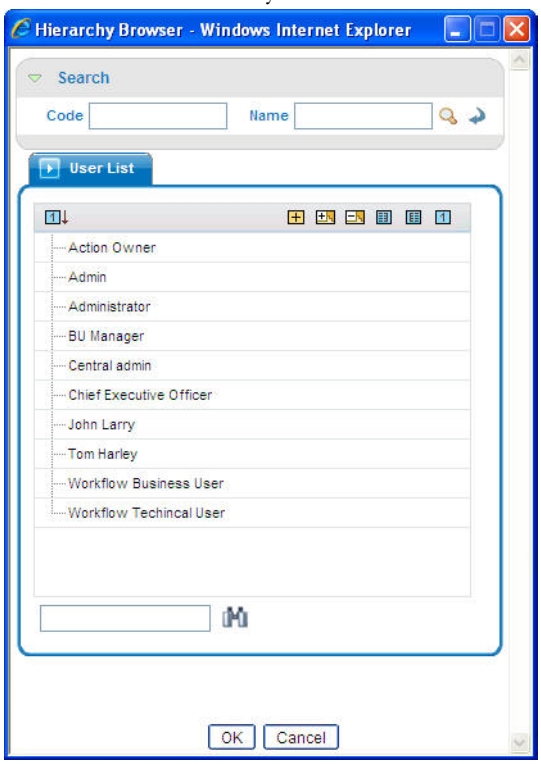



**Figure 11. Re-assign Task Hierarchy Browser**

5. Select the appropriate user and click **OK**. The Re-assign Task window is displayed.
6. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The Re-assign Task window is displayed.
7. Click **Back** to return to the Inbox.

   The task is moved to the Reassigned Tasks section.

## 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

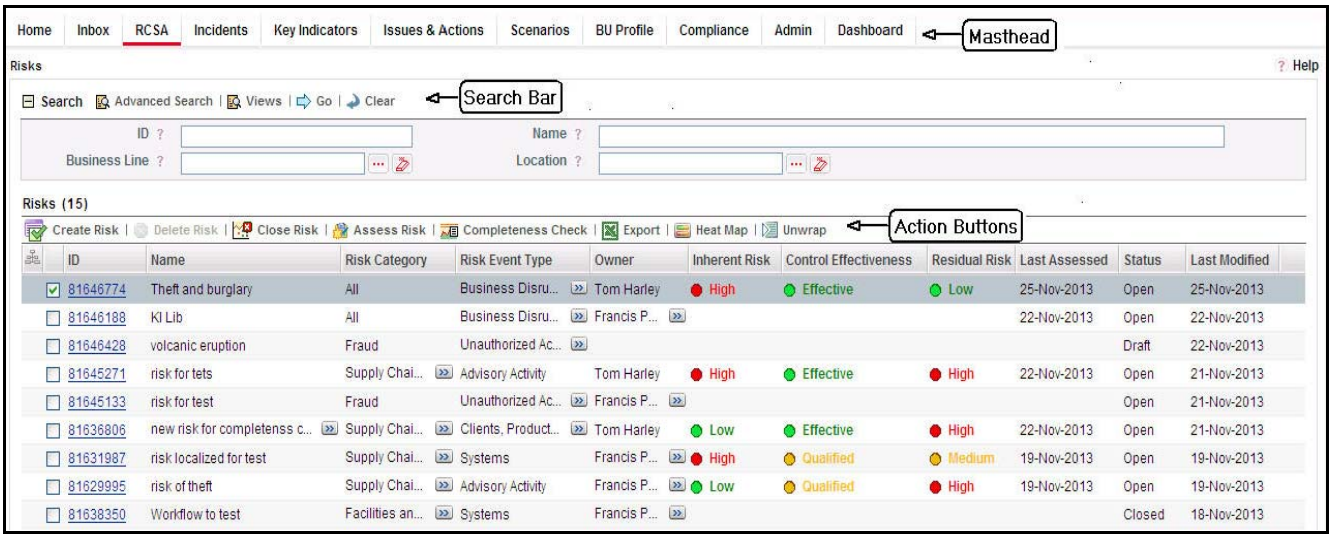



**Figure 12. Search and List Page**

### *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.




**Figure 13. Navigation Path**

### *Page Help*

Page level help is provided in all screens of OFSOR. 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 14. 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.

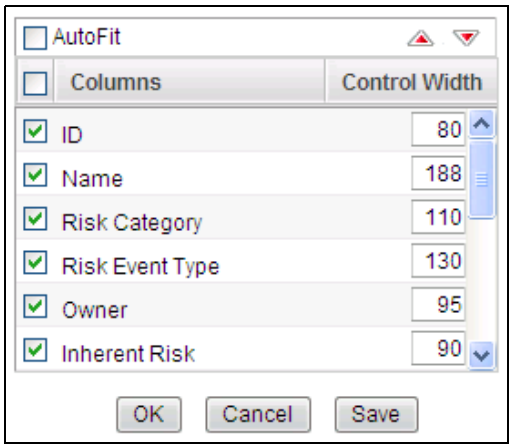



**Figure 15. Field Chooser window**

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 16. 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

OFSOR 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.

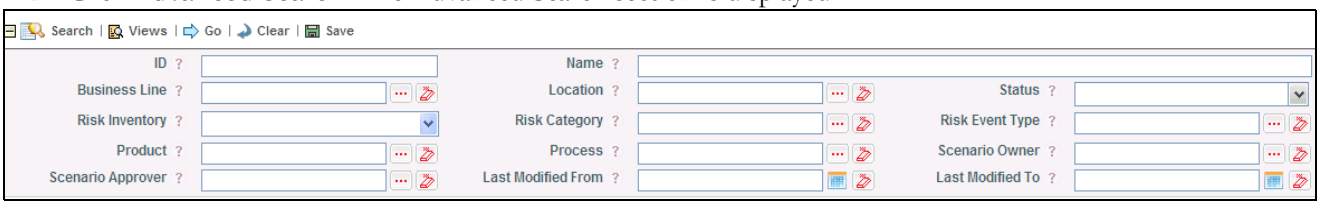



**Figure 17. Advanced Search Section**

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

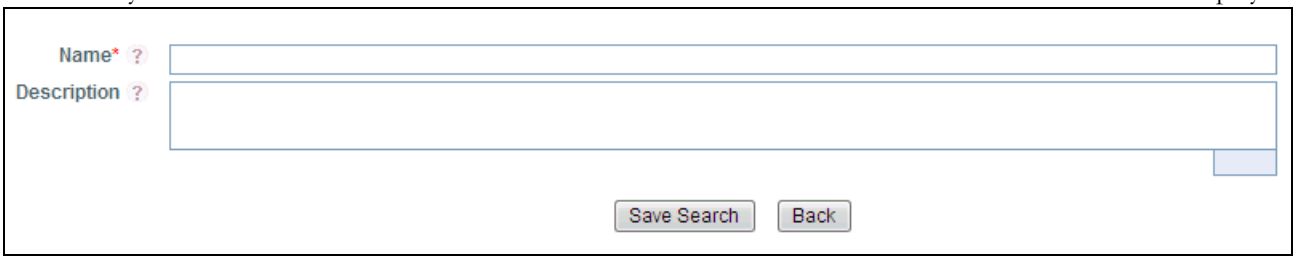



**Figure 18. Save Search Window**

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.

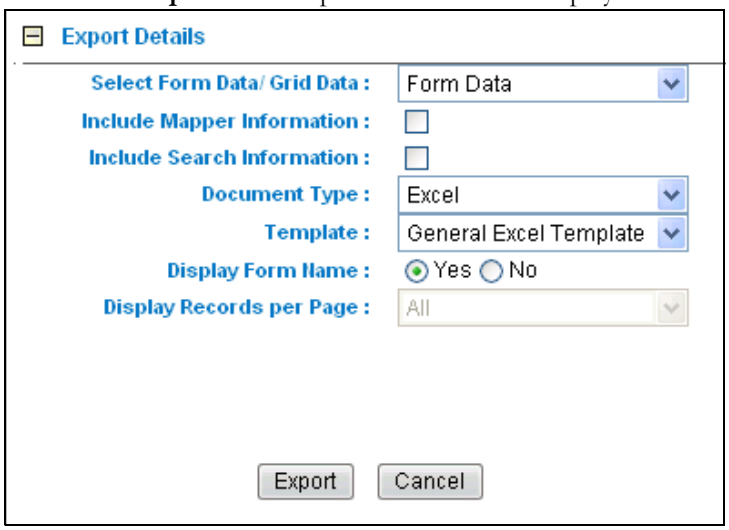



**Figure 19. Export Details Box**

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

**Table 3. 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. |
| Display Records per Page | Select the number of records per page from the drop-down list. |

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

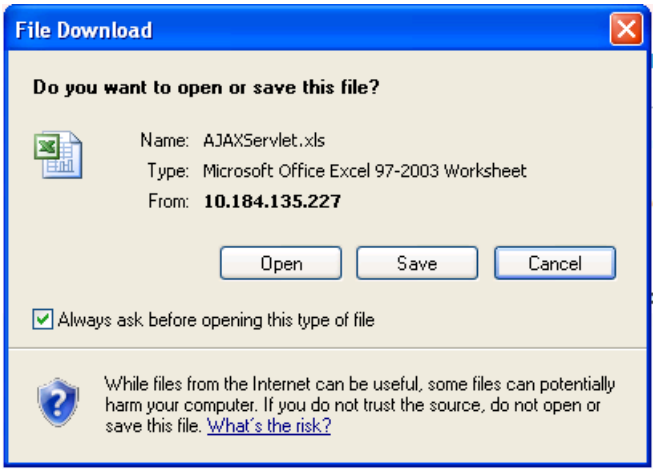



**Figure 20. File Download Box**

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
- Managing Linkages
- Managing Documents
- 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*

Some fields are provided with a hierarchy browser button, which displays a list of values in hierarchical format. You can select the relevant value from the list.

#### *Drop-down List*

Some fields are provided with a drop-down button  , 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 21. 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 20 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.

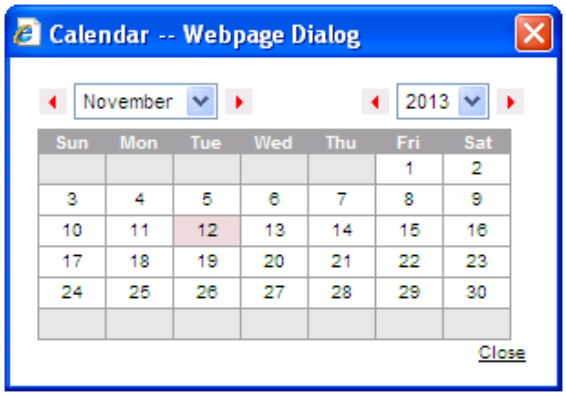



**Figure 22. Calendar**

### *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.

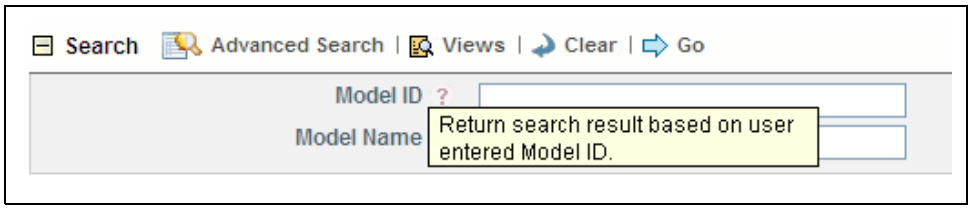



**Figure 23. Contextual Help**

### *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.

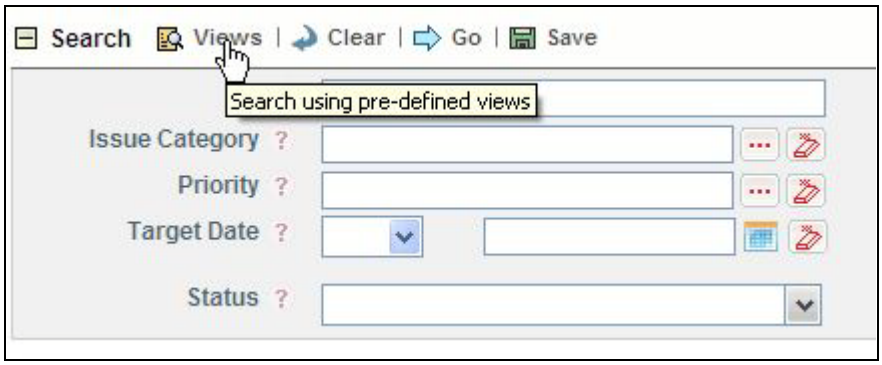



**Figure 24. Tool Tip**

### 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.

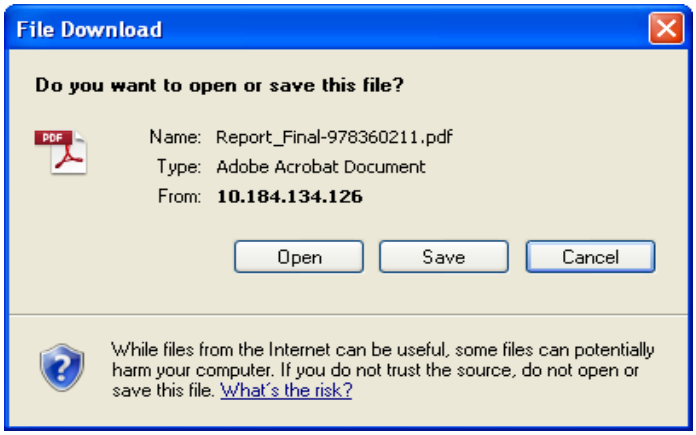
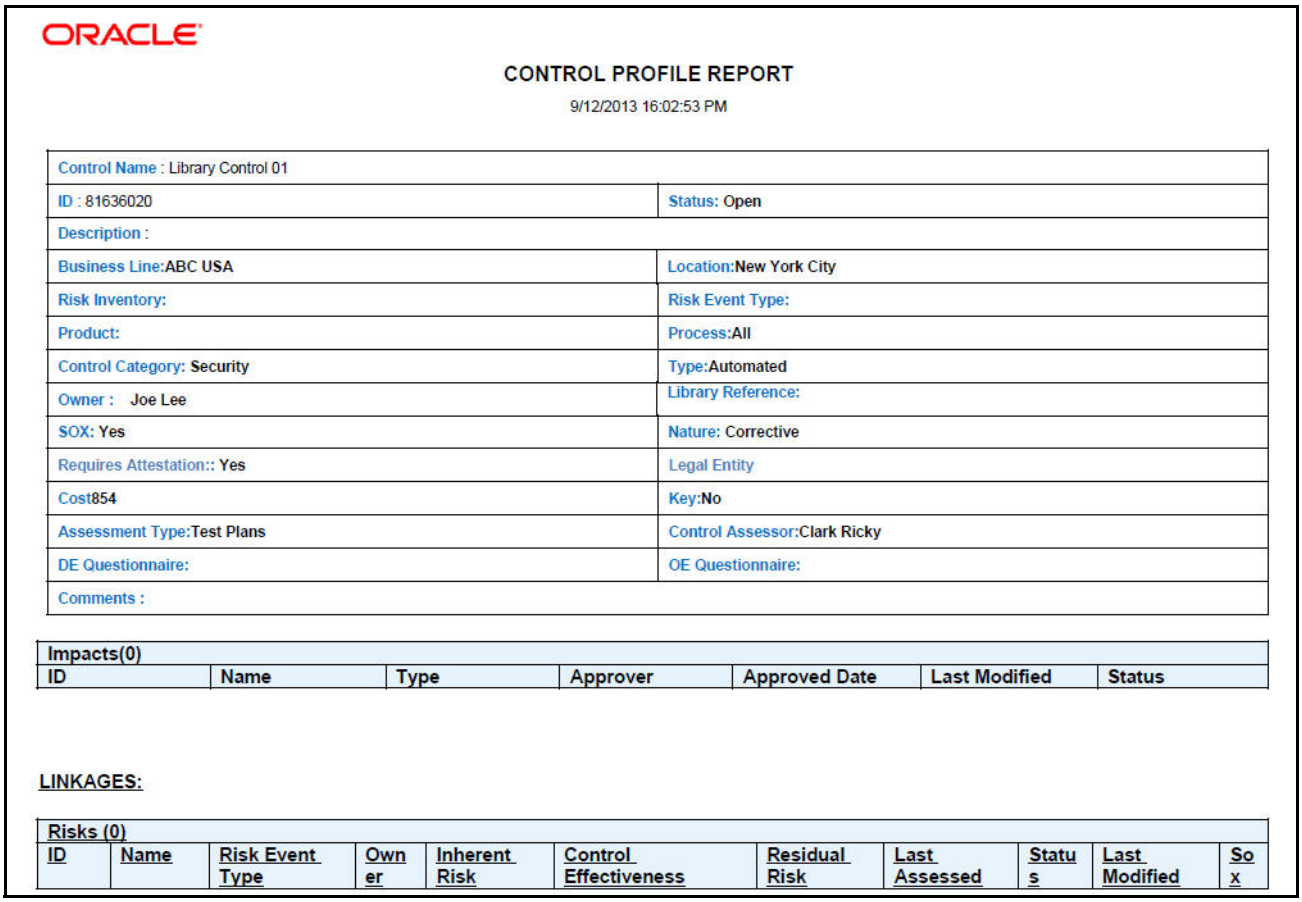



**Figure 25. File Download Box**

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



ORACLE

CONTROL PROFILE REPORT

9/12/2013 16:02:53 PM

| | |
|---|---|
| Control Name : Library Control 01 | |
| ID : 81636020 | Status: Open |
| Description : | |
| Business Line:ABC USA | Location:New York City |
| Risk Inventory: | Risk Event Type: |
| Product: | Process:All |
| Control Category: Security | Type:Automated |
| Owner : Joe Lee | Library Reference: |
| SOX: Yes | Nature: Corrective |
| Requires Attestation:: Yes | Legal Entity |
| Cost854 | Key:No |
| Assessment Type:Test Plans | Control Assessor:Clark Ricky |
| DE Questionnaire: | OE Questionnaire: |
| Comments : | |

Impacts(0)

| ID | Name | Type | Approver | Approved Date | Last Modified | Status |
|---|---|---|---|---|---|---|

LINKAGES:

Risks (0)

| ID | Name | Risk Event Type | Owner | Inherent Risk | Control Effectiveness | Residual Risk | Last Assessed | Status | Last Modified | Sox |
|---|---|---|---|---|---|---|---|---|---|---|

**Figure 26. Profile Report**

### 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.*

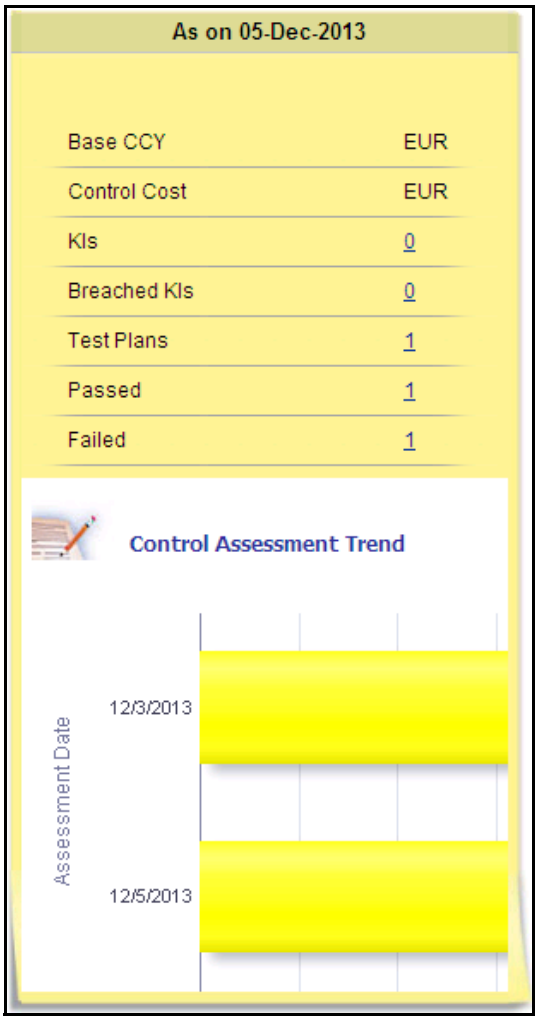



**Figure 27. Additional Information**

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:

- Risk Assessment
- Control Assessment
- Obligation Assessment
- Regulation or Policy Assessment
- Scenario Assessment
- Process Assessment
- Incident Details
- KI Details

- Planning and Scoping
- Audit
- Business Environment Scorecard
- BU Risk Profile

## Managing Linkages

OFSOR allows you to link and delink records of different modules. Linking and delinking can be performed through the Linkages tab in the Details page. The entities which can be linked vary from module to module.

The process of linking a Risk to a Scenario is explained below. The same process can be followed for linking any record to any entities applicable to a particular module of OFSOR.

This section covers following topics:

- Linking Records
- Delinking Records

### *Linking Records*

To link a record to another, follow these steps:

1. Navigate to the Search and List page of a module.
2. Select a record. The Details page is displayed.
3. Click **Linkages**. The Linkages section is displayed.

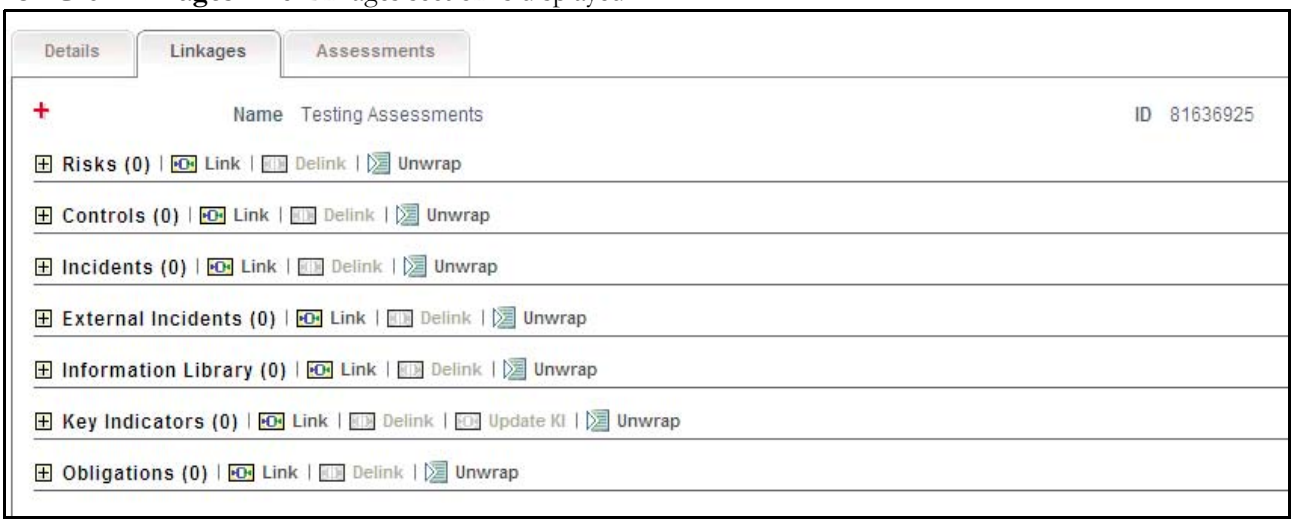



**Figure 28. Linkages Section**

4. Clink **Link** next to the record you want to link. The Search page displays.

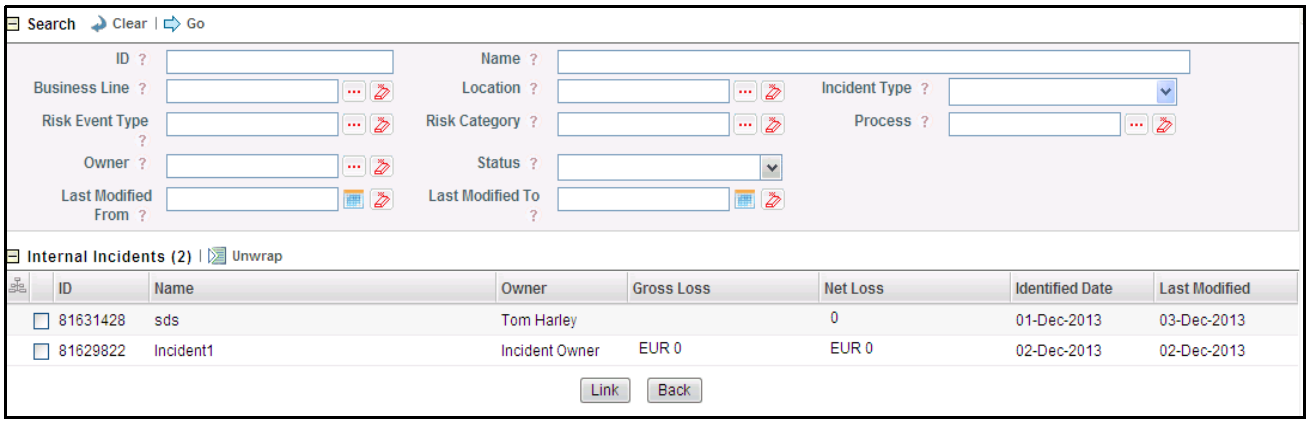



**Figure 29. Search Page for Linking Records**

5. Select one or more records from the list. You can also search the records by entering search criteria in the search fields.
6. Click **Link**. The following message is displayed: *Records Linked Successfully.*
7. Click **OK**. The linked record is removed from the list.
8. Click **Back** to return to the Linkages section. The linked record is displayed in the Linkages section.

### *Delinking Records*

To delink a record, follow these steps:

1. Navigate to the Search and List page of a module.
2. Select a record. The Details page is displayed.
3. Click **Linkages**. The Linkages section is displayed.
4. Select the record you want to delink. The Delink button gets enabled.
5. Click **Delink**. The following message is displayed: *Are you sure you want to de-link the records?*
6. Click **OK**. The following message is displayed: *De-link operation successful.* Click **OK**. The record is removed from the Linkages section.

## 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.

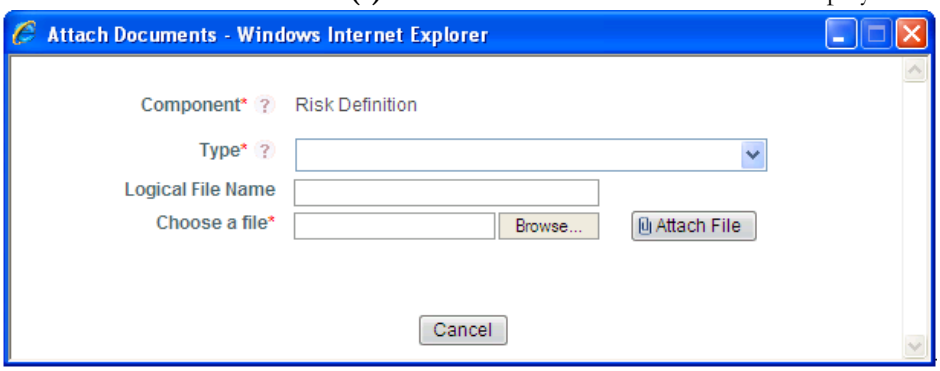



**Figure 30. Attach Documents Window**

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

| Fields | Description |
|---|---|
| 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:<br>• Regulation<br>• Policy<br>• Documentation<br>• Annexure |
| Logical File Name | Enter the Logical File Name. It is a text field which supports alpha-numeric characters. |

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

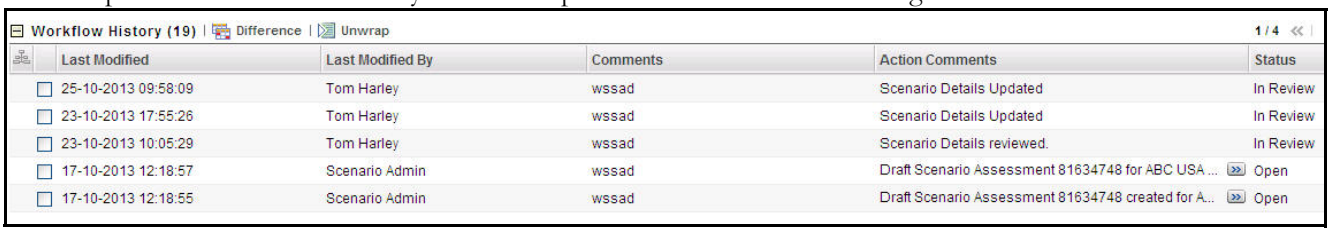
3. Select the document which you want to delete. The Delete Document button enables.
4. Click **Delete Document**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Delete Operation Successful.*
6. Click **OK**. The document is removed from the Documents section.

### 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.


Workflow History (19) | Difference | Unwrap 1 / 4

| Last Modified | Last Modified By | Comments | Action Comments | Status |
|---|---|---|---|---|
| 25-10-2013 09:58:09 | Tom Harley | wssad | Scenario Details Updated | In Review |
| 23-10-2013 17:55:26 | Tom Harley | wssad | Scenario Details Updated | In Review |
| 23-10-2013 10:05:29 | Tom Harley | wssad | Scenario Details reviewed. | In Review |
| 17-10-2013 12:18:57 | Scenario Admin | wssad | Draft Scenario Assessment 81634748 for ABC USA ... | Open |
| 17-10-2013 12:18:55 | Scenario Admin | wssad | Draft Scenario Assessment 81634748 created for A... | Open |

**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.

| Difference | | | |
|---|---|---|---|
| ID | 81630783 | 81630783 | 81630783 |
| Name | testing linkages | testing linkages | testing linkages |
| Business Line | ABC USA | ABC USA | ABC USA |
| Location | New York City | New York City | New York City |
| Description | | | |
| Assumption | to test linkages to risk | to test linkages to risk | to test linkages to risk |
| Risk Inventory | Life Insurance Risk | Life Insurance Risk | Life Insurance Risk |
| Risk Category | | | |
| Risk Event Type | Internal Fraud | Internal Fraud | Internal Fraud |
| Product | | | |
| Process | | | |
| Owner | Scenario Admin | Scenario Admin | Scenario Admin |
| Approver | SUPERUSER | SUPERUSER | SUPERUSER |
| Comments | wssad | approved | approved |
| Status | Pending Approval | Open | Closed |
| Action Comment | Scenario submitted for Approval. | Scenario Approved. | Scenario Closed. |
| Created By | Tom Harley | Super User | Super User |
| Created Date | 25-Oct-2013 10:39: 26 | 25-Oct-2013 10:39: 26 | 25-Oct-2013 10:44: 01 |
| Last Modified By | Tom Harley | Super User | Super User |
| Last Modified Date | 25-Oct-2013 10:39: 42 | 25-Oct-2013 10:43: 05 | 25-Oct-2013 10:44: 01 |

**Figure 32. Difference Table**

# CHAPTER 4 Managing Risk Library and Risks

This chapter provides information about Risk Libraries and Risks in the Oracle Financial Services Operational Risk application and step-by-step instructions to use this section.

This chapter includes the following topics:

- Managing Risk Library
- Managing Risks

## Managing Risk Library

This chapter provides information about the Risk Library section of Risk and Control Self Assessment (RCSA) section in the Oracle Financial Services Operational Risk application.

It covers the following topics:

- About Risk Library
- User Role and Actions
- Library Risk Workflow
- Tasks and Notifications
- Accessing Risk Library Menu
- Searching Risk Library
- Creating Library Risk
- Managing Library Risk Details
- Closing Library Risk
- Deleting Library Risk

### About Risk Library

Every organization identifies various risks that may adversely affect their business. The Risk Library allows them to maintain a central repository of risks which can be assessed to find control measures to mitigate them.

The Risk Library is a part of the RCSA section, which is a comprehensive solution for risk and control assessment. The Risk Library helps capture and store risks which are identified at a global level and can be later linked to a particular business line and location. Localized controls can help avoid risk which may disrupt business.

#### Salient Features

The Risk Library provides the following features to help organizations manage their risk:

- Capturing and storing Risks identified at global level in a risk repository called Risk Library

- Localizing library level Risks at key business dimensions
- Assessing and challenging Risks.
- Exporting Risk details to portable data format.

## User Role and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

A Risk Identifier user role is defined in the Risk Library section of the OFSOR/GCM application. The Risk Identifier is a user who identifies the risks that can adversely affect the business.

### Actions

The Risk Identifier performs the following actions:

- **Creating Library Risk**: Users may create a new Risk within the Risk Library. The user can link or delink Causes and Controls, attach or delete documents, and view Workflow History. After submission, the user can localize the Risk.
- **Localizing Library Risk**: Users may assign a Business Line and Location to a Library Risk.
- **Closing Library Risk**: Users may close a Library Risk in Open status that is not in use.
- **Deleting Library Risk**: Users may delete a Library Risk in Draft status that is no longer required.

## Library Risk Workflow

The following figure explains the Library Risk workflow:

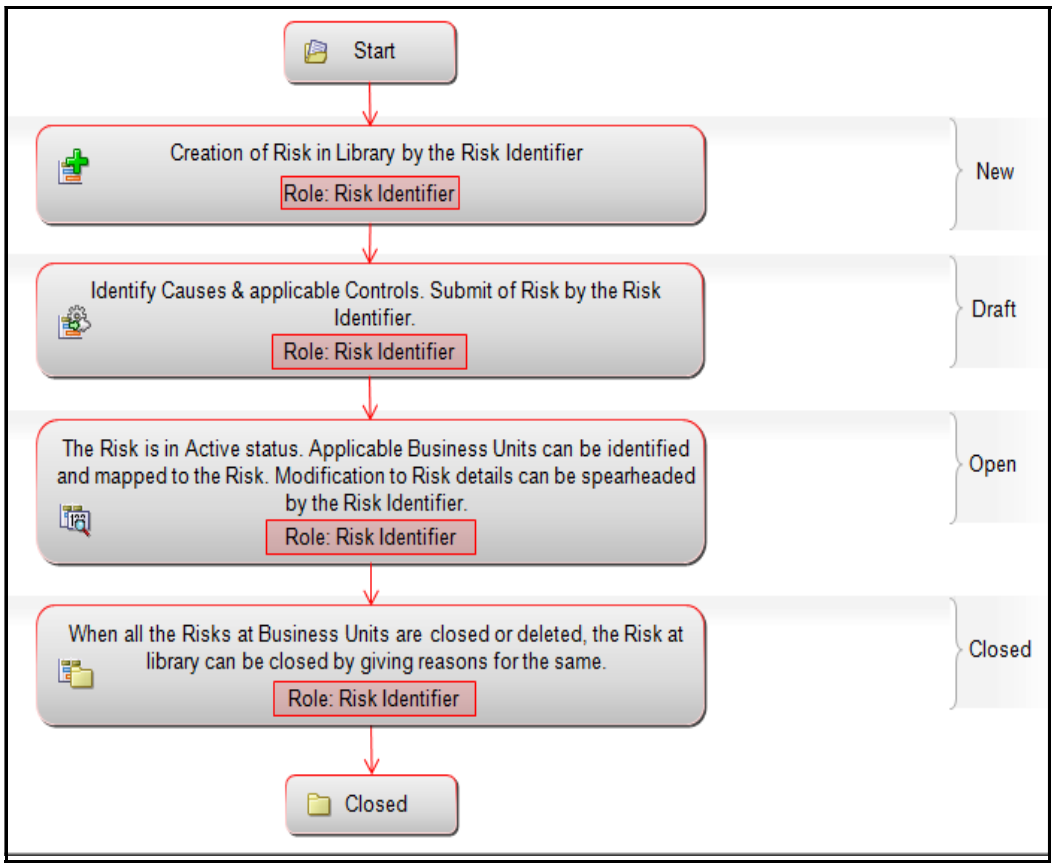



**Figure 33. Library Risk Workflow**

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the section. 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 4. Tasks and Notifications - Risk Library**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Localizing a Library Risk | Notification | A notification is sent to all users mapped to the role of Risk Owner for the selected Business Unit. | Risk Owner | Open |

## Accessing Risk Library Menu

The OFSOR/GCM Home page allows you to access the Risk Library.

To access the Risk Library, follow these steps:

1. Login to OFSOR/GCM as a Risk Identifier. The OFSOR/GCM Home page is displayed.
2. Hover over the **RCSA** menu and click **Risk Library**. The Risk Library Search and List page is displayed.

## Searching Risk Library

The Risk Library Search and List page allows you to filter the Risks that you want to view and analyze. The Risk Library search bar supports three types of search-Basic Search, Search by Views, and Advanced Search. You can use only one search at a time.

This section describes the following topics:

- Searching Risk Library using Basic Search
- Searching Risk Library using Advanced Search
- Searching Risk Library using Views

**Note:** The OFSOR/GCM application supports saved search feature as mentioned below:

- 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 Risk Library using Basic Search

This search is based on a limited set of search criteria such as ID and Name. This helps to retrieve the relevant Library Risk list.

To search for a Library Risk using Basic Search, follow these steps:

1. Navigate to the Risk Library Search and List page.

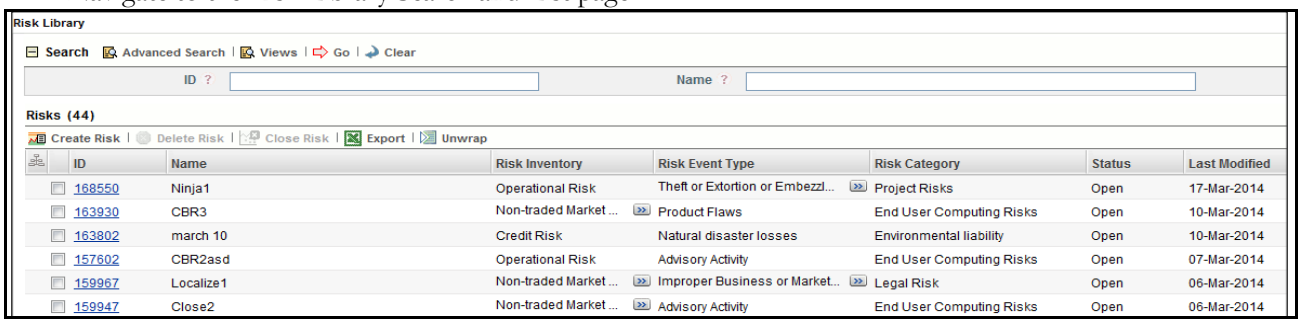



**Figure 34. Searching Risk Library Search using Basic Search**

**Note:** By default, the Risk Library Search and List page displays all Risks.

2. Enter the following search criteria to filter the search list.

**Table 5. Basic Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Library Risk. This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Name | Enter the Name of the Library Risk. This field allows you to enter a maximum of 300 characters and supports wildcard search. |

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

   **Note:** The search criteria entered is retained even after loggin off or loggin in to the Risk Library page. The list of risks dispalyed are based on the search criteria entered. This feature is specific to the user and is not based on the role.

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

   **Note:**

   - If the entered search criteria does not match, the following message is displayed: *No Data Found for this Search Criteria.*

### Searching Risk Library using Advanced Search

Advanced search provides a more specific search. It offers the same search fields as provided for a simple search along with additional fields. If you know Library Risk details such as ID, Name, Status, and so on, you can filter the Library Risk very specifically using the Advanced Search criteria.

To search Library Risk using Advanced Search, follow these steps:

1. Navigate to the Risk Library Search and List page.

2. Click **Advanced Search**. The Advanced Search fields expand..

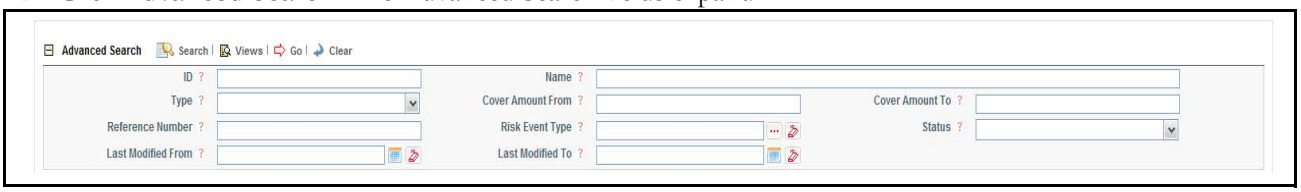



**Figure 35. Risk Library Advanced Search Page**

3. Enter the following Search Criteria in the Advanced Search fields to filter the search list.

**Table 6. Risk Library Advanced Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Library Risk. This field supports wildcard search. |
| Name | Enter the Name of the Library Risk to display the Library Risks with name as specified in the search criteria.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Risk Inventory | Select the risk inventory from the drop-down list to display Library Risks with the selected risk inventory type. For example, Credit Risk, Operational Risk, and so on. |
| Risk Event Type | Select the risk event type from the hierarchy browser to display Library Risks with selected the risk event type. For example, External Fraud, Internal Fraud, and so on. |
| Risk Category | Select the risk category from the hierarchy browser. For example, Business Continuity Risk, Supplier Risks and so on. |
| Status | Select the Library Risk from the Status drop-down list.<br>Following are the possible options for status drop-down list:<br>● Draft<br>● Open<br>● Close<br>● Select all<br>**Note:** You can select more than one status. |
| Last Modified From | Select the last modified date from the calendar to display Risks having a modified date greater than or equal to the specified date.<br>**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.* |
| Last Modified To | Select the last modified date from the calendar to display Risks having a modified date less than or equal to the specified date.<br>**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.
5. Click **Clear** to reset the search fields.

**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 *Saving a Search* section.

- If the entered search criteria does not match, the following message is displayed: *No Data Found for this Search Criteria.*

### Searching Risk Library using Views

A Views search represents the pre-populated search queries. The Views search option allows you to search and filter the list based on the predefined search criteria.

To search for a Library Risk using the Views search option, follow these steps:

1. Navigate to the Risk Library Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

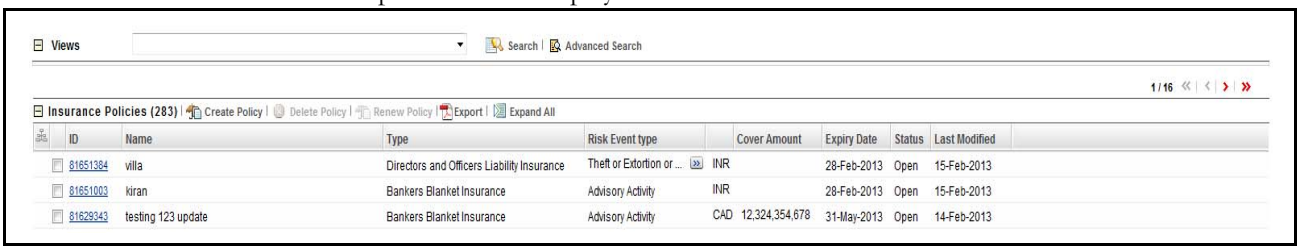



**Figure 36. Views Search List**

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 default types of predefined views. If a set of search criteria is saved from the advanced search, it is listed in this drop-down list.

**Table 7. Library Risk View Types**

| Views | Description |
|---|---|
| SOX Risks | Select **SOX Risks** list to display the Library Risks which are classified as SOX risks. |
| Closed Risks | Select **Closed Risks** list to display the Library Risks in Closed status. |

## Creating Library Risk

The risks identified at a global level to mitigate risk can be created in the Risk Library. The Risk Library Search and List page allows you to create new Risks at repository.

To create a Library Risk, follow these steps:

1. Navigate to the Risk Library Search and List page.

2. Click **Create Risk**. The Library Risk Definition page is displayed and the status of the Risk is *New*:

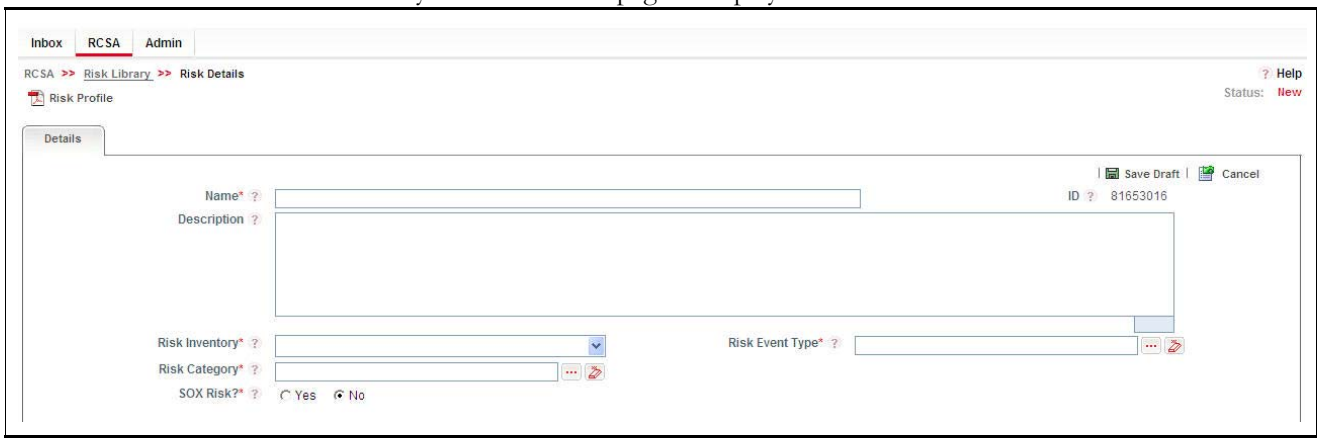



**Figure 37. Library Risk Definition Page**

3. Enter the following information in the Library Risk Definition page.

**Table 8. Fields in Library Risk Definition Page**

| Fields | Description |
|---|---|
| Name | Enter the name of the Library Risk. You can enter a maximum of 300 characters in this field.<br>**Note:**<br>● If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*.<br>● If you try to save the Risk details without entering the name, the application displays the following message: *Please enter Library Risk Name*. |
| ID | Displays the sequential tracking number of the *Library Risk*. |
| Description | Enter the detailed description of the Library Risk. You can enter a maximum of 3000 characters in this field.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Risk Inventory | Select the risk inventory from the drop-down list. For example, Credit Risk, Operational Risk, and so on. |
| Risk Event Type | Select the risk event type from the hierarchy browser. For example, External Fraud, Internal Fraud, and so on. |
| Risk Category | Select the risk category to which the library risk belongs from the hierarchy browser. For example, Business Continuity Risk, Customer Complaints, and so on. |
| SOX Risk | Select if the risk is classified under Sarbanes and Oxley Act (SOX) or not from the **Yes** or **No** radio buttons. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. A new Risk is created in the Library Risk with Draft status. The Library Risk Details page is displayed.

   Or

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. A new Risk is created in the Library Risk with Open status. The Library Risk Details page is displayed.

   **Note:** To submit a Library Risk, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered*.

### Submitting Library Risk in Draft Status

You may choose not to submit the Library Risk details while creating a new one and saved it as a Draft.

To submit a Library Risk, follow these steps:

1. Navigate to the Risk Library search and List page.
2. Click the Library Risk **ID** in Draft status. The Library Risk Details page is displayed.




**Figure 38. Library Risk Details Page**

The Library Risk Details page allows you to perform the following tasks in Draft status:

- Editing Library Risk
- Linking and delinking Causes and Controls
- Attaching and deleting documents related to the Library Risk
- Viewing audit log for the Library Risk
- Viewing Risk Library Profile Report

For more information on above sections, refer to *Managing Library Risk Details*.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit a Library Risk:

   - All mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*
   - One Primary Cause should be linked to the Library Risk. If not, the following message is displayed: *Please select a Primary Cause.*

4. Click **OK**. The status of the Library Risk changes to *Open*.

The Library Risk Details page allows you to perform the following tasks in Open status:

- Editing Library Risk
- Localizing the Library Risk
- Linking and delinking Causes and Controls

- Attaching and deleting documents related to the Library Risk
- Viewing audit log for the Library Risk
- Viewing Library Risk Profile Report
- Closing Library Risk

For more information on each of these tabs, refer to section *Managing Library Risk Details*.

## Managing Library Risk Details

The Library Risk Details page allows you to manage various tabs and functionalities of the Risk.

This section discusses the following topics:

- Managing Details Tab
- Localizing Library Risk

### Managing Details Tab

The Details tab displays detailed information about the Library Risk and allows you to perform the following tasks.

- Editing Library Risk
- Managing Causes
- Linking and Delinking Controls
- Attaching and Deleting Documents
- Viewing Workflow History

#### *Editing Library Risk*

When you want to update or modify the Library Risk, you can edit from the Details page. You can edit the Library Risk details in Draft or Open status.

To edit a Library Risk, follow these steps:

1. Navigate to the Risk Library Search and List page.
2. Click a Library Risk **ID**. The Library Risk Details page is displayed.
3. Click **Edit**. The Library Risk Definition page is displayed.
4. Modify the necessary details. For more information about the fields, refer to *Table 8*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Library Risk Details page is displayed.

#### *Managing Causes*

Causes are the factors which caused the risk to arise. The main cause behind the risk is called as the primary cause. The Details tab allows you to link or delink Causes for the risk. Only one of the linked causes can be marked as a primary cause.

This section describes the following topics:

- Linking a Cause
- Selecting a Primary Cause
- Delinking Causes

### Linking a Cause

To link a Cause, follow these steps:

1. Navigate to the Library Risk Details page.
2. Click **View More**. The section expands to display its Sub sections.
3. Click **Link** in the Causes section. A hierarchy browser displays a list of available Causes.

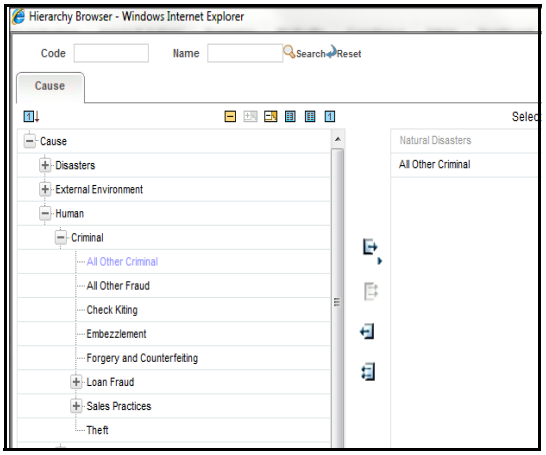



**Figure 39. Causes**

4. Select one or more Causes and click the Right arrow button. The Causes move to the Selected Members section.

   **Note:** You can also search for causes by entering the relevant search criteria.

5. Click **OK**. The following message is displayed: *Transaction Successful.*
6. Click **OK**. The Causes are linked to the risk and display in the Causes section.

### Selecting a Primary Cause

Among the linked causes for a Library Risk, there should be one primary cause. It is mandatory to mark one cause as primary in order to submit a Library Risk.

To select one of the linked Causes as a Primary Cause, follow these steps:

1. Navigate to the Library Risk Details page.
2. Click **View More**. The section expands to display its sub section.
3. Expand the Causes section and select a Cause **ID**.
4. Select **Yes** in the Primary Cause column and enter your comments in the Comments box.
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The Cause is marked as a Primary Cause.

#### Delinking Causes

To delink a cause, follow these steps:

1. Navigate to the Library Risk Details page.
2. Click **View More**. The section expands to display its sub section.
3. Select a cause ID and click **Delink** in the Causes section. 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 selected cause is delinked.

### *Linking and Delinking Controls*

The Details tab allows you to link and delink library level controls which are in Open status.

To link a Library Control, follow these steps:

1. Navigate to the Library Risk Details page.
2. Click **View More**. The section expands to display its sub section.
3. Click **Link** in the Controls section. A hierarchy browser displays with the list of Library Controls in Open status.
4. Select one or more controls and click **OK**. The following message is displayed: *Records Linked Successfully.*

   **Note:** You can also search for controls by entering the relevant search criteria.
5. Click **OK**. The selected controls are linked and display in the Controls section.

   **Note:** To delink a control, you can select the control ID and click **Delink**.

### *Attaching and Deleting Documents*

The Library Risk Details page allows you to attach or delete documents related to a Library Risk.

For more details on attaching and deleting documents, refer to *Managing Documents* section.

### *Viewing Workflow History*

The Library Risk Details page shows the audit trail of all changes made to the Library Risk.

For more details, refer to *Viewing Workflow History* section.

The following table lists the action comments displayed in the Workflow History corresponding to the actions:

**Table 9. Action Comments - Risk Library Workflow**

| Role | Action | Status | Action Comments in Workflow |
|---|---|---|---|
| Risk Library Identifier | Creates a New Risk in library | Draft | Risk created in Library. |
| Risk Library Identifier | Updates a Library Risk in Draft Status | Draft | Risk details updated. |
| Risk Library Identifier | Submits a Library Risk and status changes to Open | Open | Risk details Submitted. |

**Table 9. Action Comments - Risk Library Workflow**

| Role | Action | Status | Action Comments in Workflow |
|---|---|---|---|
| Risk Library Identifier | Updates a Library Risk in Open Status | Open | Risk details updated. |
| Risk Library Identifier | Closes a Library Risk in Risk Library workflow | Closed | Risk Deactivated and Closed. |

### Localizing Library Risk

The Applicable Businesses tab allows you to identify the Business Line and Location to which this Risk is applicable. This creates a Risk in Draft status at the selected business Line and Locations.

**Note:** The Applicable Businesses tab is enabled only when the Library Risk is in Open status

To localize a Library Risk, follow these steps:

1. Navigate to the Risk Library Search and List page.
2. Click a **Library Risk** ID. The Risk Details page is displayed.
3. Click **Applicable Businesses**. The Applicable Businesses page is displayed.

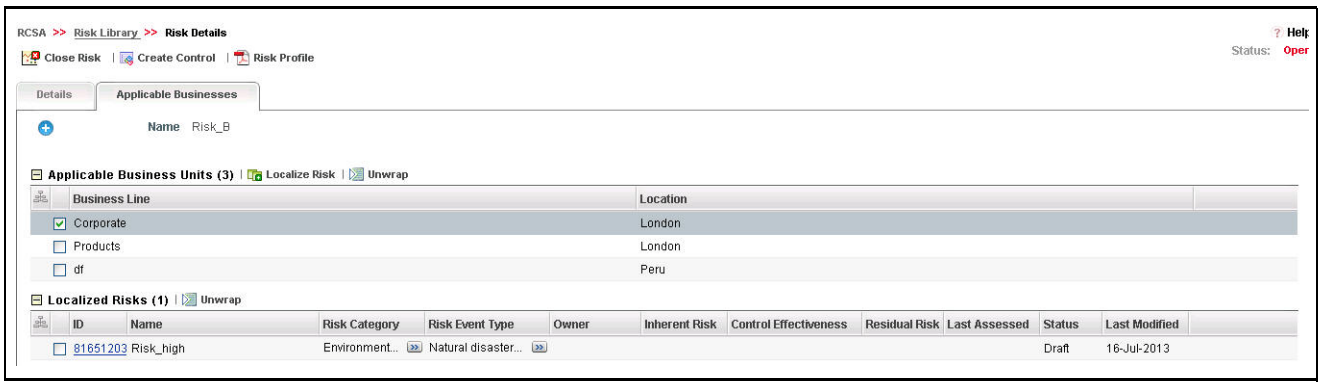



**Figure 40. Applicable Businesses - Risk Library**

4. Click **Localize Risk**. A list of valid combinations of business line and location is displayed.
5. Select the required Business Unit and click **Link**. The following message is displayed: *Local instance will be created for the selected BU. Do you want to continue?*
6. Click **OK**. The following message is displayed: *Add Operation Successful.*
7. Click **Close**. The newly added Business Unit is listed under the Applicable Business Units section.
8. Select the linked Business Unit. The Risks applicable for that Business Line and Location are listed under the Localized Risks section.

## Closing Library Risk

You can close a Library Risk in Open status and when it is no longer required to the organization. You can close a Library Risk either from the Risk Library Search and List page or from the Details page. Once the Risk Library is closed, its status changes to Closed.

**Note:** All local instances of the Library Risk should be closed and the linked Controls should be delinked.

To close a Library Risk, follow these steps:

1. Navigate to the Risk Library Search and List page.
2. Click a Library Risk **ID** in Open status that you want to close. The Library Risk Details page is displayed. From the Details page, click **Close Risk**.

   Or

   From the Library Risk List and Search page, select the required Library Risk **ID** in Open status that you want to close and click **Close Risk**.

   The Reasons for Closure window is displayed.

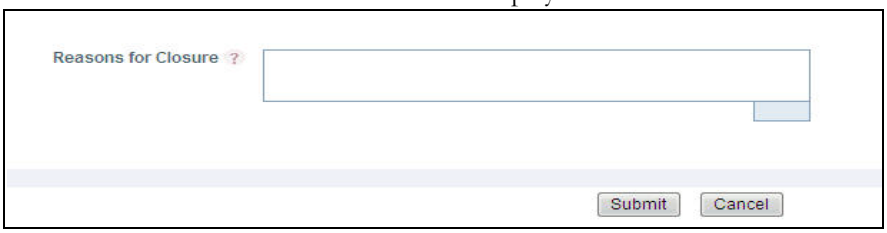



**Figure 41. Reasons for Closure**

3. Enter the reason for closure. You can enter up to 3000 characters.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   **Note:** If you click Close without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure*
5. Click **Back** on the Close Risk window. The system refreshes and displays the Library Risk in Closed status either in the Library Risk List or Library Risk Details page depending upon from where the closure was performed.

## Deleting Library Risk

Library Risks in Draft status and which are not in use can be deleted. The Risk Library Search and List page allows you to delete a Library Risk.

To delete a Library Risk at the repository, follow these steps:

1. Navigate to the Risk Library Search and List page.
2. Select the Library Risk **ID** you want to delete.
3. Click **Delete Risk**. 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 Library Risk is deleted and the updated Risk Library Search and List page is displayed.

## Exporting Risk Library Details

The Risk Library Search and List page allows you to view the Library Risk details in a Microsoft Excel spreadsheet.

To export Libray Risk details, follow these steps:

1. Navigate to the Libray Risk Search and List page.
2. Select the required Libray Risk and click **Export**.
3. For more information, refer to *Exporting Records* section.

## Viewing Library Risk Profile Report

The Workflow History displays the audit trail of the 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 the Library Risk details in a PDF, follow these steps:

1. Navigate to Risk Library Search and List page
2. Click Library Risk **ID**. The Library Risk Details page is displayed.
3. Click **Risk Profile**. A File Download Box is displayed.

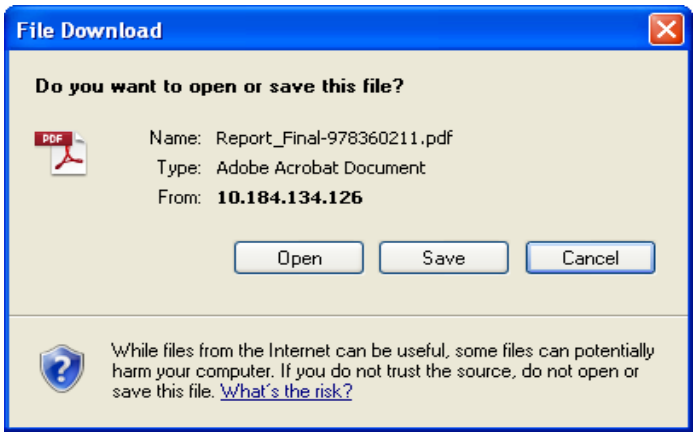
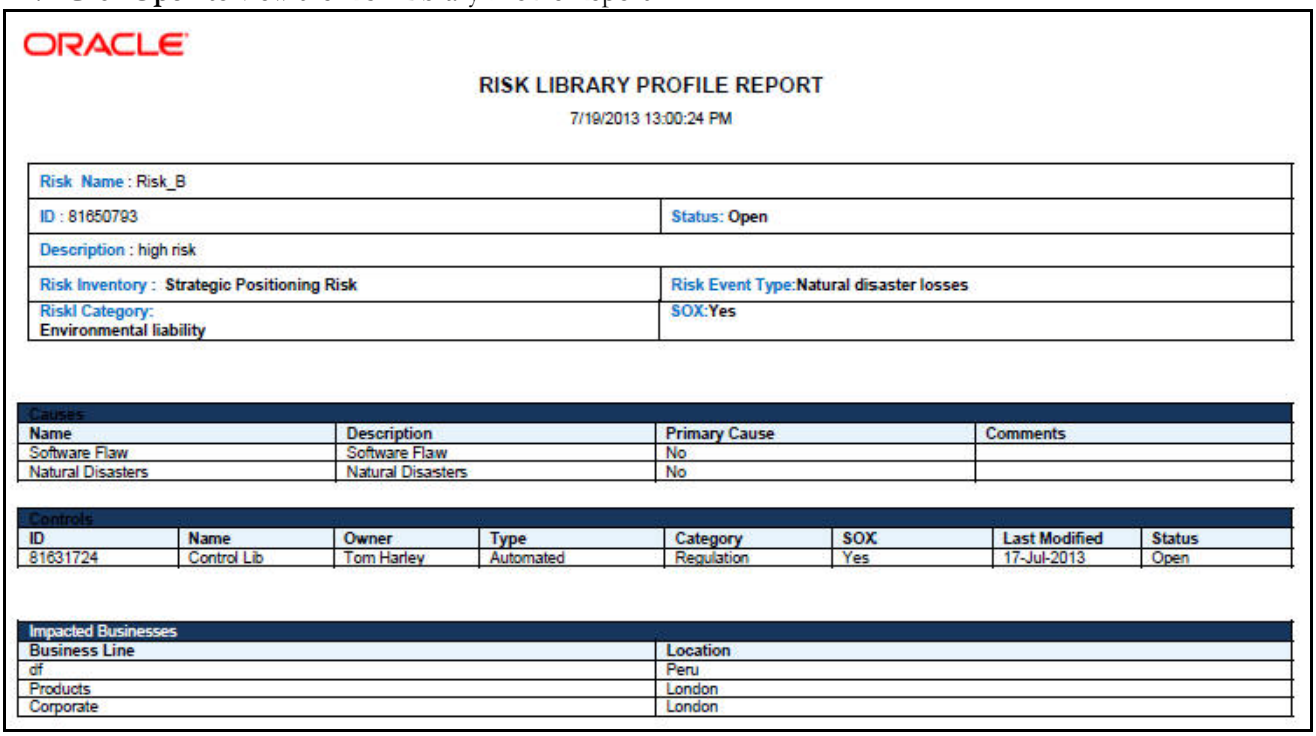



**Figure 42. File Download Box**

4. Click **Open** to view the Risk Library Profile Report.



ORACLE

RISK LIBRARY PROFILE REPORT

7/19/2013 13:00:24 PM

| | |
|---|---|
| Risk Name : Risk_B | |
| ID : 81650793 | Status: Open |
| Description : high risk | |
| Risk Inventory : Strategic Positioning Risk | Risk Event Type:Natural disaster losses |
| Riskl Category: Environmental liability | SOX:Yes |

Causes

| Name | Description | Primary Cause | Comments |
|---|---|---|---|
| Software Flaw | Software Flaw | No | |
| Natural Disasters | Natural Disasters | No | |

Controls

| ID | Name | Owner | Type | Category | SOX | Last Modified | Status |
|---|---|---|---|---|---|---|---|
| 81631724 | Control Lib | Tom Harley | Automated | Regulation | Yes | 17-Jul-2013 | Open |

Impacted Businesses

| Business Line | Location |
|---|---|
| df | Peru |
| Products | London |
| Corporate | London |

**Figure 43. Risk Library Profile Report**

# Managing Risks

This section describes the details of Risks and provides step-by-step information to navigate through this module.

This section covers the following topics:

- About Risks
- User Roles and Actions
- Risks Workflow
- Tasks and Notifications
- Searching Risks
- Creating a Risk
- Managing Risks Details
- Closing a Risk
- Deleting a Risk
- Exporting Risk Details

## About Risks

Risks are negative occurrences that may adversely affect the business of an organization. It is important for an organization to identify potential risks, assess their effects, and find control measures to mitigate them. The Risks section helps capture risks identified locally for a particular Business Line and Location. They can be associated to Library Risks and assessed using various approach.

### Salient Features

The Risk Management section provides the following features to help organizations manage their operational risk.

- Risks identified locally can be captured and associated with library level risks.
- Risks can be assessed in two ways: Manual or Questionnaire based.
- Risks can be linked to different components like Causes, Information Libraries, Key Indicators, Insurance policies and so on.
- Risks can be associated with different controls which helps to mitigate the risk.
- Risk completeness check can be conducted for a business line and location combination.

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Risks section of the OFSOR/GCM application:

- **Risk Owner**: This user manages most of the activities of Risks. This user can create, edit, submit, and delete risks. The Risk Owner can link Causes, Information Libraries, manage linkages, and documents. This user can also create, link, and delete Issues and Actions.
- **Risk Assessor**: This user is responsible to assess the effectiveness of a Risk. This user can create, edit and delete Risk Assessments. The Risk Assessor can edit Challenge in Open status and can close a Risk. This user can also create, link, and delete Issues and Actions.
- **Challenger**: This user can challenge a Risk Assessment in Submitted status. The Challenger can create, delete, and edit challenges.
- **Audit Officer**: This user can audit Risks and can view all Risk details.

### Actions

The Risks section allows you to perform the following actions:

- **Creating Risks**: This action allows the user to create a new Risks locally. The user can attach or delete documents, and view Workflow History. The user can link and delink Controls, Key Indicators, Insurance Policies, Incidents, Regulations, and Obligations after submitting.
- **Assessing Risks**: This action allows the user to assess the effectiveness of a risk. It can be manual or Questionnaire-based.
- **Closing Risks**: This action allows the user to close a Risk in Open status that is not in use.
- **Deleting Risks**: This action allows the user to delete a Risk in Draft status that is no longer required.

## Risks Workflow

The following figure explains the Risks workflow:

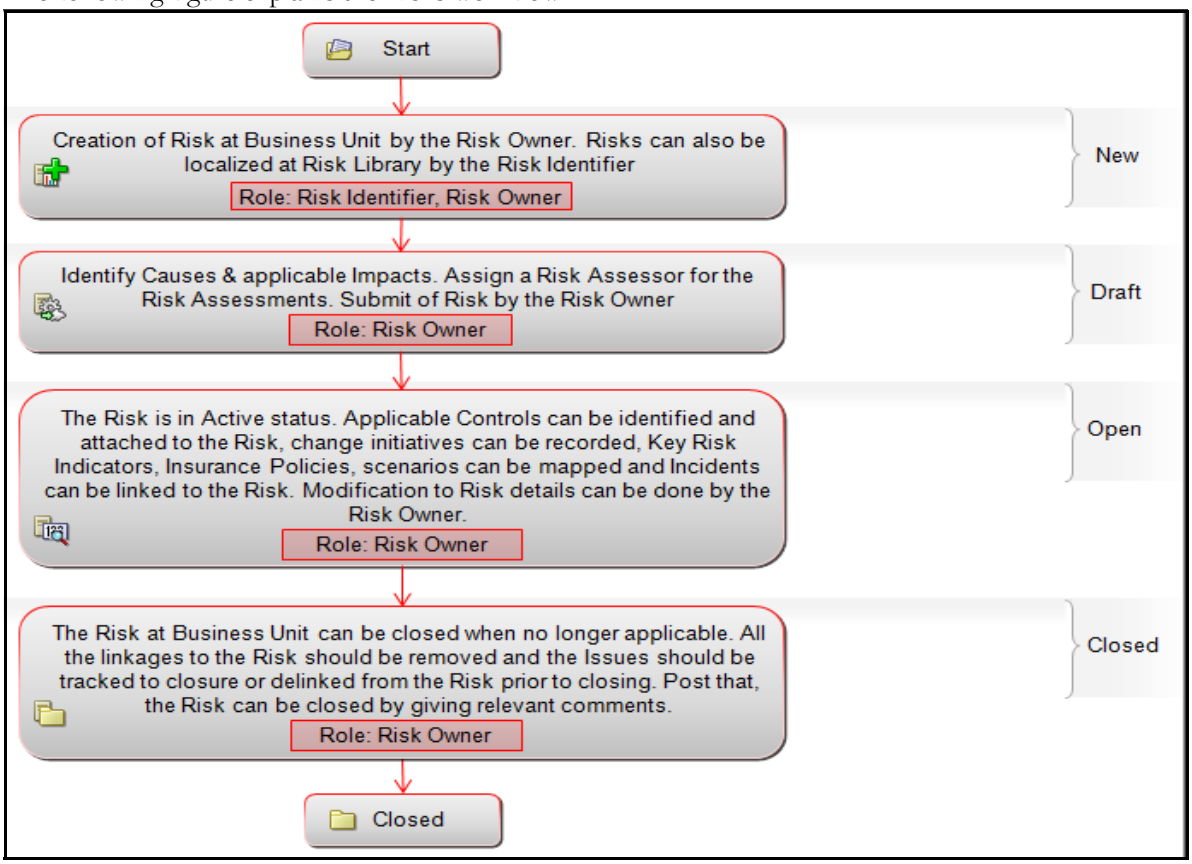



**Figure 44. Risks Workflow**

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user role. 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 roles receive in their Inbox menu on performing a particular action:

**Table 10. Tasks and Notifications - Risks**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Submitting a Risk | Notification | A notification is sent to Risk Owner (if the selected user in Owner field and Risk creator are different) and Risk Assessor. | Risk Owner, Risk Assessor | Open |
| Submitting Risk Assessment | Notification | A notification is sent to the Risk Owner (user selected as Owner for the Risk). | Risk Owner | Open |
| Submitting the Risk Assessment after Challenge | Notification | A notification is sent to the Risk Owner (user selected as Owner for the Risk). | Risk Owner | Open |
| Closing Risk | Notification | A notification is sent to the Risk Owner (user selected in Owner field) if the user who actually Closed Risk are different. Notification is sent to the Risk Assessor of the Risk. | Risk Owner, Risk Assessor | Closed |
| Clicking *Resolved* for challenge | Notification | A notification is sent Risk Owner and Risk Assessor. | Risk Owner | Open |
| Submitting challenge | Task | A task is sent to Risk Assessor | Risk Assessor | Open |
| Risk Assessor responding to challenge | Task | A task is sent to challenger | Challenger | Open |
| Risk Assessor rejecting the challenge | Task | A task is sent to challenger | Challenger | Open |
| Challenger re-challenging the Assessment | Task | A task is sent the Risk Assessor | Risk Assessor | Open |

## Accessing Risks Menu

The Oracle Financial Services Operational Risk Home page allows you to access Risks. Users mapped to the roles of Risk Owner, Risk Assessor, Risk Challenger, and Audit Officer can access Risks.

To access Risks, follow these steps:

1. Login to OFSOR/GCM. The OFSOR/GCM home page is displayed.
2. Hover over the **RCSA** menu and click **Risks**. The Risks Search and List page is displayed.

## Searching Risks

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

This section details the following topics:

- Searching Risk using Basic Search
- Searching Risk using Advanced Search
- Searching Risk using Views

### Searching Risk using Basic Search

This search is based on limited set of search criteria such as ID and Name, and it helps to retrieve the relevant Risks.

To search for a Risk using Basic Search, follow these steps:

1. Navigate to the Risks Search and List page.

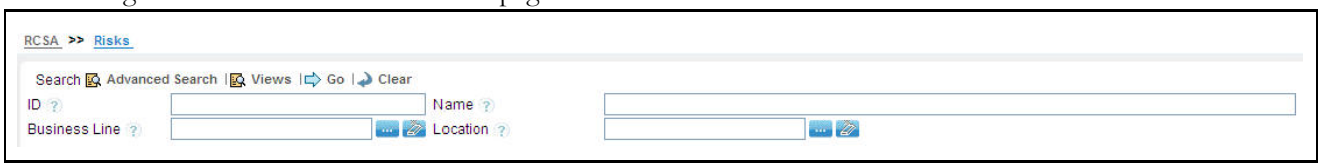



**Figure 45. Searching Risks using Basic Search**

**Note:** By default, the Risks Search and List page displays all Risks.

2. Enter the following details in the Advanced Search fields to filter the search list.
   The following table provides a list of the search criteria that displays in the Risks Search section:

**Table 11. Risks Basic Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Risk to display the Risks with ID as specified in the search criteria. This field supports wildcard search. |
| Name | Enter the Name of the Risk to display the Risks with name as specified in the search criteria. 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 to display the Risks identified for the selected Business Line. |
| Location | Select the Location from the hierarchy browser to display the Risks identified for the selected Location. |

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

   **Note:** If the entered search criteria does not match with the database, the following message is displayed: *No Data Found for this Search Criteria.*

### Searching Risk using Advanced Search

Advanced Search offers the same search fields as provided for a basic search along with additional fields. If you know the Risk details such as ID, Name, Status, and so on, then you can filter the Risks using the Advanced Search criteria.

To search for a Risk using Advanced Search, follow these steps:

1. Navigate to the Risks Search and List page.

2. Click **Advanced Search**. The Advanced Search fields are displayed.




**Figure 46. Risks Advanced Search Page**

3. Enter the following details in the Advanced Search fields to filter the search list.

   The following table provides a list of the search criteria that displays in the Risk Search section:

**Table 12. Risks Advanced Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Risk to display the Risks with ID as specified in the search criteria. This field supports wildcard search. |
| Name | Enter the Name of the Risk to display the Risks with name as specified in the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select a Business Line from the hierarchy browser to display the Risks identified for the selected Business Line. |
| Location | Select a Location from the hierarchy browser to display the Risks identified for the selected Location. |
| Risk Inventory | Select a Risk Inventory from the drop-down list to display Risks with the selected Risk Inventory type. For example, the Risk Inventory type can be Credit Risk, Operational Risk and so on. |
| Risk Category | Select a Risk Category from the hierarchy browser to display Risks under the selected Risk Category. For example, the risk categories can be Business Continuity Risk, Regulatory Risks and so on. |
| Risk Event Type | Select a Risk Event Type from the hierarchy browser to display Risks with selected Risk Event Type. For example, the Risk Event Types can be External Fraud, Internal Fraud and so on. |
| Product | Select a Product from the hierarchy browser to display Risks based on the selected Product. For example, the products can be Credit Cards, Debit Cards, Loans and so on. |
| Process | Select a Process from the hierarchy browser to display Risks based on the selected Process. The processes created in the Process module are listed under the hierarchy browser. |
| Legal Entity | Select a Legal Entity from the hierarchy browser to display Risks for the selected Legal Entity. |
| Inherent Risk | Select an Inherent Risk Rating from the drop-down list to display Risks with the selected rating. For example, the Inherent Risk Rating can be High, Medium, Low. |
| Residual Risk | Select a Residual Risk Rating from the drop-down list to display Risks with the selected rating. For example, the Residual Risk Rating can be High, Medium, Low. |
| Owner | Select an Owner from the hierarchy browser to display Risks owned by the selected user. |
| Status | Select the Risk status from the drop-down list.<br>Following are the possible options for Status drop-down list:<br>● Draft<br>● Open<br>● Closed<br>● Select all<br>**Note:** You can select more than one option from the drop-down list. |

**Table 12. Risks Advanced Search Criteria**

| Search Criteria | Description |
|---|---|
| Last Modified From | Select the last modified date from the calendar to display Risks having a modified date greater than or equal to the specified date.<br>**Note:** If the date entered in Last Modified From is greater than the date entered in Last Modified to, the application displays the following message: *Please verify the range selected in Last Modified Date.* |
| Last Modified To | Select the last modified date from the calendar to display Risks having a modified date less than or equal to the specified date.<br>**Note:** If the date entered in Last Modified from is greater 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:** The application provides a **Save Search** button in the Advanced Search container that allows you to save your search criteria. For more information on Saving a Search, refer to *Saving a Search* section.

## Searching Risk using Views

The Views search option allows you to search and filter the list based on the predefined search criteria.

To search for a Risk using the Views search option, follow these steps:

1. Navigate to the Risks Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

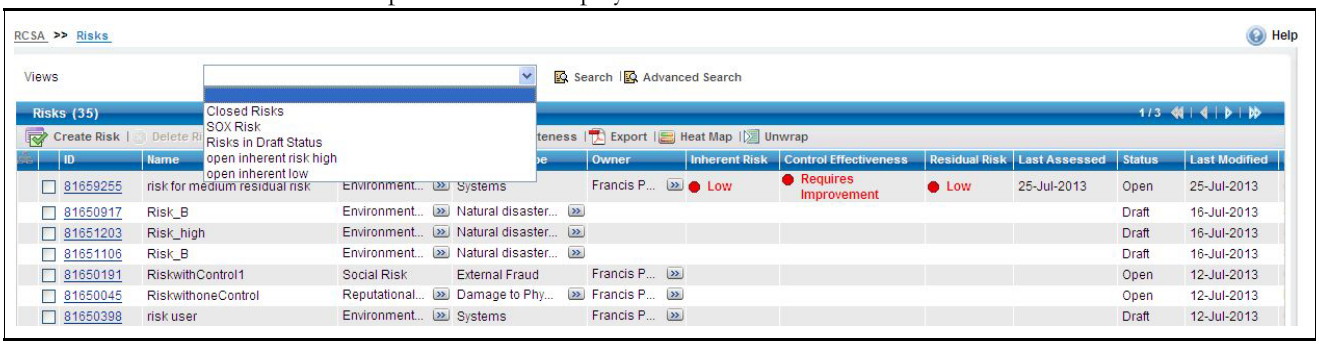



**Figure 47. Risks Views Search List**

3. Select pre-defined view from the **Views** drop-down list. The relevant search list is displayed.

   The following table explains the different types of default predefined views. If a set of search criteria is saved from the advanced search, it is listed in this drop-down.

**Table 13. Risk View Types**

| Views | Description |
|---|---|
| Closed Risks | Select **Closed Risks** to display the Risks in Closed status. |

**Table 13. Risk View Types (Continued) (Continued)**

| Views | Description |
|---|---|
| SOX Risks | Select **SOX Risks** to display Risks which are classified as SOX risks. |
| Risks in Draft Status | Select **Risks in Draft Status** to display the Risks in Draft status arranged in descending order of Last Modified Date. |

## Creating a Risk

Users mapped to the role of Risk Owner can create Risks locally by assigning it to a business line and location combination during creation. The Risks Search and List page allows you to create a new Risk.

To create a Risk, follow these steps:

1. Navigate to the Risks Search and List page.
2. Click **Create Risk**. The Risk Definition page is displayed and the status of the Risk is *New*.

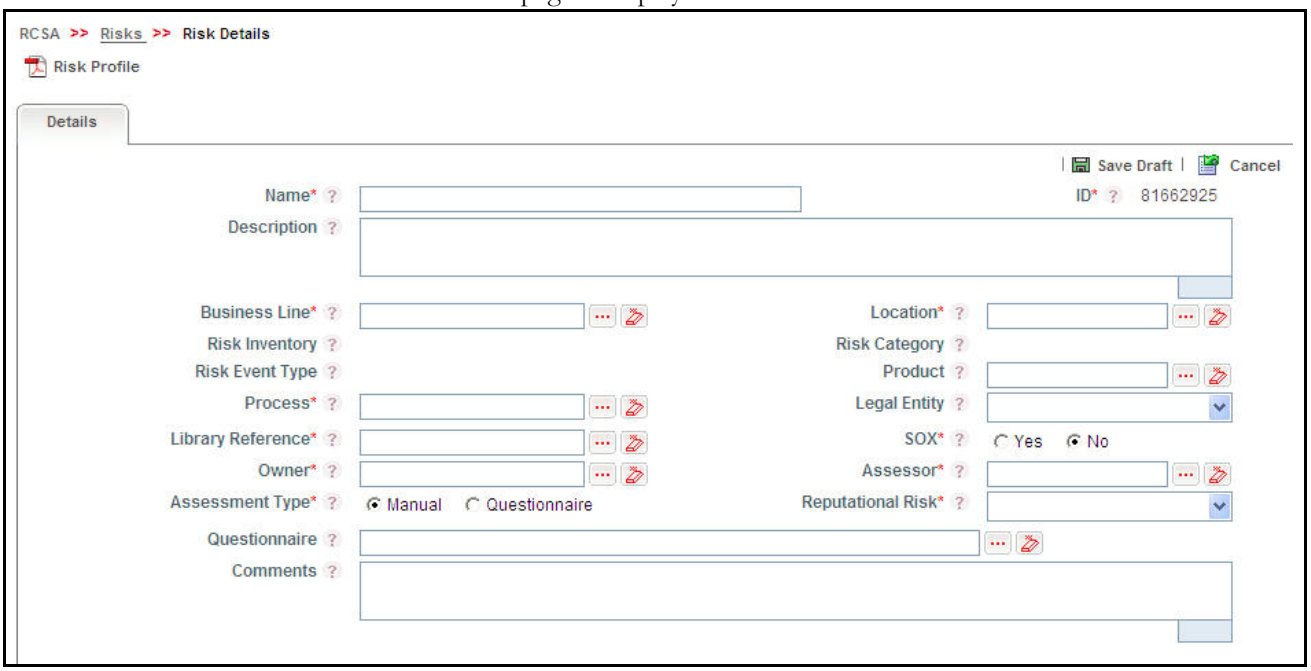



**Figure 48. Risk Definition Page**

3. Enter the required information in the Risk Definition page. The following table describes the fields of the page:

**Table 14. Components of Risk Definition Page**

| Fields | Description |
|---|---|
| Name | Enter the name of the Risk. You can enter a maximum of 300 characters in this field.<br>**Note:**<br>● If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*.<br>● If you try to save the Risk details without entering the name, the application displays the following message: *Please enter Library Risk Name*. |
| ID | Displays the sequential tracking number of the Risk. |
| Description | Enter the detailed description of the Risk. You can enter a maximum of 3000 characters in this field. If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Business Line | Select the business line for which this Risk is created from the hierarchy browser. |
| Location | Select the location for which this Risk is created from the hierarchy browser. |
| Risk Inventory | Displays the Risk Inventory of the Library Risk to which this Risk is associated. |
| Risk Category | Displays the Risk Category of the Library Risk to which this Risk is associated. |
| Risk Event Type | Displays the Risk Event Type of the Library Risk to which this Risk is associated. |
| Product | Select a Product to which this Risk is applicable from the hierarchy browser. For example, the products can be Credit Cards, Debit Cards, Loans and so on. |
| Process | Select a Process to which this Risk is applicable, from the hierarchy browser. The processes created in the Process module are listed under the hierarchy browser. |
| Legal Entity | Select the legal jurisdiction in which the organization is operating from the drop-down list. |
| Library Reference | Select the Library Risk to which this Risk is associated from the hierarchy browser. |
| SOX Risk | Select if the risk is classified under SOX or not from the **Yes** or **No** radio buttons.<br>**Note:** If you select Yes, the SOX Details container is displayed. It is mandatory to enter the SOX details. For more details, refer to *Table 15*. |
| Owner | Select the user who is responsible for managing the risk from the hierarchy browser. |
| Assessor | Select the user who is responsible for assessing the risk from the hierarchy browser. |
| Assessment Type | Select the approach for assessing the risk from the drop-down list.<br>Following are the possible values:<br>● Manual<br>● Questionnaire |
| Questionnaire | Select a Questionnaire for the Inherent Risk Assessment. If there will be any update/change in questionnaire, that update/change will reflect here.<br>**Note:** The hierarchy browser displays the list of questionnaires (with Open Status) which are created for **Inherent Risk Assessment**purpose from Questionnaire Details page. For more information, refer to *Creating a Questionnaire* section section of Questionnaire module. |
| Respondents | Select the Respondents for Risk assessment using the Hyperlink. This field will be displayed only when the Assessment Type is selected as **Questionnaire**. After linking the Risk respondents using the Hyperlink, the count of respondents will reflect to selected Questionnaire. You can view these changes in Questionnaire module.<br>This field will be automatically updated, if the Risk is linked to Questionnaire and Questionnaire respondents are linked/delinked from Questionnaire module. For more information, refer to *Linking Entities* section of Questionnaire module. |

**Table 14. Components of Risk Definition Page (Continued)**

| Fields | Description |
|---|---|
| Reputational Risk | Select an option from the drop-down to rate the risk of loss of goodwill of the organization. The options include:<br>● Very High<br>● High<br>● Possible<br>● Low<br>● Very Low |
| Comments | Enter additional information about the risk. You can enter a maximum of 3000 characters in this field. If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |

The following table describes the fields of the SOX section:

**Table 15. SOX Details - Risks**

| Fields | Description |
|---|---|
| Completeness | Select if all transactions and accounts that should be presented in the financial statements are included from the **Yes** or **No** radio buttons. |
| Rights & Obligations | Select if the assets and liabilities constitute the rights and liabilities of the entity on a given date from the **Yes** or **No** radio buttons. |
| Valuation & Allocation | Select if the assets and liabilities are valued properly and costs allocated reasonably among products and time periods from the **Yes** or **No** radio buttons. |
| Presentation & Disclosure | Select if all required transactions and accounts have been recorded from the **Yes** or **No** radio buttons. |
| Existence & Occurrence | Select if the assets, liabilities, and equity balances exist and all transactions have occurred from the **Yes** or **No** radio buttons. |
| Completeness | Select if all valid transactions are recorded and properly classified from the **Yes** or **No** radio buttons. |
| Accuracy | Select if the transactions are recorded at correct amounts from the **Yes** or **No** radio buttons. |
| Validity | Select if the recorded transactions actually occur and they are properly classified from the **Yes** or **No** radio buttons. |
| Restricted Access | Select if the access to critical information and areas are permitted in accordance with laws, regulations, and management policy from the **Yes** or **No** radio buttons. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. The status of the Risk changes to *Draft*.

   **Note:** Name, Library Reference, Business Line, and Location are mandatory fields to save a Risk in Draft status.

   You are navigated to the newly created Risk Details page. Use this page to take further actions such as edit, submit, link various components, attach documents, view workflow history, and view the record details in PDF format.

To link the Respondent, follow the steps given below:

1. Click the **Hyper link** on Risk Definition Page. The list of active users will display. This auto-populated list is based on the selected Business Line and Location.

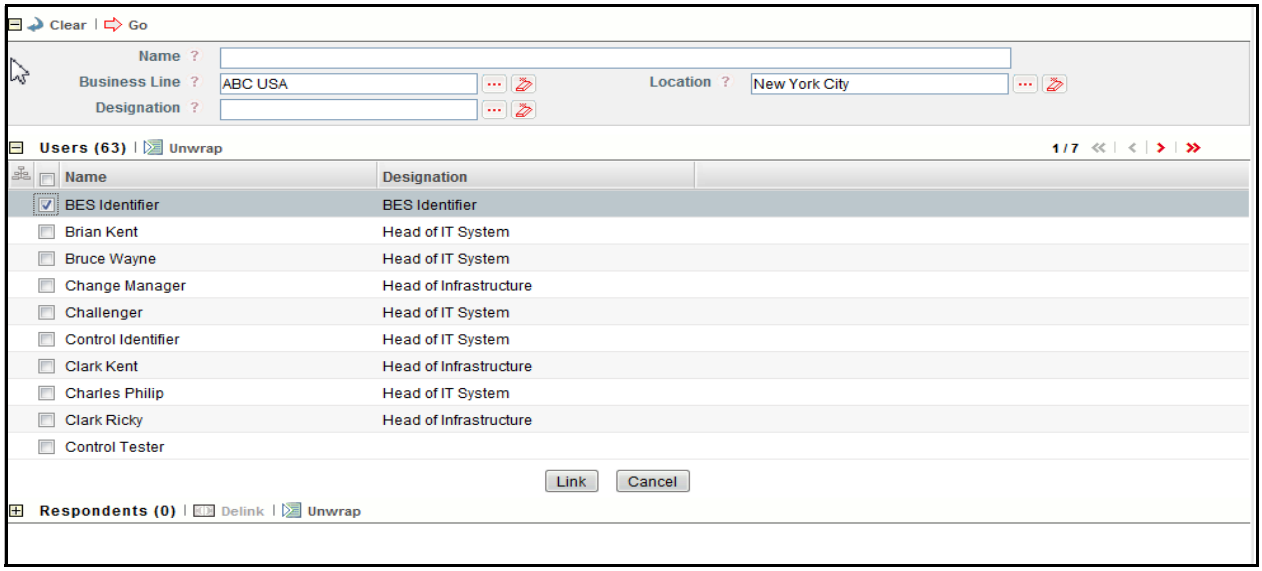



**Figure 49. Linking the Respondents**

2. Select the user and click **Link**.
3. A confirmation message is displayed. Click OK.
4. The selected user will be added in **Respondents** section.

   **Note:** You can add multiple users (respondents) at a time.

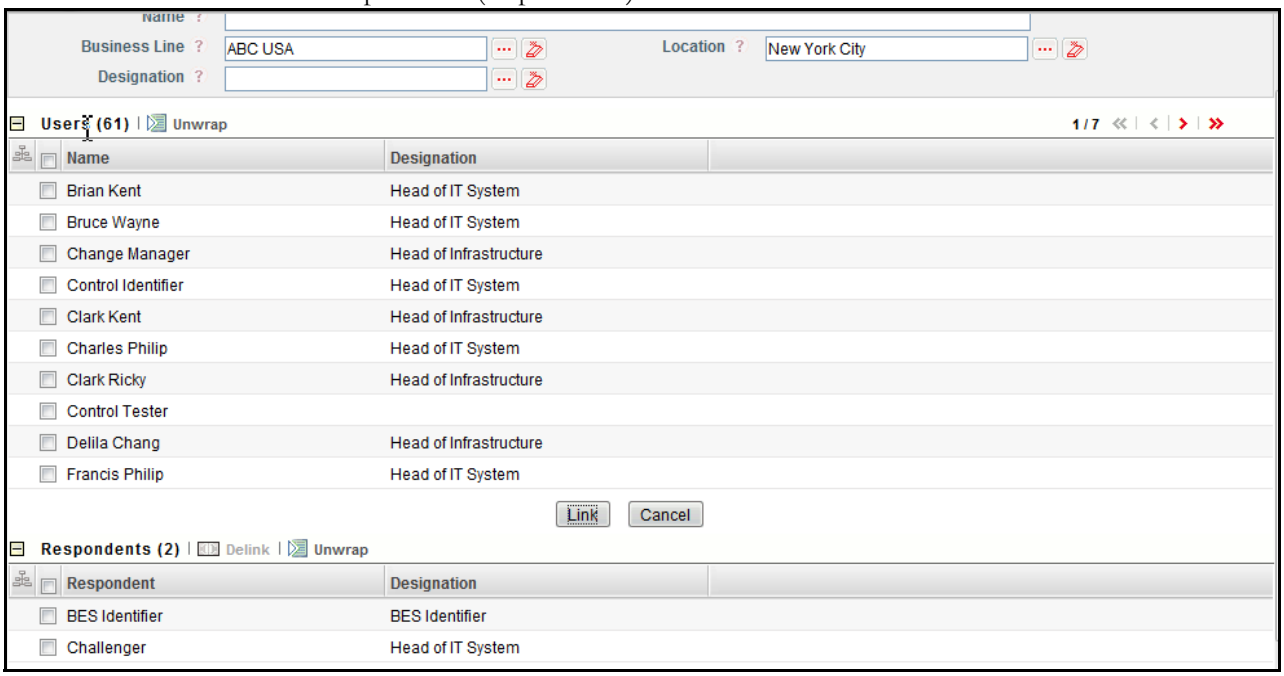



**Figure 50. Linking the Respondents**

5. You can delink the user using the **Delink** option, if required. To delink the user, select the user and click **Delink**.

6. The following message is displayed: *Are sure you want to de-link this record?* Click **OK** to continue.
7. A confirmation message is displayed: *De-link operation successful.* Click **OK**.

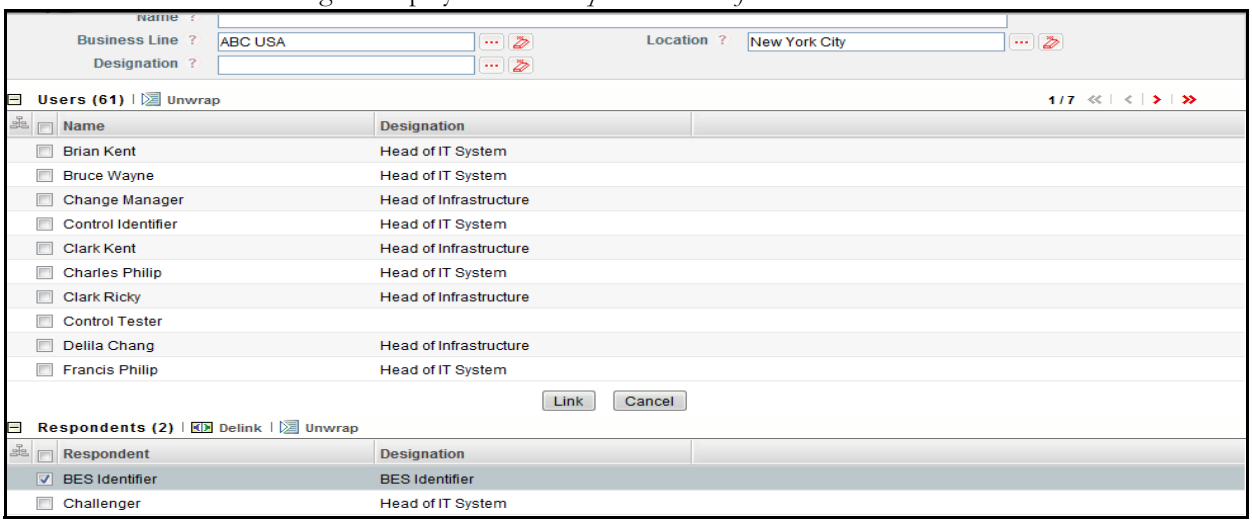



**Figure 51. Delink the Respondents**

### Submitting a Risk in Draft Status

Once all mandatory details are entered, a Risk Owner can submit a Risk in *Draft* status. The Risk Details page allows you to submit the Risk.

To submit the Risk, follow these steps:

1. Navigate to the Risks Search and List page.
2. Click a Risk **ID** in Draft status. The Risk Details page is displayed.




**Figure 52. Risk Details Page - Draft**

The Risk Details page allows you to perform the following actions in Draft status:

- Editing Risk
- Linking and delinking Cause and Information Libraries
- Attaching and deleting documents related to Risk
- Viewing the audit log for the Risk
- Viewing Risk Profile Report

For more information, refer to the section *Managing Risks Details*.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**. The Risk Details page is displayed.

   **Note:** To submit a Risk, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

The Risk Details page allows you to perform the following actions in Open status:

- Editing the Risk
- Linking and delinking Cause, Information Libraries, Controls, Key Indicators and so on
- Creating Controls, Issues, Actions, Key Indicators, and Obligations
- Attaching and deleting documents related to Risk
- Viewing Workflow History of the Risk
- Assessing Risk

- Viewing Risk Profile Report
- Closing Risk

For more information, refer to the section *Managing Risks Details*.

## Managing Risks Details

The Risk Details page allows you to manage various tabs and functionalities of the risk.

This section discusses the following topics:

- Managing Details Tab
- Managing Linkages
- Managing Compliances
- Managing Risk Assessments
- Creating Controls
- Managing Issues and Actions
- Creating Key Indicators (KI)
- Creating Obligations

### Managing Details Tab

The Details tab is displayed in both Draft and Open status. This tab displays detailed information about the Risk.

To access the Risk Details Tab, follow these steps:

1. Navigate to the Risk Search and List page.
2. Click a Risk **ID**. The Risk Details page is displayed.

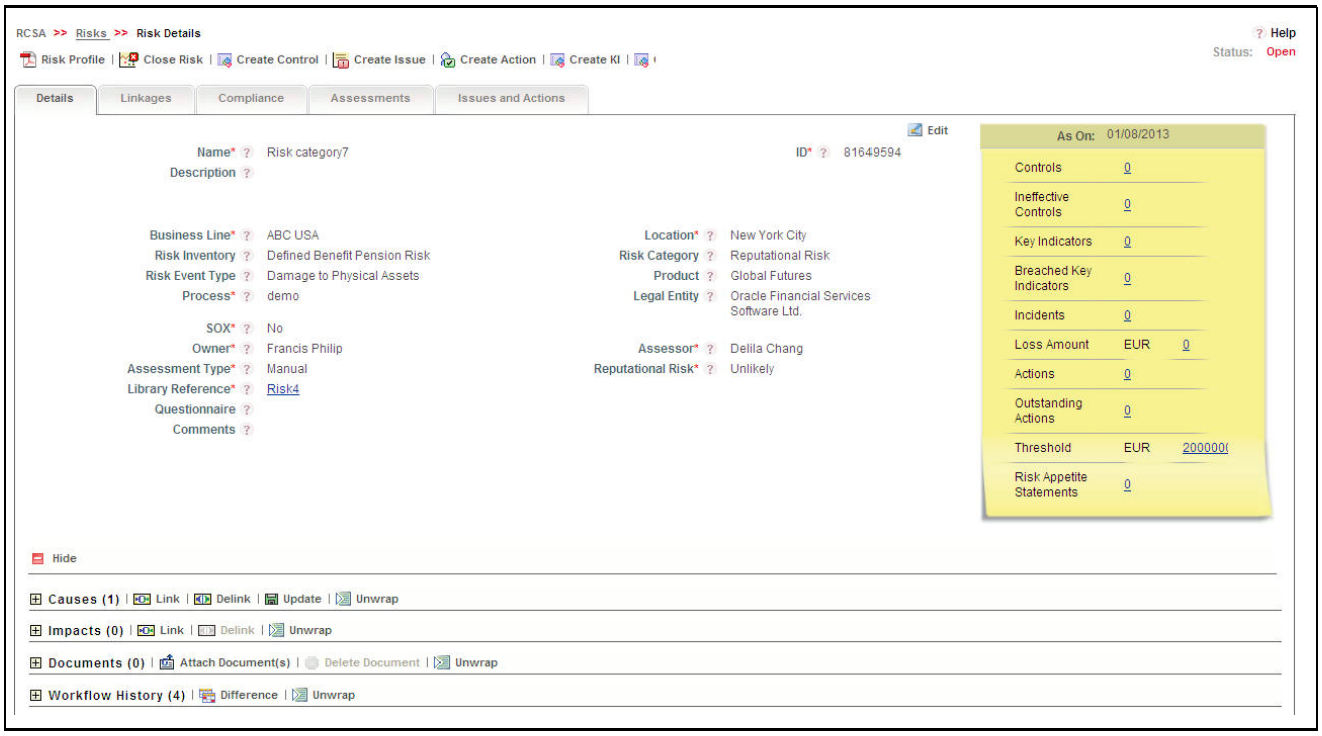



**Figure 53. Risk Details Page - Open**

The Details tab in the Risk Details page allows you to perform the following actions:

- Editing Risk Details
- Viewing Additional Information
- Managing Causes
- Managing Impacts
- Attaching and Deleting Documents
- Viewing Workflow History

### *Editing Risk Details*

Risk Owners can use the Details page to update or modify the Risk details. For a risk, the Risk Owner can edit the Risk details when it is in Draft or Open status.

To edit a Risk, follow these steps:

1. Navigate to the Risks Search and List page.
2. Click a Risk **ID** that you want to edit. The Risk Details page is displayed.
3. Click **Edit**. The Risk details become editable.
4. Modify the necessary details. For more information about the fields, refer to *Table 14*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*

6. Click **OK** to confirm the changes. The updated Risk Details page is displayed.

### *Viewing Additional Information*

The Additional Information section displays the count of various components such as actions, controls, key indicators, and so on related to a Risk in Draft and Open Status. This information is visible after the first save of a newly created Risk and gets updated as per the current date.

To view Additional Information, follow these steps:

1. Navigate to the Risk Search and List page.
2. Click a Risk **ID**. The Risk Details page is displayed with the Additional Information section.




**Figure 54. Risk - Additional Information**

The following table explains the information displayed in the Additional Information section:

**Table 16. Components of Additional Information**

| Fields | Description |
|---|---|
| Controls | Displays the number of Controls linked to the Risk. |
| Ineffective Controls | Displays the number of Controls with latest assessment rating as *Requires Improvement.* |
| Key Indicators | Displays the number of Key Indicators linked to Risk. |
| Breached Key Indicators | Displays the number of open Key Indicators with latest assessment rating as *Red*. |
| Incidents | Displays the number Internal Incidents linked to the Risk. |
| Loss Amount | Displays the total Loss Amount of all Incidents linked to the Risk. |
| Actions | Displays the total number of Actions created or linked to the Risk.<br>**Note:** You can click on the count of Actions to view the Issues and Actions page. |

**Table 16. Components of Additional Information**

| Fields | Description |
|---|---|
| Outstanding Actions | Displays the overdue Actions linked to the Risk. The Actions whose target date has been crossed are called Overdue Actions.<br>You can click on the count of Actions to view the Issues and Actions page. |
| Risk Threshold | Displays the Risk Threshold Amount as defined in Financial Impact Scales for the Business Line and Location of the Risk.<br>**Note:** You can click on the count of Risk Thresholds to view the Financial Impact Scales. |
| BES | Displays the number of Business Environment Scorecard (BES) linked to the Risk.<br>**Note:** You can click on the count of BES to view the BES of the Business Line and Location of the Risk. |
| Risk Appetite Statements | Displays the number of Risk Appetite Statements linked to the Risk.<br>**Note:** You can click on the count of Risk Appetite Statements to view the Risk Appetite Statements of the Business Line and Location of the Risk. |

**Note:** You can click on the count of various components to navigate to the respective list.

### *Managing Causes*

Causes are the factors which caused the risk to arise. The main cause behind the risk is called as the primary cause. The Details tab allows you to link or delink Causes for the risk. Only one of the linked causes can be marked as a primary cause. Users mapped to the role of Risk Owner can manage causes.

**Note:** Linking a primary cause is mandatory to submit a Risk.

This section covers following sections:

- Linking a Cause
- Selecting a Primary Cause
- Delinking Causes

#### Linking Causes

To link a cause, follow these steps:

1. Navigate to the Risk Details page.
2. Click **View More**. The section expands to display its components.
3. Click **Link** in the Causes section. The Causes Search page is displayed.

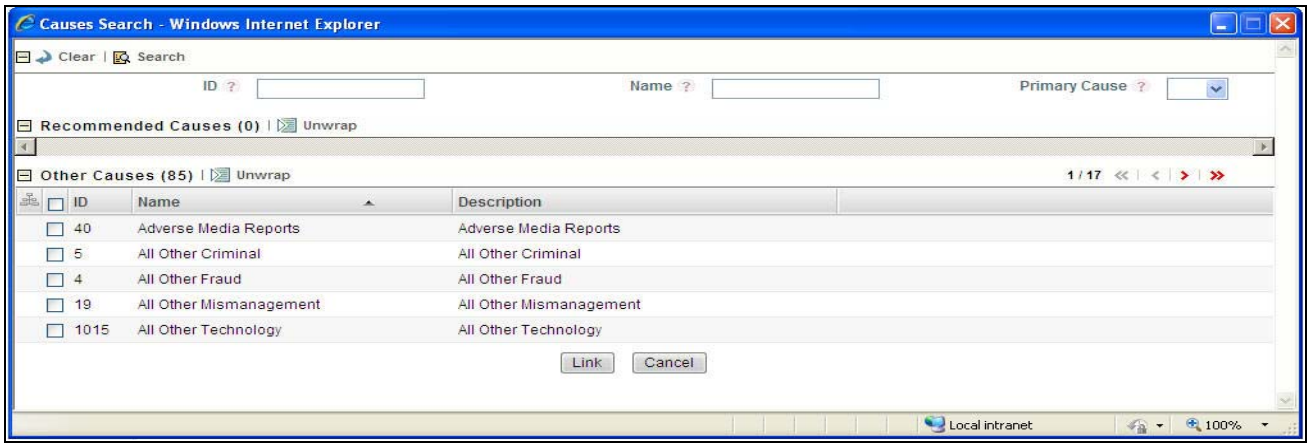



**Figure 55. Causes Search Page**

The Causes Search page consists of the following sections:

- **Recommended Causes**: This section lists the Causes linked to the Risk Library associated with the current Risk.
- **Other Causes**: The section lists all other causes except the Recommended Causes.

**Note:** Recommended Causes are selected by default. You can retain or deselect as applicable.

4. Select one or more Causes related to the Risk.

   **Note:** You can also search for causes by entering the relevant search criteria.

5. Click **OK**. The following message is displayed: *Records Linked Successfully.* Click **OK**.
6. Click **Back**. The causes are linked to the risk and listed in the Causes section.

### Selecting a Primary Cause

The main cause behind the risk is called as the primary cause. Among the linked causes for a Risk, there should be one primary cause. It is mandatory to mark one cause as primary in order to submit a Risk.

To select one of the linked causes as a primary cause, follow these steps:

1. Navigate to the Risk Details page.
2. Click **View More**. The section expands to display its components.
3. Expand the Causes section and select a Cause **ID**.
4. Select **Yes** in the Primary Cause column and enter your comments in the Comments box.
5. Click **Update** in the Causes section. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The cause is marked as a Primary Cause.

### Delinking Causes

To delink a cause, follow these steps:

1. Navigate to the Risk Details page.
2. Click **View More**. The section expands to display its components.
3. Select a cause ID and click **Delink** in the Causes section. 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 selected cause is delinked and the updated Causes list is displayed.

### *Managing Impacts*

The Risk Details page allows you to link and delink Information Libraries to the Risk in Draft and Open status. An Information Library acts as a central repository for storing information which helps in analyzing and planning further actions.

To link an Information Library to a Risk, follow these steps:

1. Navigate to the Risk Details page.
2. Click **View More**. The Risk Details expand.
3. Click link in the **Impacts** grid. The Information Library Search and List page is displayed with the records in Open status.
4. Select an Information Library and click **Link**.

   **Note:** You can also search the Information Libraries by entering search criteria. For more information, refer to *Chapter 14 - Managing Information Library*.
5. Click **Back**. The Risk Details page is displayed with the linked Information Library in the Impacts grid.

### *Attaching and Deleting Documents*

The Risk Details page allows you to attach or delete documents related to a Risk. Users mapped to the role of Risk Owner can attach and delete documents.

For more details on attaching and deleting documents, refer to *Managing Documents* section.

### *Viewing Workflow History*

The Risk Details page shows the audit trail of changes made to the Library Risk. Users mapped to the role of Risk Owner, Risk Assessor, Challenger and Audit Officer can view the workflow history.

For more details, refer to *Viewing Workflow History* section.

The following table lists the action comments displayed in Workflow History corresponding to the actions:

**Table 17. Action Comments - Risk Workflow**

| Role | Action | Status | Action Comments in Workflow |
|---|---|---|---|
| Risk Owner | Creates a New Risk at BU | Draft | Risk created at Business Unit |
| Risk Owner | Updates a Risk in Draft Status | Draft | Risk details updated |

**Table 17. Action Comments - Risk Workflow**

| Role | Action | Status | Action Comments in Workflow |
|---|---|---|---|
| Risk Owner | Submits a Risk and status changes to Open | Open | Risk details Submitted |
| Risk Owner | Updates a Risk in Open Status | Open | Risk details updated |
| Risk Assessor | Risk Assessment | Open | Risk Assessed - <Assessment ID> |
| Risk Owner | Closes a Risk in Library | Closed | Risk Deactivated and Closed |

## Managing Linkages

The Linkages tab allows you to link and delink records from different modules of OFSOR/GCM to a Risk. This tab also displays the records linked to the Risk from other modules. Users mapped to the role of Risk Owner can manage Linkages.

This tab displays the following grids:

- **Controls**: Displays the Controls in Open status linked to the Risk.
- **Key Indicators**: Displays the Key Indicators in Open status linked to the Risk.
- **Insurance Policies**: Displays the Insurance Policies in Open status linked to the Risk.
- **Internal Incidents**: Displays the Internal Incidents in all statuses except Closed, linked to the Risk.
- **External Incidents**: Displays the External Incidents in all statuses linked to the Risk.
- **Change Initiatives**: Displays the Change Initiatives linked to the Risk.
- **Scenarios**: Displays all Scenarios in Open status linked to the Risk.

**Note:** You can link and delink all above components except Change Initiatives.

This section covers following topics:

- Linking Controls
- Updating Change Initiatives

### *Linking Controls*

To link a Control, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Linkages.** The Linkages page displays.

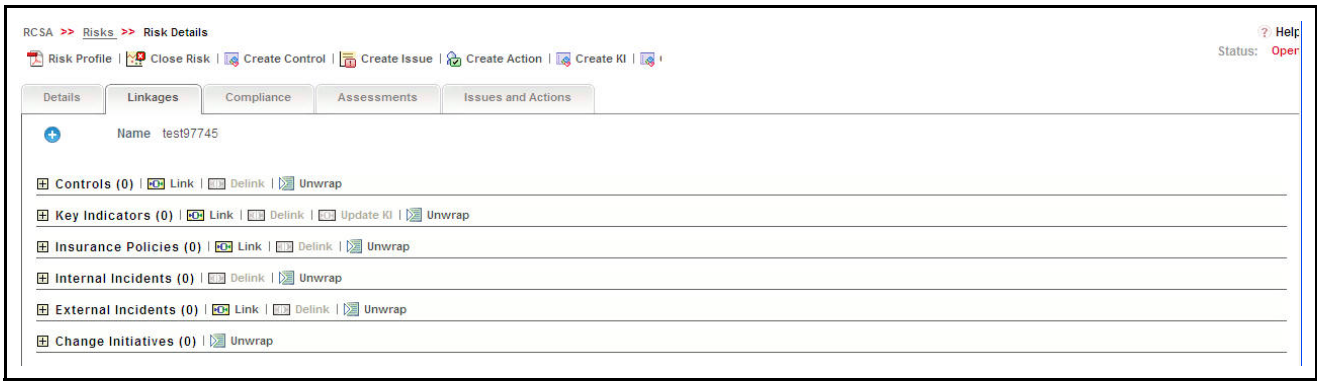



**Figure 56. Linkages Page - Risk**

3. Click **Link** in the Controls section. The Controls Search page is displayed.

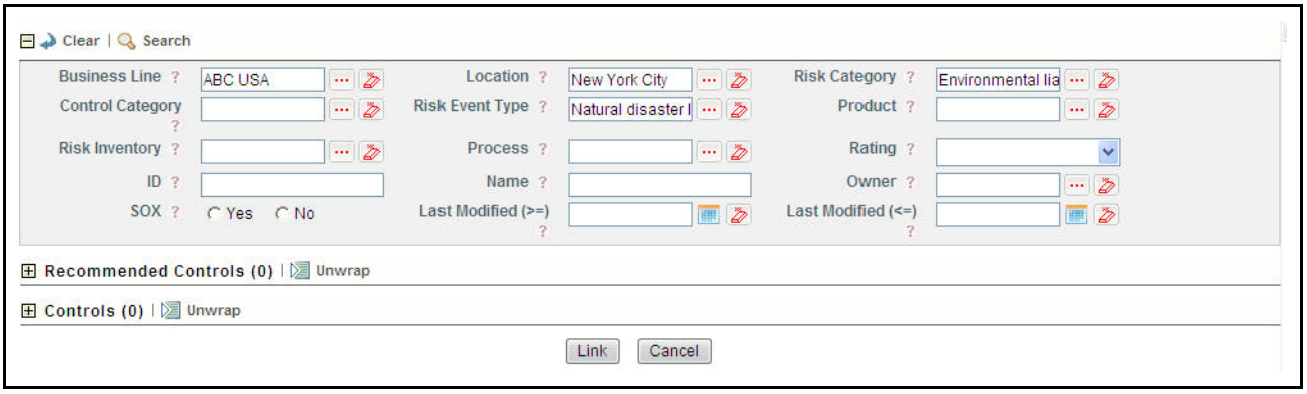



**Figure 57. Controls For Linking to Risk**

The Controls Search page consists of the following sections:

- **Search**: This section consists of search fields with Business Line, Location, Risk Category, Risk Inventory, and Risk Event Type pre-populated as per the current Risk. You can change the search criteria if required.
- **Recommended Controls**: This section lists a set of Controls which is derived through the following linked components: Current Risk > Library Risk > Library Control > Controls

  The current Risk is linked to a Library Risk which has linked Library Controls. The Controls linked to this Library Control are listed under Recommended Controls.
- **Controls**: This section lists all other controls as per the given search criteria.

4. Select one or more Controls from the list and click **Link**. The following message is displayed: *Records Linked Successfully.* Click **OK**. The Controls Search page is displayed.

   **Note:** You can search for controls by entering search criteria. If you try to link a control belonging to an other business line and location than that of the current Risk, the following message is displayed: *Records of other Business Units are being linked. Do you want to continue?* Click **OK** and proceed.
5. Click **Back**. The updated Controls list is displayed in the Linkages page.

**Note:** You can link other components by following the steps provided above. However, there is no option to link recommended components.

### *Updating Change Initiatives*

Risks can be linked, while creating Change Initiatives in the Change Management module. The linked Change Initiatives are displayed in the Linkages section of the Risk Module. The components Change Impact, Change Impact Analysis, and Change Impact Status can be captured at risk level.

Enter the required information in the Key Indicators section. The following table describes the fields of this page:

**Table 18. Change Initiative Components**

| Fileds | Description |
|---|---|
| Change Impact | Select the impact of the change from the drop-down list with the following options:<br>• High Impact<br>• Medium Impact<br>• Low Impact<br>• No Impact |
| Change Impact Analysis | Enter your comments regarding the impact of the change. You can enter up to 3000 characters in this field.<br>**Note:** If you try to enter more than 3000 characters, the following message is displayed: *Number of characters exceeded*. |
| Change Impact Status | Select the status of change impact from the drop-down list with the following options:<br>• Risk Reviewed and Updated<br>• Risk Reviewed and does not require update<br>• Requires Review |

For more details on Change Initiatives, refer to chapter *Chapter 11, Managing Change Management*.

## Managing Compliances

The Compliance tab is displayed in the Risk Details page when the Risk is in Open status. Users mapped to the role of Risk Owner can manage compliance. This tab lists the Obligations and Regulations linked to the Risk. Obligations in Open or In Review status can be linked to a Risk. When you link an Obligation, the related Regulations or policies are automatically displayed.

To link or delink Obligations, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Compliance.** The Compliance page is displayed.

For more information on linking or delinking, refer to *Managing Linkages* section.

### *Updating Obligations*

Whenever an Obligation goes through a material change at the Obligations library, the Risk Review Status of the linked risks is set to Requires Review. The Risk Owner receives a notification in Inbox. The Risk Owner can review the risk and update the Risk Review Status along with comments.

The Risk Owner can update the Risk Review Status and Comments section of the linked Obligation.

To update Obligation, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Compliance.** The Compliance page is displayed.
3. Select a linked Obligation. The Risk Review Status and Comments section becomes editable.
4. Select the Risk Review Status from the drop-down list with following options:
   - Reviewed and changes made
   - Reviewed and no changes required
5. Enter your comments in the Comments section.
6. Click **Save**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Compliance page is displayed.

   **Note:** If the Obligation goes through a material change, the Risk Review Status is changed to *Required Review* and this process continues.

## Managing Risk Assessments

Risks in Open status can be assessed to check their effectiveness. Users mapped to the role of Risk Assessor can manage assessments. The Risk Search and List page displays the latest completed assessment ratings of the Risks.

Risks can be assessed in two different approaches. They are as follows:

- Manual Approach
- Questionnaire Approach

**Note:** The Assessment Type field allows you to select the approach for assessment while creating the control.

This section covers the following topics:

- Assessment Workflow
- Creating Assessments -Manual Approach
- Creating Assessments - Questionnaire Approach
- Editing Assessments
- Managing Assessments Challenges
- Deleting Assessments

### *Assessment Workflow*

The following figure explains the Risk Assessment Workflow:

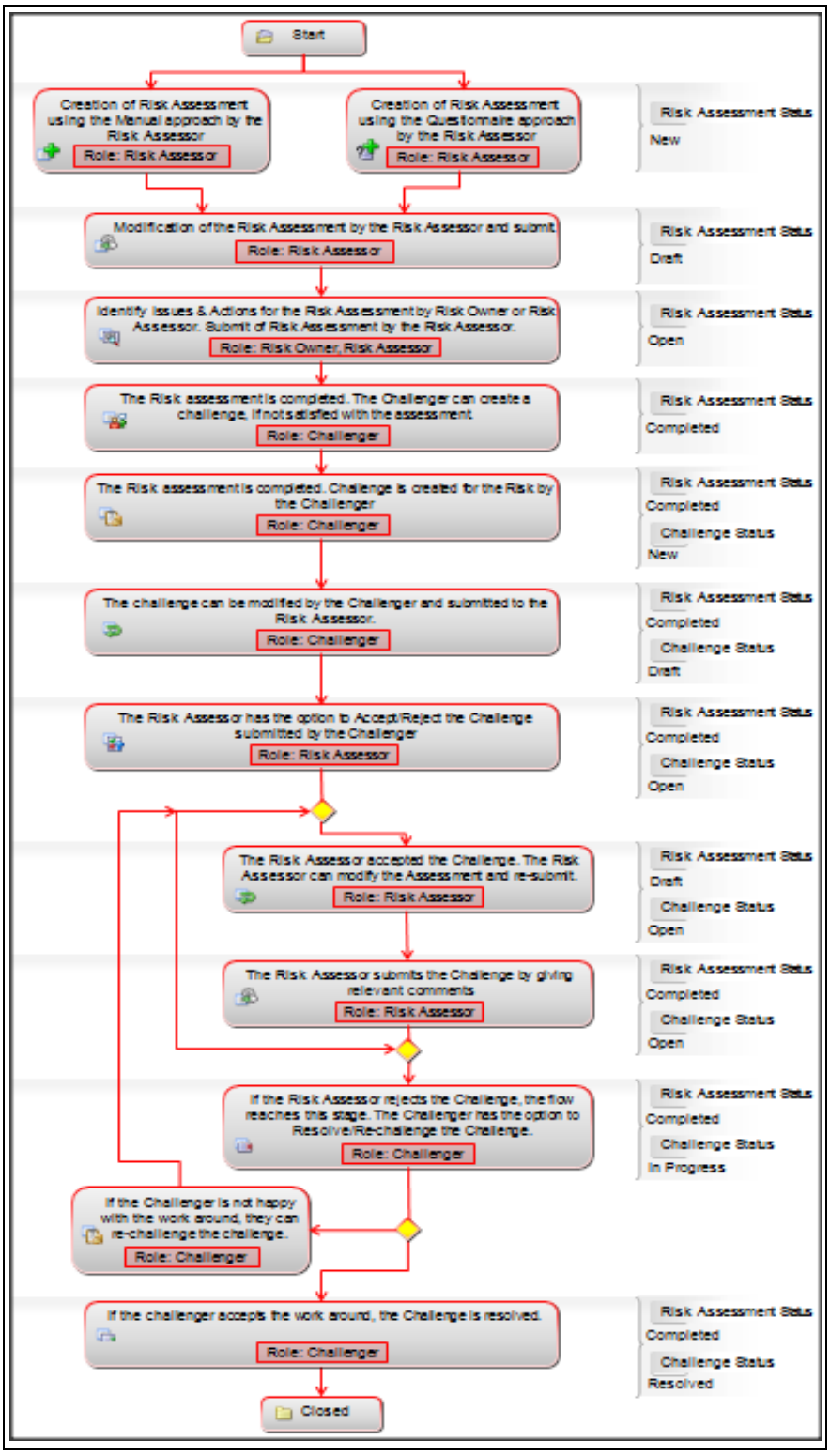



**Figure 58. Risk Assessment Workflow**

### *Creating Assessments -Manual Approach*

Risks can be assessed manually if the Assessment Type is selected as Manual while creating the risk.

To create a manual assessment, follow these steps:

1. Navigate to the Risk Search and List page. Select a Risk in *Open* status and click **Assess** Risk. The Assessment Details page is displayed.

   Or:

   Navigate to the Assessments tab in the Risk Details page and click **Assess Risk**. The Assessment Details page is displayed.

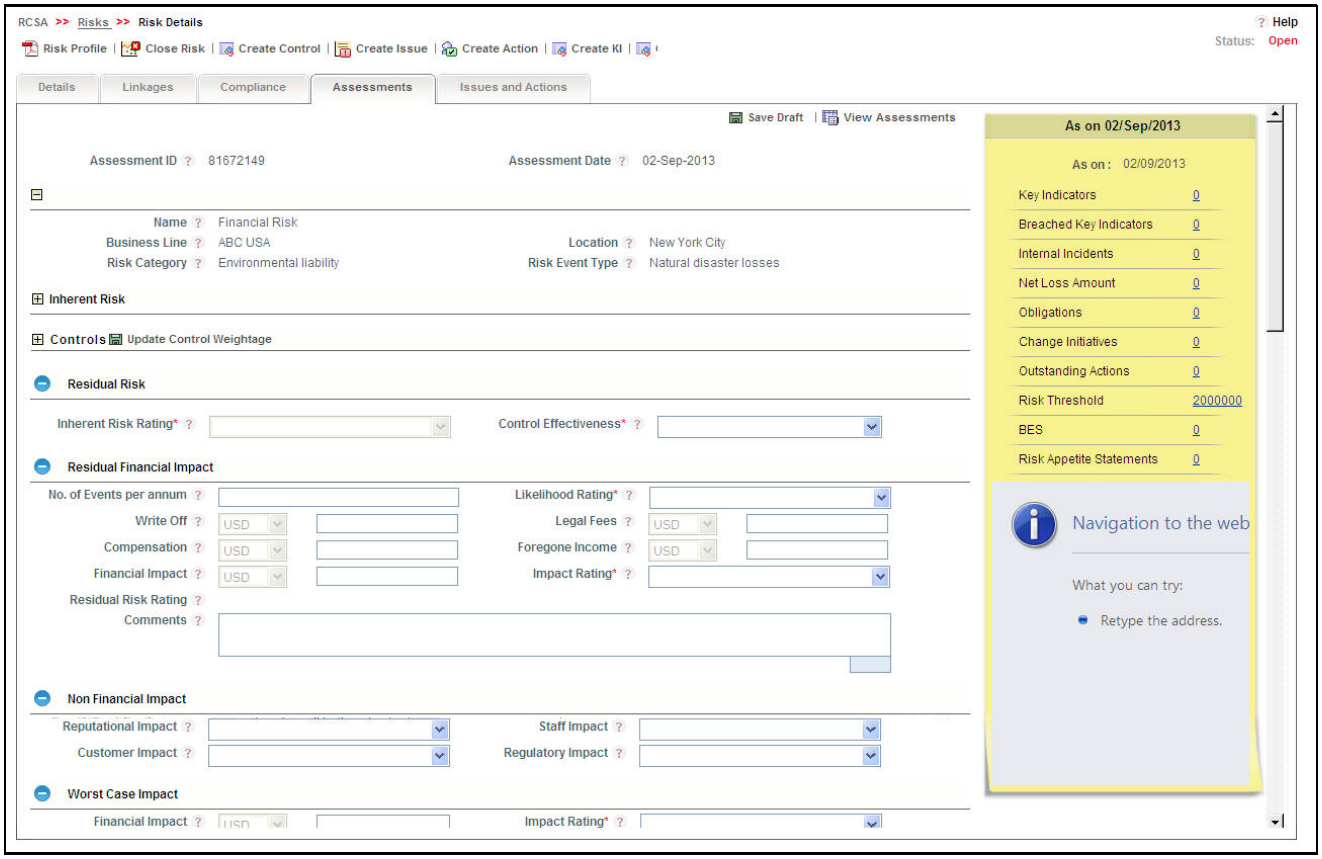



**Figure 59. Risk Assessment Details Page**

The Assessment Details page has the following sections:

- Inherent Risk
- Controls
- Residual Risk

**Note:** Click **View Assessment** in the Assessment Details page to view the list of assessments created for the Risk.

2. Enter the pertinent information in all sections of Assessment Details page.

**Inherent Risk**

The risk associated with a product or process in the absence of any control measures is called as the Inherent Risk. The following table describes the fields of this section:

**Table 19. Inherent Risk Details**

| Fileds | Description |
|---|---|
| Quantitative Impact | Enter the Amount of loss which can occur in a year without implementing any Controls.<br>**Note:** You should select a currency from the drop-down list which will be default value for all other amounts in the Assessment Details page. |
| Impact Rating | Displays the Impact Rating of the Risk. The options include:<br>● Catastrophic 1<br>● Catastrophic 2<br>● Catastrophic 3<br>● Major<br>● Moderate<br>● Minor<br>● Insignificant<br>**Note:** If the Quantitative Impact is entered, the Impact Rating is derived from the values defined in the Financial Impacts section in Admin module. If the quantitative impact is blank, you can select the Impact Rating from the drop-down list. |
| Inherent Likelihood | Enter the number of times the risk event is likely to occur when no control is implemented. |
| Likelihood Rating | Displays the level of likelihood of the risk event. The options include:<br>● Extremely Rare<br>● Rare<br>● Unlikely<br>● Possible<br>● Likely<br>● Almost Certain<br>**Note:** If Inherent Likelihood is entered, the Likelihood Rating is derived from the values defined in the Financial Impacts section of the Admin module. If Inherent Likelihood is blank, you can select the Likelihood Rating from the drop-down list. |

**Table 19. Inherent Risk Details (Continued)**

<table>
<tr><th>Fileds</th><th>Description</th></tr>
<tr><td>Inherent Risk Rating</td><td>Displays the rating of the Inherent Risk based on the Impact Rating and Likelihood Rating.<br><br>For example, Inherent Risk Rating can be calculated based on the following matrix:
<table>
<tr><th></th><th>Extremely Rare</th><th>Rare</th><th>Unlikely</th><th>Possible</th><th>Likely</th><th>Almost Certain</th></tr>
<tr><td>Catastrophic 3</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td></tr>
<tr><td>Catastrophic 2</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td></tr>
<tr><td>Catastrophic 1</td><td>MEDIUM</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td></tr>
<tr><td>Major</td><td>MEDIUM</td><td>MEDIUM</td><td>HIGH</td><td>HIGH</td><td>HIGH</td><td>HIGH</td></tr>
<tr><td>Moderate</td><td>LOW</td><td>LOW</td><td>MEDIUM</td><td>MEDIUM</td><td>HIGH</td><td>HIGH</td></tr>
<tr><td>Minor</td><td>LOW</td><td>LOW</td><td>LOW</td><td>MEDIUM</td><td>MEDIUM</td><td>MEDIUM</td></tr>
<tr><td>Insignificant</td><td>LOW</td><td>LOW</td><td>LOW</td><td>LOW</td><td>LOW</td><td>LOW</td></tr>
</table></td></tr>
<tr><td>Inherent Risk Justification</td><td>Enter your comments justifying the Inherent Risk Rating.</td></tr>
</table>

#### Controls

This section lists the Controls linked to Risk. The linked Controls should be assessed before risk assessment.

You can select a Control, assign weights, and enter comments. The total weight of the Controls should be 100. For example if the number of Controls linked are two, the weights can be (50, 50) or (30, 70) or (60, 40) and so on.

Based on the ratings, the Overall Control Effectiveness is calculated and displayed in the Residual Risk Assessment container.

#### Residual Risk

The remaining risk after the control measures have been applied is the Residual Risk.

This section consists of the following fields:

- **Inherent Risk Rating**: Displays the rating derived from the Inherent Risk Rating field in the Inherent Risk section. The ratings can be High, Medium or Low.
- **Control Effectiveness**: Displays the rating for the effectiveness of a Control. This is derived from the Overall Effectiveness and Weightage of the linked Controls.

  **Note:** If no controls are linked to the risk, you can select a rating from the Control Effectiveness drop-down list. The options include:

  - Effective
  - Qualified
  - Requires Improvement

The Residual Risk section has the following sub-sections:

- Residual Financial Impact
- Non-Financial Impact
- Worst Case Impact
- Target Post Treatment

#### Residual Financial Impact

The following table describes the fields of the Residual Financial Impact section:

**Table 20. Residual Financial Impact Details**

| Fields | Description |
|---|---|
| No. of events per annum | Enter the number of times the risk may materialize in the next one year, after taking controls into consideration. |
| Likelihood Rating | Displays the level of likelihood of the risk event. The options include:<br>● Extremely Rare<br>● Rare<br>● Unlikely<br>● Possible<br>● Likely<br>● Almost Certain<br><br>**Note:** If the number of events per annum is entered, the Likelihood Rating is derived from the values defined in the Financial Impacts section of the Admin module. If the number of events per annum field is blank, you can select the Likelihood Rating from the drop-down list. |
| Write Off | Enter the likely amount of write off if this risk is to materialize. |
| Legal Fees | Enter the likely amount of legal fees if this risk is to materialize. |
| Compensation | Enter the likely amount of compensation if this risk is to materialize. |
| Foregone Income | Enter the likely amount of income to be foregone if this risk is to materialize. |
| Financial Impact | Displays the expected or potential loss amount to be incurred each time the risk materializes in the next one year. This amount is derived based on the sum of amounts entered in the Write Off, Legal Fees, Compensation, and Foregone Income fields. |
| Impact Rating | Displays the Impact Rating of the Risk. The options include:<br>● Catastrophic 1<br>● Catastrophic 2<br>● Catastrophic 3<br>● Major<br>● Moderate<br>● Minor<br>● Insignificant<br><br>**Note:** If the Financial Impact is entered, the Impact Rating is derived from the values defined in the Financial Impacts section of the Admin module. If the Financial Impact is blank, you can select the Impact Rating from the drop-down list. |
| Residual Risk Rating | Displays the rating Risk based on Impact Rating & Likelihood Rating. |
| Comments | Enter your comments for the Residual Risk Rating. |

#### Non-Financial Impact

This section allows you to capture the non-financial impacts on the organization that can arise out of the risk. Each field in this section is a drop-down list with the following options:

- High Impact
- Medium Impact
- Low Impact
- No Impact

The following table describes the fields of Non-Financial Impact section:

**Table 21. Non-Financial Impact Details**

| Fields | Description |
|---|---|
| Reputational Impact | Select the impact of risk on the reputation of the organization from the drop-down list. |
| Staff Impact | Select the impact of risk on the staff of the organization from the drop-down list. |
| Customer Impact | Select the impact of risk on the customers of the organization from the drop-down list. |
| Regulatory Impact | Select the impact of risk on the regulations or obligations from the drop-down list.<br>**Note:** Selecting Regulatory Impact is mandatory if a regulation or obligation is linked to the Risk. |

#### Worst Case Impact

This section allows you to capture the worst case impacts on the organization that can arise out of the risk.

The following table describes the fields of Worst Case Financial Impact section:

**Table 22. Worst Case Impact Details**

| Fields | Description |
|---|---|
| Financial Impact | Enter the potential loss amount to be incurred each time the risk materializes in the next one year. The is the expected amount incurred in the worst case after applying control measures. |
| Impact Rating | Displays the Impact Rating of the Risk. The options include:<br>- Catastrophic 1<br>- Catastrophic 2<br>- Catastrophic 3<br>- Major<br>- Moderate<br>- Minor<br>- Insignificant<br>**Note:** If the Financial Impact is entered, the Impact Rating is derived from the values defined in the Financial Impacts section of the Admin module. If the Financial Impact field is blank, you can select the Impact Rating from the drop-down list. |
| Comments | Enter your comments for the Worst Case Impact Rating. |

#### Target Post Treatment

When risk rating is high or medium, organizations follow it up with actions plans to reduce the risk. The Target Post Treatment section allows you to predict the impact of the risk after successfully implementing the control measures.

The following table describes the fields of Target Post Treatment section:

**Table 23. Target Post Treatment Details**

| Fields | Description |
|---|---|
| Financial Impact | Enter the potential loss amount to be incurred each time the risk materializes after applying the identified control measures. |
| Impact Rating | Displays the Impact Rating of the Risk. The options include:<br>• Catastrophic 1<br>• Catastrophic 2<br>• Catastrophic 3<br>• Major<br>• Moderate<br>• Minor<br>• Insignificant<br>**Note:** If the Financial Impact is entered, the Impact Rating is derived from the values defined in the Financial Impacts section in Admin. If the Financial Impact is blank, you can select Impact Rating from the drop-down list. |
| Comments | Enter your comments for the Target Post Treatment Impact Rating. |

3. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to Draft.

   Or:

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Completed*.

   **Note:** To submit an assessment, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Enter all mandatory fields.*

### *Creating Assessments - Questionnaire Approach*

Questionnaire based assessment functionality in OFS OR application allows users to assess Risk through Questionnaire based approach. In this approach, multiple respondents linked to selected questionnaire respond to the questions and the feedback is sent to the Assessor of the entity. Assessor can draw the conclusions from these feedbacks and go ahead with the majority opinion or as per his own analysis.

Also, users can get the complete view of the entity performance/functioning through the respondents, who will be majorly the owner of the entities which are effected by the entity which is under scrutiny.

**Note:** For Risks, you can use 'Basic' and 'Score Based' Questionnaires. Questionnaire of type 'Basic' allows respondents to answer the questions but the final value for the assessment is not derived from their responses directly. Questionnaire of type 'Score based' allows respondents to not only respond but final value is derived from their responses (though Assessor can override).

Risks can be assessed manually if the Assessment Type is selected as **Questionnaire** while creating the risk.

To create a Questionnaire based assessment, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page and click **Assess Risk**. The Assessment Details page is displayed.

   Or

   Navigate to the Risk Search and List page. Select a Risk in Open status and click **Assess Risk**. The Assessment Details page is displayed.

2. When you click **Assess Risk**, then the following message is displayed: *You are initiating Risk Assessment. Questionnaire response tasks will be generated to the respondents. Do you want to continue?* Click OK.




**Figure 60. Assessing Risk**

**Note:** If Questionnaire is not selected, then following message is displayed: N*o Questionnaires are available currently. Please contact the Questionnaire Administrator* and you would not be able to continue the assessment.

3. A draft assessment record will be created.

   **Note:** The Responedent logs into his Inbox and can response to that questionnaire. For more information, refer to *Responding to Questionnaire* section. If questionnaires are linked and the respondents are not linked, then Assessor will be treated as respondent, and he will get the task to response the questionnaire.

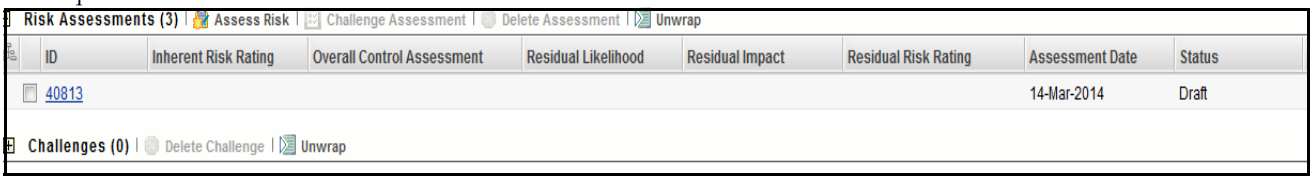



**Figure 61. Draft Assessment**

When the status of Assessment is Draft, you can edit the assessment details.

To edit the assessment details, follow the steps given below:

1. Click the Risk Assessment in Draft status.
2. The Response Summary page will display. The Response Summary page shows the summary of Risk questionnaire.

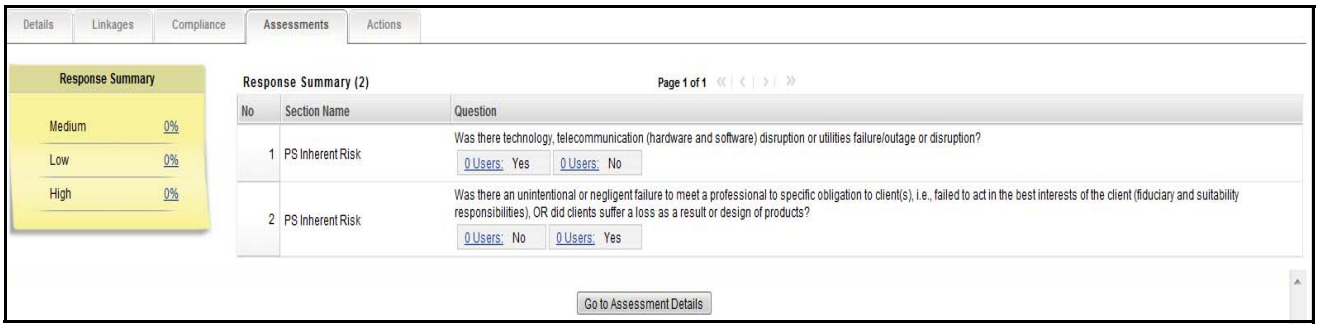



**Figure 62. Response Summary Page**

This page shows the following details:

- List of sections and questions of questionnaire with response options
- Count of Respondents: The count of responses will display along the user. You can click **Users** link to view the details of Respondent.
- Response Summary: If the questionnaire type is basic, then the response summary will be blank. For score based questionnaire, this will display the distributed percentage (%) based on responses provided by users (respondents).

**Note:** Once the users have responses, the Risk Assessor completes the assessment. For 'Score based' Questionnaires, final rating (Risk rating) will be auto derived from the responses of the respondent. If two or more options (High, Medium, or Low) are equally scored and if those have highest scroes then the **Worse Case** option is selected. Below is the order for **Worse Case** selection from worse to good in Risks

- Low
- Medium
- Low

### *Editing Assessments*

The Risk Assessor can update and modify assessment details when it is in Draft status.

To edit an assessment, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page.
2. Select the assessment **ID** that you want to edit. The Assessment Details page is displayed.
3. Modify the required details. For more information about the fields, refer to *Managing Risk Assessments*.
4. Click **Save Draft**. The following message is displayed: *Update Operation Successful*. Click **OK**. The updated Assessment Details page is displayed.

   Or:

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Completed*.

*Viewing Additional Information*

The Assessment Details page provides additional information regarding the Risk assessment. This additional information is available in all statuses except Completed.

To view additional information related to the Risk assessment, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Assessments**. All Assessments associated to the Risk are listed.
3. Select an Assessment **ID**. The Assessment Details page is displayed with the Additional Information section.




**Figure 63. Risk Assessment Additional Information**

The following table describes the fields in the Additional Information section of the Assessment details page.

**Table 24. Additional Information - Risk Assessments**

| Fields | Description |
|---|---|
| Key Indicators | Displays the number of Key Indicators linked to the Risk. |
| Breached Key Indicators | Displays the number of Breached Key Indicators linked to the Risk. |
| Internal Incidents | Displays the number of Internal Incidents linked to the Risk. |
| Net Loss Amount (Internal) | Displays the total loss amount caused by the Risk. |
| Obligations | Displays the number of Obligations linked to the Risk. |
| Change Initiatives | Displays the number of Change Initiatives linked to the Risk. |
| Actions | Displays the total number of Actions created and linked to the Risk. |

**Table 24. Additional Information - Risk Assessments**

| Fields | Description |
|---|---|
| Outstanding Actions | Displays the overdue Actions linked to the Risk. The Actions whose target date has been crossed are called Overdue Actions.<br>You can click the count of Actions to view the Issues and Actions page. |
| Risk Threshold | Displays the Risk Threshold Amount as defined in Financial Impact Scales for the BU of the Risk.<br>**Note:** You can click the count of Risk Thresholds to view the Financial Impact Scales. |
| BES | Displays the number of Business Environment Scorecards (BES) linked to the Risk.<br>**Note:** You can click the count of BES to view the BES of the Business Line and Location of the Risk. |
| Risk Appetite Statements | Displays the number of Risk Appetite Statements linked to the Risk.<br>**Note:** You can click the count of Risk Appetite Statements to view the Risk Appetite Statements of the Business Line and Location of the Risk. |
| Reports | Displays the latest assessment trends as an embedded report. |

### *Managing Assessments Challenges*

You can challenge an assessment in Completed status if you feel that the assessment ratings are not satisfactory. Users mapped to the role of Challenger can challenge an Assessment.

This section discusses the following topics:

- Challenge Workflow
- Challenging Risk Assessment
- Editing Challenge in Draft Status by Challenger
- Editing Challenge in Open Status by Assessor
- Editing Challenge in In Progress Status by Challenger
- Deleting Challenge

### Challenge Workflow

The following figure explains the Challenge workflow:

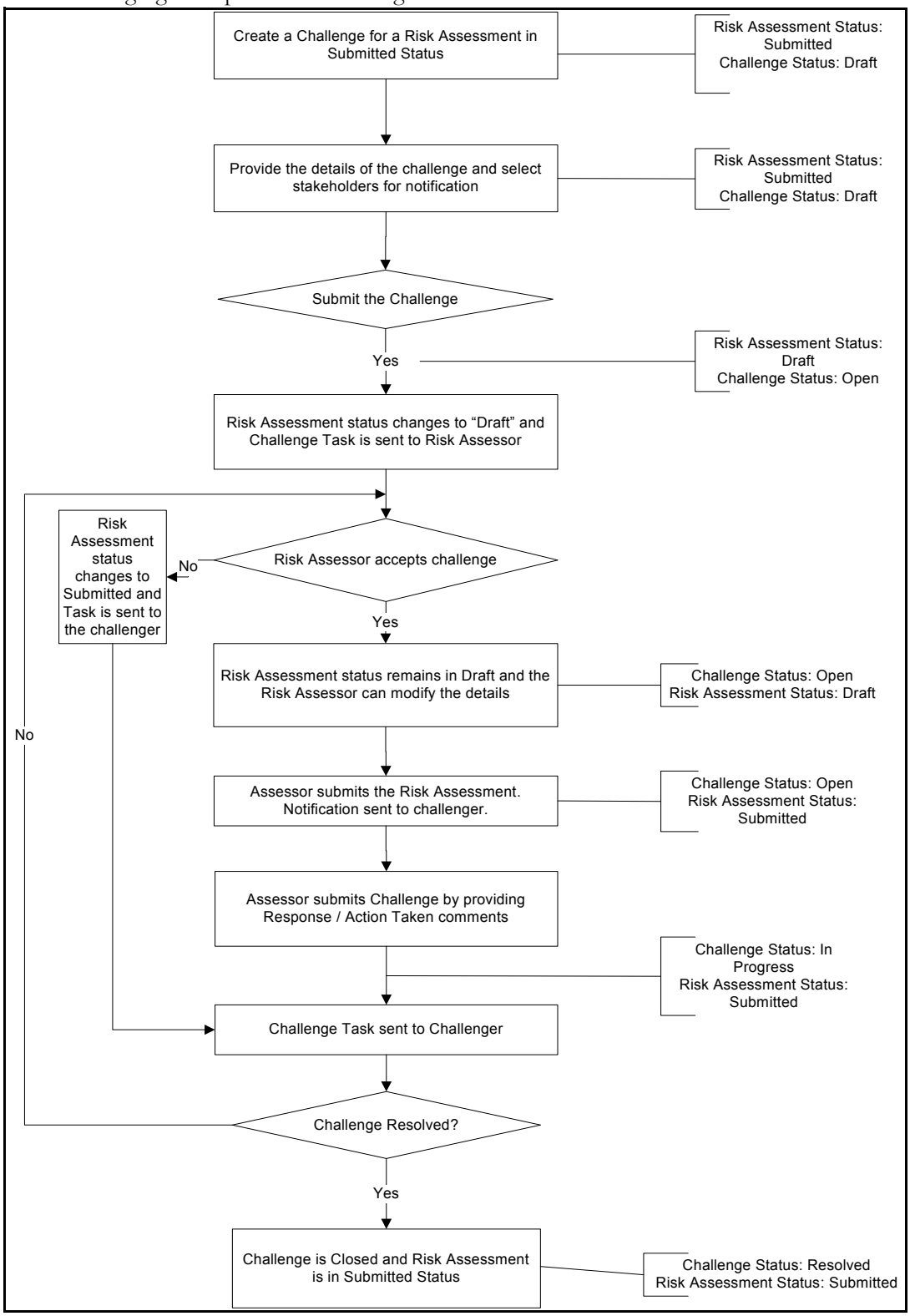



**Figure 64. Assessment Challenge Workflow**

### Challenging Risk Assessment

To challenge a Risk assessment, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page.
2. Select the assessment you want to challenge. The Assessment details are displayed.
3. Click **Challenge Assessment**. The Challenge Details page is displayed.

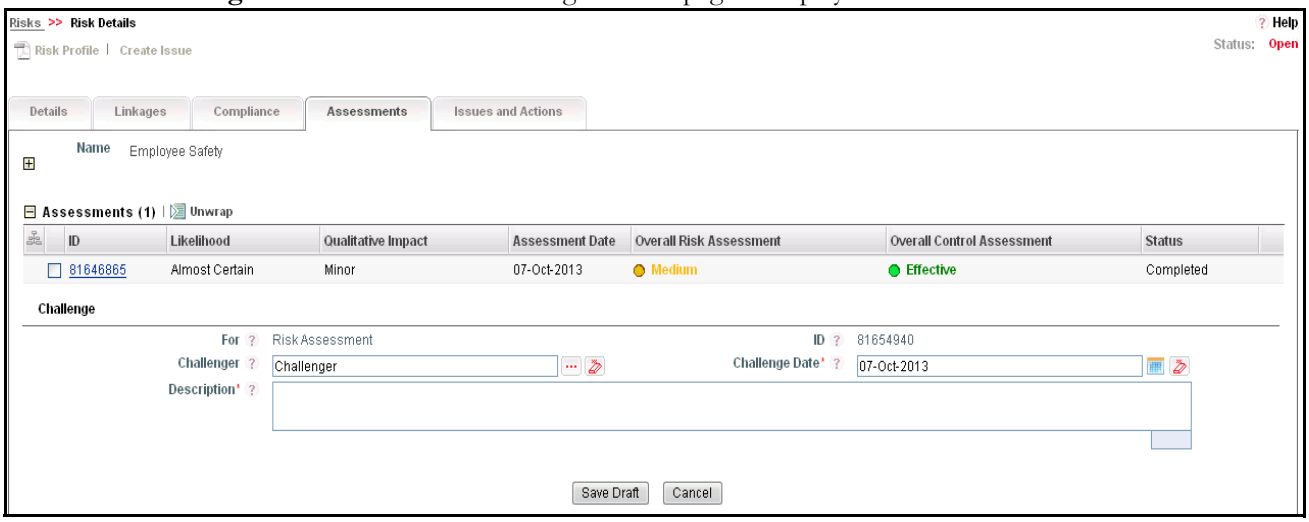



**Figure 65. Risk Assessment Challenge Details**

4. Enter the required information in the Assessment Challenge details section. The following table explains the fields of this section:

**Table 25. Risk Assessment Challenge Details**

| Fields | Description |
|---|---|
| For | Auto-populated as Risk Assessment |
| ID | Displays Sequential tracking number of the Challenge. |
| Challenger | Displays the name of the person who has challenged the Assessment.<br>**Note:** You can change the Challenger by selecting a name from the hierarchy browser. |
| Challenge Date | Select the date on which the Risk Assessment is challenged from the hierarchy browser.<br>**Note:** Challenge date should be greater than or equal to date of Assessment. |
| Description | Enter the detailed description of the challenge. You can enter a maximum of 300 characters in this field.<br>**Note:** If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*. |

5. Click **Save Draft**. The following message is displayed: *Add Operation Successful.* Click **OK**. The Challenge Details page which contains the Challenge Notifications section is displayed. The status of the Challenge is set to *Draft*.

   **Note:** When the Challenge is in Draft status, you can link and delink additional users in the Challenge Notifications section. A notification regarding the challenge is sent to the linked users.

6. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The Challenge Details page is displayed and the status of Challenge is changed to *Open*. The Risk Assessment which is challenged goes to *Draft* status.

   **Note:** A task is sent to the Risk Assessor and a notification is sent to each user listed in the Challenge Notification section.

#### Editing Challenge in Draft Status by Challenger

The Challenger can update or modify the Challenge Details when it is in Draft status.

To edit a Challenge in Draft status, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page.
2. Select the assessment to display its challenges.
3. Select the Challenge **ID** you want to edit. The Challenge Details page is displayed.
4. Modify the required details in the Challenge Details page. For more information on the fields, refer to *Table 25*.
5. Click **Save Draft**. The following message is displayed: *Update Operation Successful*. Click **OK**. The Challenge Details page is displayed and the status is set to *Draft*.

   Or:

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The Challenge Details page is displayed and the status is changed to *Open*.

   **Note:** The Risk Assessment which is challenged goes to *Draft* status.

#### Editing Challenge in Open Status by Assessor

User mapped to the role Risk Assessor can edit a challenge in Open status. The Assessor goes through the Challenge description and can either accept or reject the challenge.

To edit a Challenge in Open status, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page.

   Or:

   From the Inbox, click the Task **ID** for the Assessment Challenge. The Challenge Details page is displayed.
2. Select the assessment to display its challenges.
3. Select the Challenge **ID** you want to edit. The Challenge Details page with the Response section is displayed.

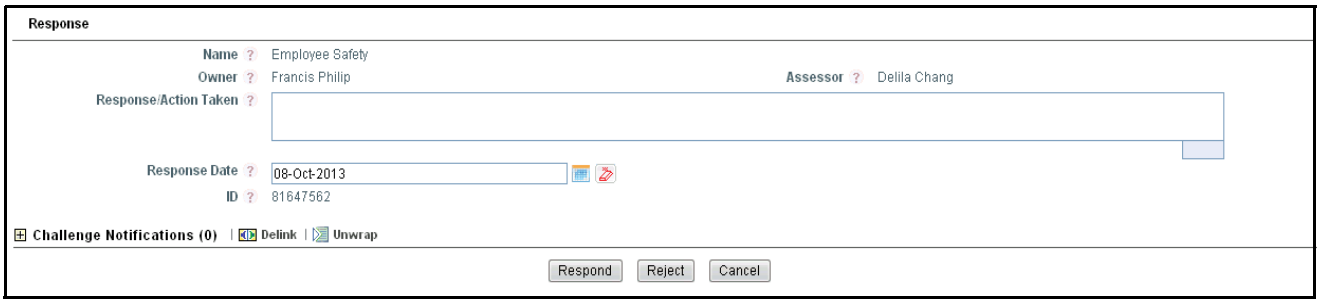



**Figure 66. Challenge Details - Response Section**

4. Enter your comments for the challenge in the Response/Action Taken text field.
5. Select a Response Date from the calendar.

   **Note:** The Response Date should be greater than or equal to the Challenge Date.
6. Click **Respond** if you accept or **Reject** if you reject the challenge. The status of the Challenge changes to *In Progress*. A task is sent to the Challenger.

   **Note:** If the Risk Assessor accepts and responds to the Challenge, it is mandatory that the Risk Assessment is in Submitted status. The Risk Assessor should submit the Risk Assessment and then respond. If the Challenge is rejected, the Risk Assessment moves to *Completed* status.

### Editing Challenge in In Progress Status by Challenger

After going through the response of the Control Assessor, the Challenger can take further action.

To edit a Challenge in the In Progress status, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page.

   Or:

   From the Inbox, click the Task **ID** for Assessment Challenge. The Challenge Details page is displayed.
2. Select the assessment to display its challenges.
3. Select the Challenge **ID** you want to edit. The Challenge Details page is displayed.

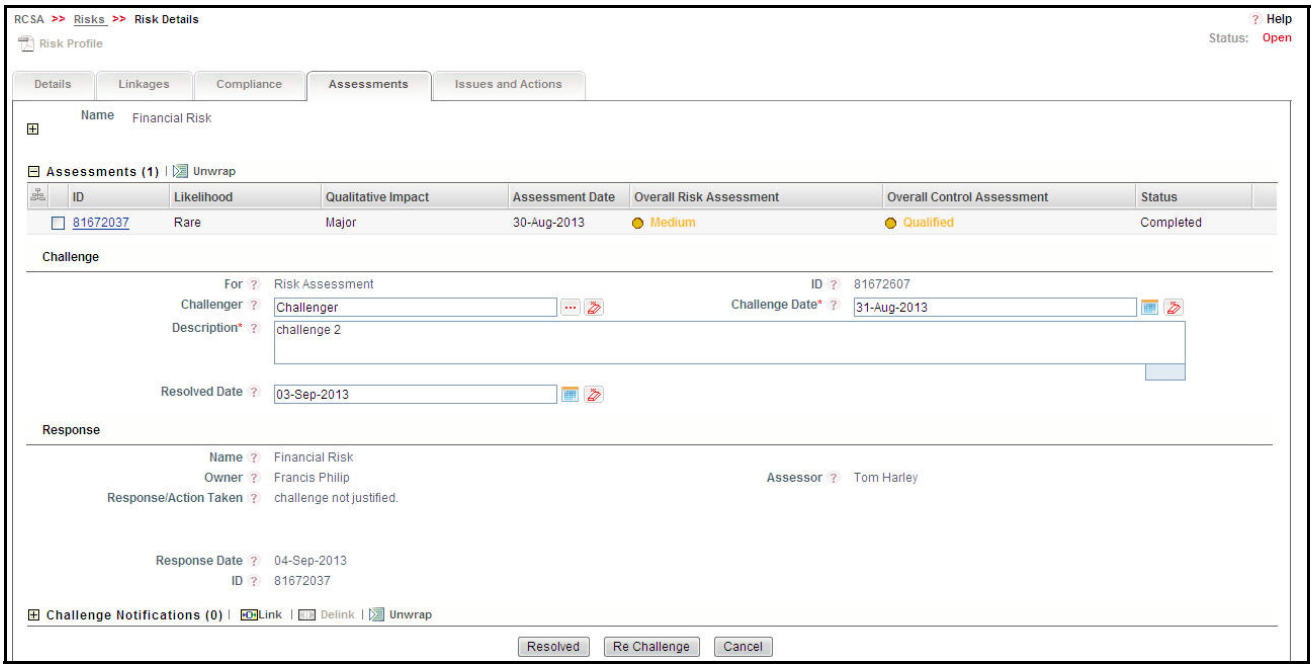



**Figure 67. Risk Assessment Challenge Details - In Progress Status**

4. Click **Resolved** if you are satisfied with the Risk Assessor's response. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the Challenge changes to *Resolved*.

   Or:

   Click **Re Challenge** if you are not satisfied with the Assessor's Response. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the Challenge changes to *Open* and the status of the Assessment changes to *Draft*.

   Further, the workflow continues from the point where Challenge status is set to Open.

### Deleting Challenge

When a Challenge in Draft status is not in use, it can be deleted. Users mapped to the role of Challenger can delete a Challenge.

To delete a Challenge, follow these steps:

1. Navigate to the Assessments tab in the Risk Details page.
2. Select an assessment to display its challenges.
3. Select the Challenge you want to delete. The Delete Challenge button is enabled.
4. Click **Delete Challenge**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Delete Operation Successful.*
6. Click **OK**. The Challenge is deleted and the updated Challenges page is displayed.

### *Deleting Assessments*

When an assessment in Draft status is not in use, it can be deleted. Users mapped to the role of Risk Assessor can delete an Assessment in Draft status.

**Note:** If an Assessment has been challenged and is in Draft status, it cannot be deleted.

To delete an assessment, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Assessments.** The Assessment page is displayed.
3. Select the assessment you want to delete. The Delete Assessment button is enabled.
4. Click **Delete Assessment**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Delete Operation Successful.*
6. Click **OK**. The assessment is deleted and the updated Assessment page is displayed.

## Creating Controls

The Risk Owner who is also mapped to the role of Control Owner can create Controls from the Risk Details page. The Create Control button is displayed on the Risk Details page when the Risk is in Open status.

To create a Control, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Create Control**. The Control Details page is displayed.

   For more details, refer to *Creating a Control* section.

## Managing Issues and Actions

An issue can be defined as a problem statement and actions are plans or activities taken up to resolve those issues. You can create, link and delilnk, and delete issues and actions associated to the Risks.

This section covers following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Action
- Closing Issues and Actions

### *Creating Issues*

When you identify a particular issue or a problem statement that poses operational risk to an organization, you can create issues and necessary action plans to resolve or address those issues.

Users mapped to the role of Risk Owner and Risk Assessor can create issues from the Controls section.

**Note:** The Risk must be in Open status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Risk Search and List page.
2. Click a Risk **ID**. The Risk Details page is displayed.
3. Click **Create Issue**. The Issue Details page is displayed.

For more information on fields in the Issue Details page, refer to *Creating Issues* section.

If an issue is initiated from the Risks section, the Component field in the Issue Details page displays as Risk and the Primary Source field displays the Risk Name.

### *Creating Actions through 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 Owners or Action Creators can create Action Plans for their Issues.

**Note:** To create actions plans, the Issue must be in Open status.

For more information about Creating Actions for Issues, refer to *Creating Actions* section.

### *Creating Actions Directly*

You can directly create Actions if the Issue Creation is turned off. This feature is configured during the installation of the OFSOR/GCM application or can be configured later.

Users mapped to the role of Risk Owner and Risk Assessor can create Actions from the Controls module.

**Note:** To create actions directly, the Control must be in Open status.

To create actions directly, follow these steps:

1. Navigate to the Risks Search and List page.
2. Click Risk **ID**. The Risk Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

   For more information about creating the Actions for Issues, refer to *Creating Actions* section.

   If an Action is initiated from the Risks section, the Component and Primary Source fields in the Actions Details page display as Risk and Risk Name respectively.

### *Linking and Delinking Issues and Actions*

The Issues and Actions tab allows you to link and delink issues and actions to Risks. You can link existing issues or actions to the Risk. If the issue or action is created from the Risks module, the issue or action will be automatically shown in the issue or action list of the Risk.

Users mapped to the role of Risk Owner or Risk Assessor can link and delink Issues to a Risk in Open status. You can only link issues which are in Open status.

Users mapped to the role of Issue Owner can link existing Actions to Issues which are in Open status.

If Issue creation is turned off, then Actions can be linked directly to a Risk. The Risk Owner or Risk Assessor can link and delink Issues to a Risk in Open status. You can only link issues which are in Open status.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Risks Search and List page.
2. Click Risk **ID**. The Risk Details page is displayed.
3. Click the **Issues and Action** tab. The Issues and Actions section is displayed.

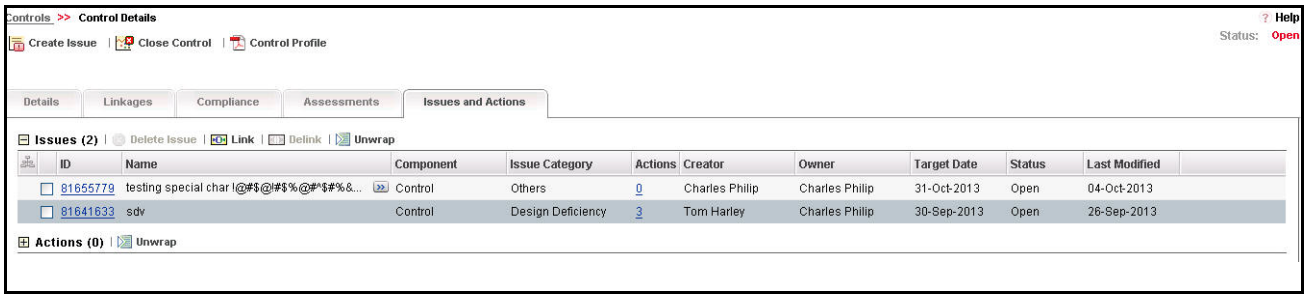



**Figure 68. Issues and Actions Tab**

For more information on linking and delinking Issues and Actions, refer to *Managing Linkages* section.

### *Deleting an Issue*

Users mapped to the role of Issue Creator or Issue Owner 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.

### *Deleting an Action*

The Risks section allows you to delete action plans in Draft status. Users mapped to the role of Issue Owner can delete Actions in Draft status if Issue Creation is turned on. If Issue Creation is turned off, Users mapped to the role of Risk Owner or Risk Assessor can delete Draft Actions linked to Controls.

For more information to delete Issues and Actions, refer to *Managing Actions Details* section.

### *Closing Issues and Actions*

Actions can be closed once they are complete. If all actions for an Issue are addressed, then Issues can be closed. If an Action is abandoned mid-way, it can be force closed. Once all actions are closed, the Issue can be closed. Only users mapped to the role of Action Owner can close or force close actions. Only an Issue Owner can close Issues.

For more information on closing Actions for Issues, refer to *Managing Issue Details* section.

### Creating Key Indicators (KI)

The Risk Owner who is also mapped to the role of KI Creator can create Key Indicators from the Risk Details page. The Create KI button is displayed on the Risk Details page when the Risk is in Open status.

To create a Key Indicator, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Create KI**. The Control Details page is displayed.

   For more details, refer to *Creating a Key Indicator*.

### Creating Obligations

The Risk Owner who is also mapped to the role of Obligation Identifier can create Obligations from the Risk Details page. The Create Obligation button is displayed on the Risk Details page when the Risk is in Open status.

To create an Obligation, follow these steps:

1. Navigate to the Risk Details page.
2. Click **Create Obligation**. The Obligation Details page is displayed.

   For more details, refer to *Creating Obligation*.

## Closing a Risk

If a Risk in Open status is no longer required, it can be closed. Users mapped to the role of Risk Owner can close Risks. You can close a Risk either from the Risk Library Search and List page or from the Details page. Once the Risk is closed, its status changes from *Open* to *Closed*.

**Note:** All records linked to the Risk should be delinked. The linked Issues should either be delinked or tracked to closure

To close a Risk, follow these steps:

1. Navigate to the Risk Search and List page.
2. Click a Risk **ID** in *Open* status that you want to close. The Risk Details page is displayed. From the Details page, click **Close Risk**.

   Or:

   From the Risk List, select the required Risk **ID** in *Open* status that you want to close and click **Close Risk**.

   The Reasons for Closure window is displayed.




**Figure 69. Reasons for Closure**

3. Enter the reason for closure. You can enter text up to 3000 characters.

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

   **Note:** If you click **Close** without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure.*

5. Click **Back** on the Reasons for Closure window. The system refreshes and displays the Library Risk in *Closed* status either in Library Risk List or in Library Risk Details page depending upon from where the closure was performed.

## Deleting a Risk

The Risks in Draft status which are not in use can be deleted. The Risk Search and List page allows you to a delete Risk. Users mapped to the role of Risk Owner can delete a Risk.

To delete a Risk, follow these steps:

1. Navigate to the Risk Search and List page.
2. Select the Risk **ID** you want to delete.
3. Click **Delete Risk**. 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 Risk is deleted and the updated Risk Search and List page is displayed.

## Exporting Risk Details

The Risk Search and List page allows you to view the Risk details in a Microsoft Excel spreadsheet.

To export Risk details, follow these steps:

1. Navigate to Risk Search and List page.
2. Select the required Risk and click **Export**.

   For more information, refer to *Exporting Records* section.

## Viewing Risk Profile Report

The Risk Details page allows you to view the details of a Risk in a PDF document.

To view the Risk details in a PDF, follow these steps:

1. Navigate to the Risks Search and List page
2. Click a Risk **ID**. The Risk Details page displays.

3. Click **Risk Profile**. A File Download Box displays.

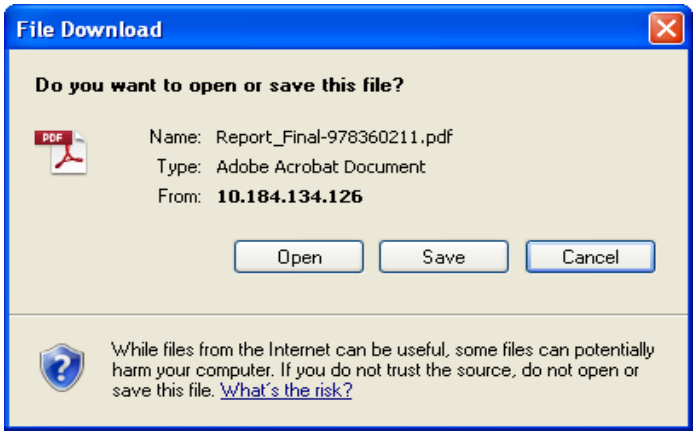
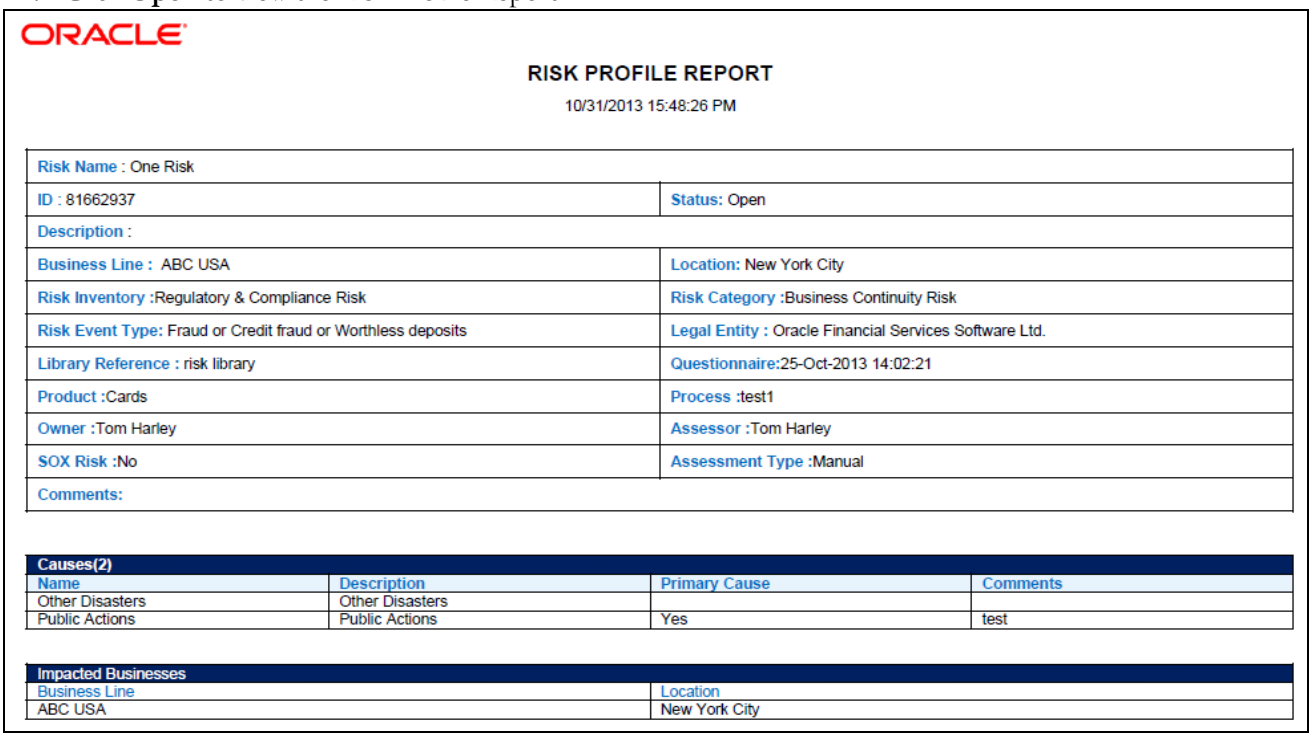



**Figure 70. File Download Box**

4. Click **Open** to view the Risk Profile Report.



ORACLE

RISK PROFILE REPORT

10/31/2013 15:48:26 PM

| | |
|---|---|
| Risk Name : One Risk | |
| ID : 81662937 | Status: Open |
| Description : | |
| Business Line : ABC USA | Location: New York City |
| Risk Inventory :Regulatory & Compliance Risk | Risk Category :Business Continuity Risk |
| Risk Event Type: Fraud or Credit fraud or Worthless deposits | Legal Entity : Oracle Financial Services Software Ltd. |
| Library Reference : risk library | Questionnaire:25-Oct-2013 14:02:21 |
| Product :Cards | Process :test1 |
| Owner :Tom Harley | Assessor :Tom Harley |
| SOX Risk :No | Assessment Type :Manual |
| Comments: | |

Causes(2)

| Name | Description | Primary Cause | Comments |
|---|---|---|---|
| Other Disasters | Other Disasters | | |
| Public Actions | Public Actions | Yes | test |

Impacted Businesses

| Business Line | Location |
|---|---|
| ABC USA | New York City |

**Figure 71. Risk Profile Report**

# CHAPTER 5 Managing Control Library and Controls

This chapter provides details of the Control Library and Controls section of the RCSA module in the Oracle Financial Services Operational Risk application.

This chapter includes the following topics:

- Managing Control Library
- Managing Controls

## Managing Control Library

This section provides details about the Control Library and provides step-by-step instructions for navigating through this Control Library section.

It covers the following topics:

- About Control Library
- User Role and Actions
- Library Control Workflow
- Tasks and Notifications
- Accessing Control Library Menu
- Searching Control Library
- Creating a Library Control
- Managing Library Control Details
- Closing Library Control
- Deleting Library Control
- Exporting Control Library Details
- Viewing Control Library Profile Report

### About Control Library

The Control Library is a part of the Risk and Control Self Assessment (RCSA) module, which is a comprehensive solution for risk and control assessment. It is a repository of all controls created to mitigate various risks. Every organization tries to take control measures to avoid the risks which may otherwise hamper business. The controls identified for the risks can be recorded and stored in a repository.

The Control Library helps to capture controls identified at a global level which can be later linked to a particular business line and location combination. These localized controls can be applied in their respective business line and location to mitigate a risk.

### Control Library Features

The Control Library provides the following features to help organizations manage their operational risk:

- The Control Library is a repository of Controls.
- Controls identified at global level for Risks can be captured and stored in the Control Library.
- Library level Controls can be localized by associating with business line and location combination wherever they can be applied.
- Control details can be exported to portable data format.

## User Role and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

The Control Identifier user role is defined for the Control Library. A Control Identifier identifies the control measures to be taken in order to mitigate the risks.

### Actions

The Control Identifier can perform the following actions:

- **Creating Library Control**: Allows the user to create a new control within the Control Library. The user can attach or delete documents, and view Risks and Workflow History. After submission, the user can localize the control.
- **Localizing Library Control**: Allows the user to assign a business line and location to a Library Control.
- **Closing Library Control:** When a Library Control in Open status and that is not in use, such Library Control is allowed to close.
- **Deleting Library Control:** When a Library Control in Draft status and which is not in use, such Library Control is allowed to delete.

The following diagram depicts an overview of actions that can be performed by the Control Identifier:

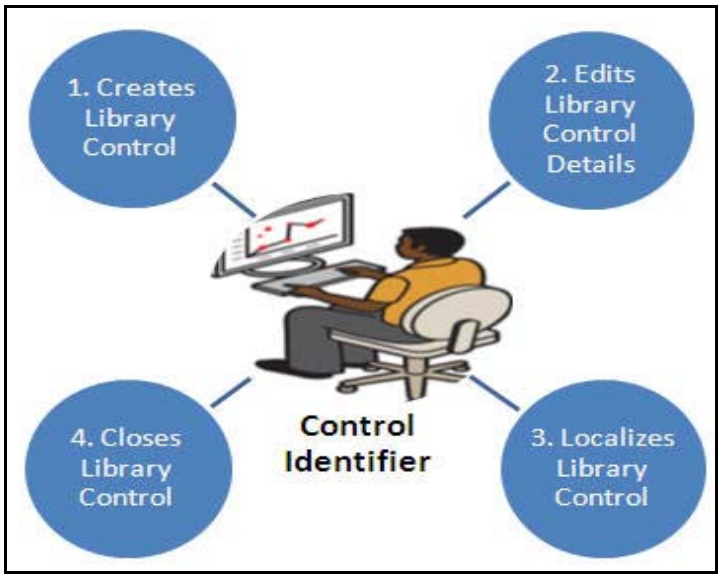



**Figure 72. User Roles and Actions**

## Library Control Workflow

The following figure explains the workflow of a Control in Control Library:

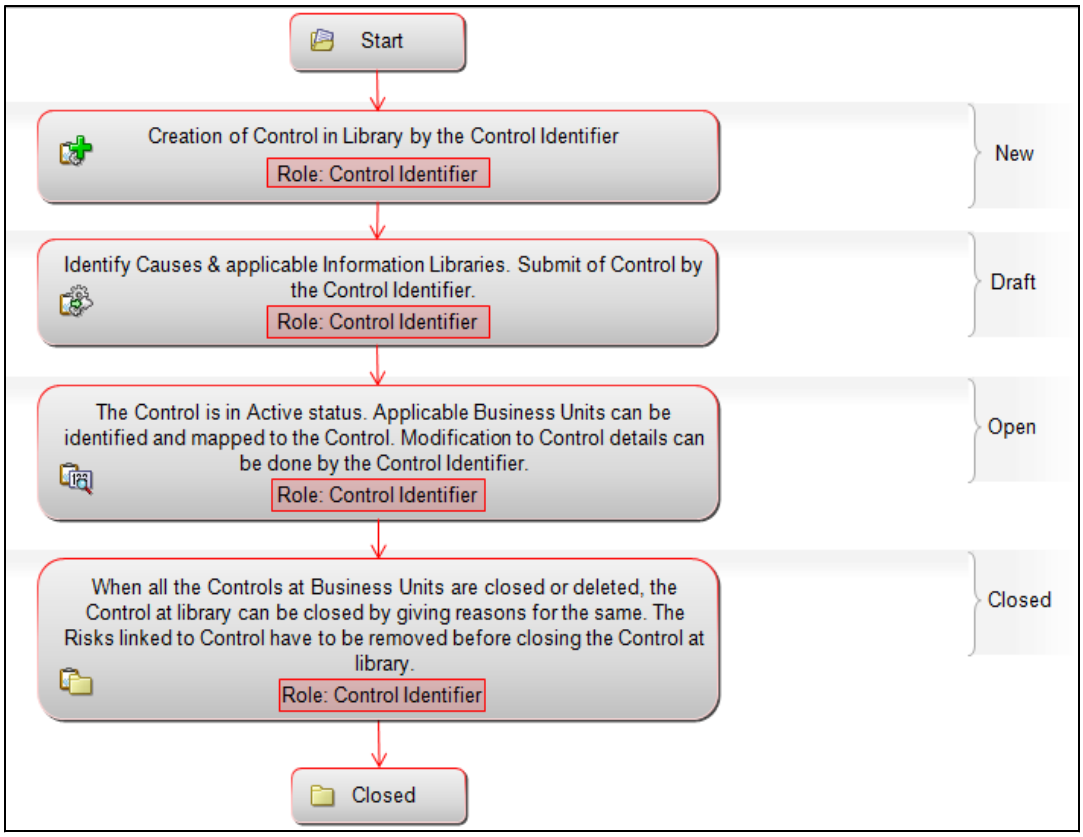



**Figure 73. Library Control Workflow**

## User Role and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

The Control Identifier user role is defined for the Control Library. A Control Identifier identifies the control measures to be taken in order to mitigate the risks. Users mapped to the role of Control Identifier can perform various actions described below.

### Actions

The Control Identifier can perform the following actions:

- Creating Library Control: Allows the user to create a new control within the Control Library. The user can attach or delete documents, and view Risks and Workflow History. After submission, the user can localize the control.
- Localizing Library Control: Allows the user to assign a business line and location to a Library Control.
- Closing Library Control: When a Library Control in Open status and that is not in use, such Library Control is allowed to close.
- Deleting Library Control: When a Library Control in Draft status and which is not in use, such Library Control is allowed to delete.

The following diagram depicts an overview of actions that can be performed by the Control Identifier:

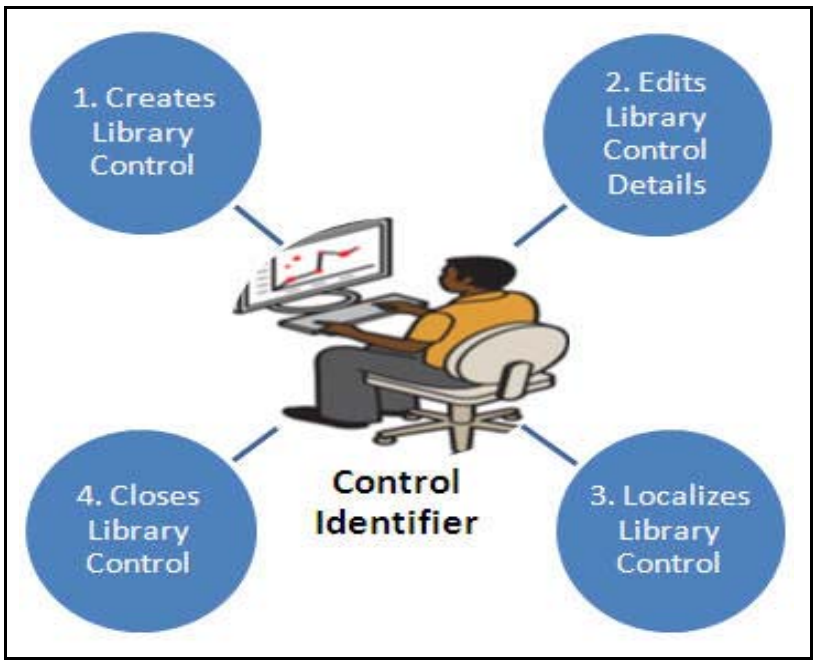



**Figure 74. User Roles and Actions**

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user role. 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 of the user roles receive in their Inbox menu on performing a particular action:

**Table 26. Tasks and Notifications - Control Library**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Submitting a Library Control | Notification | A notification is sent to all users mapped to the role Risk Identifiers. | Risk Identifier | Open |
| Localizing a Library Control | Notification | A notification is sent to all users mapped to the role of Control Owner for the selected Business Unit. | Control Owner | Open |

## Accessing Control Library Menu

The OFSOR/GCM Home page allows you to access the Control Library. Users mapped to the role of Control Identifier can access the Control Library.

To access the Control Library, follow these steps:

1. Login to OFSOR/GCM as a Control Identifier. The OFSOR/GCM Home page is displayed.
2. Hover over the **RCSA** menu and click **Control Library**. The Control Library Search and List page is displayed.

## Searching Control Library

The Control Library Search and List page allows you to filter the controls that you want to view and analyze. The Control Library 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 Library Control Using Basic Search
- Searching Library Control Using Advanced Search
- Searching Library Control Using Pre-defined Views

**Note:** The OFSOR/GCM application supports saved search feature as mentioned below:

- 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 Library Control Using Basic Search

This search is based on a limited set of search criteria such as ID and Name, and helps to retrieve the relevant Control Library details.

To search for a Library Control using Basic Search criteria, follow these steps:

1. Navigate to the Control Library Search and List page.

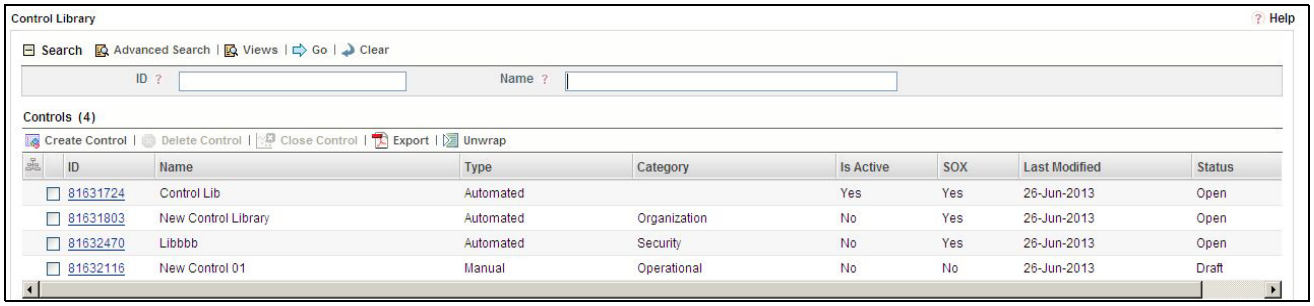



**Figure 75. Control Library - Basic Search Criteria**

**Note**: By default, the Control Library Search and List page displays all records.

2. Enter the following search criteria to filter the search list.

**Table 27. Basic Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Control.This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Name | Enter the Name of the Control.This field allows you to enter a maximum of 300 characters and supports wildcard search. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields.

**Note**: If the entered search criteria does not match, the following message is displayed: *No Data Found for this Search Criteria.*

### Searching Library Control Using Advanced Search

Advanced search provides a more specific search. It offers the same search fields as provided for a simple search along with additional fields. If you know any of the control library details such as ID, Name, Status, Category, and so on, then you can filter the Library Controls very specifically using the Advanced Search criteria.

To search for a Library Control using Advanced Search criteria, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click **Advanced Search** from the search bar. The Advanced Search fields are displayed.

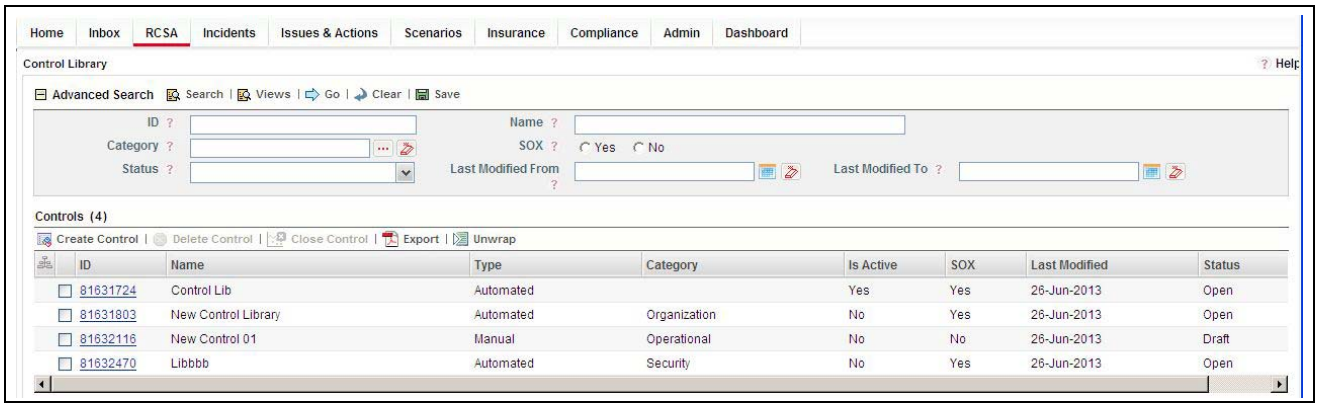



**Figure 76. Control Library - Advanced Search Criteria**

3. Enter the following search criteria in the Advanced Search fields to filter the search list.

**Table 28. Advanced Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Control.This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Name | Enter the Name of the Control. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Category | Select a category from the hierarchy browser. For example, the categories can be Organization, Regulation, Security, and so on. |
| SOX | Select whether the Control is classified as from Sarbanes-Oxley Act (SOX) the **Yes** or **No** radio buttons. |
| Status | Select a status from the drop-down list to filter the Control list by the current status. Following are the possible values:<br>● Select All<br>● Draft<br>● Open<br>● Closed<br>**Note:** You can select more than one option from the drop-down list. |
| Last Modified From | Select a date from the calendar to display the list of Controls whose last modified date is greater than or equal to the specified date.<br>**Note:**<br>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*. |
| Last Modified To | Select a date from the calendar to display the list of Controls whose last modified date is less than or equal to the specified date.<br>**Note:**<br>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 the entered search criteria does not match, the following message is displayed: *No Data Found for this Search Criteria.*
   - The application provides a **Save Search** button in the Advanced Search section that allows you to save your search criteria. For more information, refer to *Saving a Search*.

### Searching Library Control Using Pre-defined Views

Views search represents pre-populated search queries and helps you to filter the Library Controls based on the pre-defined views.

To search for a Library Control using pre-defined views, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

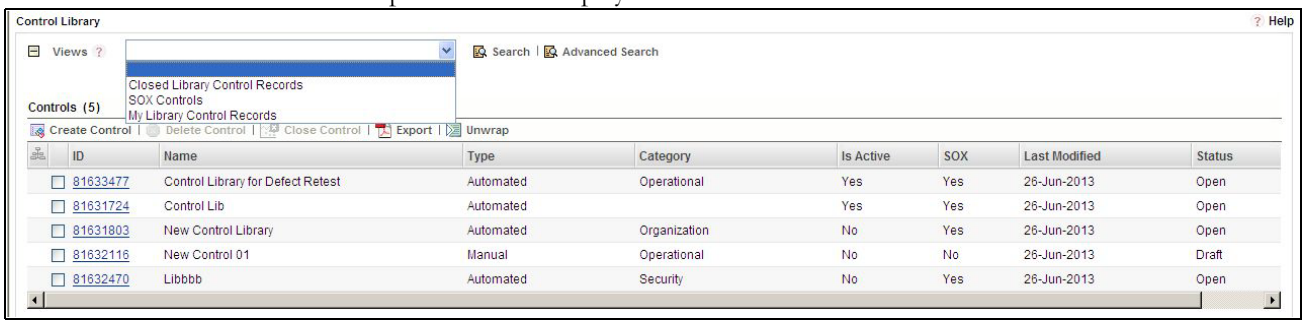



**Figure 77. Control Library - Pre-defined Views**

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

   The following table explains the different types of pre-defined views:

**Table 29. Control Library View Types**

| Views | Description |
|---|---|
| Closed Library Control Records | Displays the Library Controls in Closed status. |
| SOX Controls | Displays the Library Controls which are classified as SOX controls. |
| My Library Control Records | Displays the Library Controls assigned to the specific user. |

**Note:** The above three options are the default views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down.

## Creating a Library Control

The controls identified at a global level to mitigate risks can be created in the Control Library. The Control Library Search and List page allows you to create new Controls.

To create a Library Control, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click **Create Control**. The Library Control Definition page is displayed.

   The status of the Library Control is *New*.

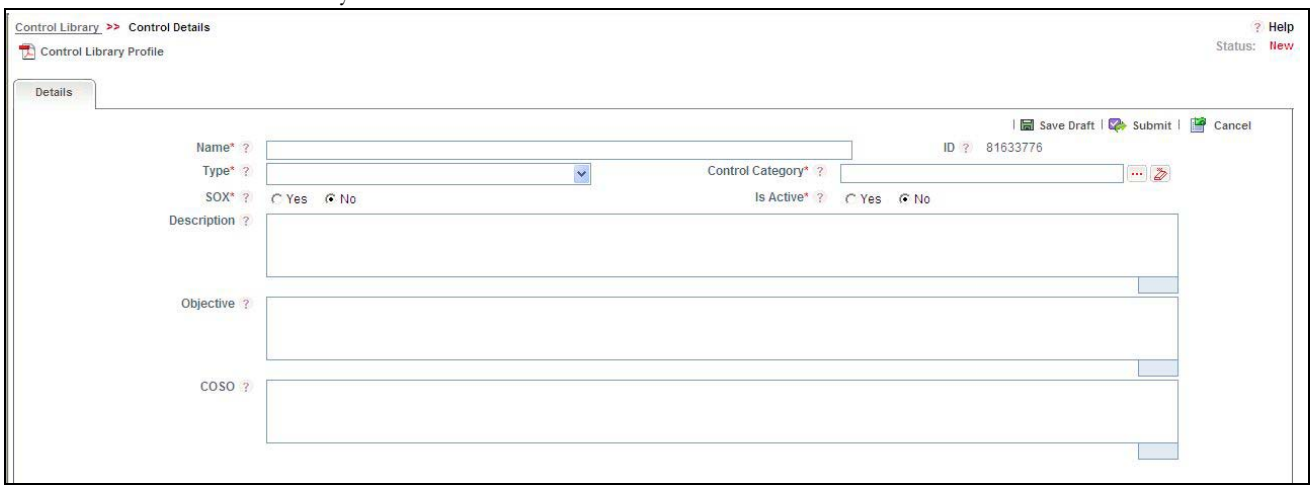



**Figure 78. Library Control Definition page**

3. Enter the following information in the Library Control Definition page.

**Table 30. Fields in Library Control Definition Page**

| Fields | Description |
|---|---|
| Name | Enter the name of the Library Control. You can enter a maximum of 300 characters in this field.<br>**Note:** If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*. |
| ID | Displays the sequential tracking number of the Library Control. This is an auto-generated unique identification number and cannot be modified. |
| Type | Select if the control type is Automated or Manual from the drop-down list. |
| Category | Select the control category to which the Library Control belongs from the hierarchy browser. For example, Organization, Regulation, Security, and so on. |
| SOX | Select if the control is classified under SOX or not from the Yes or No radio buttons. |
| Is Active | Select if the control is active or not from the Yes or No radio buttons. |
| Description | Enter a brief description of the control. You can enter a maximum of 3000 characters in this field.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Objective | Enter the objective of the control. You can enter a maximum of 3000 characters in this field.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| COSO | Enter details about the COSO concepts utilized for the Library Control. You can enter a maximum of 300 characters in this field.<br>**Note:** COSO refers to Committee of Sponsoring Organizations of the Treadway Commission. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. A new Control is created in the Control Library with Draft status. The Control Library Details page is displayed.

   Or

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. A new Control is created in the Control Library with Open status. The Control Library Details page is displayed.

   **Note:** To submit a Library Control, all mandatory fields (marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered*.

### Submitting a Library Control in Draft Status

You may choose not to submit the Library Control details while creating a new one and saved it as a Draft. You can submit the same Library Control details by entering all mandatory fields

The Library Control Details page allows you to submit the Library Control.

To submit a Library Control, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click the Library Control **ID** in Draft status. The Library Control Details page is displayed.




**Figure 79. Library Control Details Page**

The Library Control Details page allows you to perform the following actions in Draft status:

- Editing Library Control
- View Risks linked to the Library Control
- Attaching and deleting documents related to the Library Control
- Viewing audit log for the Library Control
- Viewing Control Library Profile Report

For more information on these tasks, refer to *Managing Library Control Details*.

3. Click **Submit**. The following message is displayed: *Update Operation Successful*.

**Note:** To submit a Library Control, all mandatory 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 Control changes to *Open*.

The Library Control Details page allows you to perform the following tasks in Open status:

- Editing Library Control
- Localizing the Library Control
- View Risks linked to the Library Control
- Attaching and deleting documents related to the Library Control
- Viewing audit log for the Library Control
- Viewing Control Library Profile Report
- Closing Library Control

For more information on these tasks, refer to section *Managing Library Control Details*.

## Managing Library Control Details

The Library Control Details page allows you to manage various tabs and functionalities of the Control.

This section discusses the following topics:

- Managing Details
- Localizing Library Control

### Managing Details

The Details page displays detailed information about the Library Control.

This section discusses the following topics:

- Editing Library Control Details
- Viewing Risks
- Attaching and Deleting Documents
- Viewing Workflow History

#### *Editing Library Control Details*

When you want to update or modify the Library Control details, you can edit from the Details page. You can edit the Library Control details when it is in Draft or Open status.

To edit a Library Control, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click a Control **ID** that you want to edit. The Control Details page is displayed.
3. Click **Edit**. The Control Details fields become editable.

4. Modify the necessary details. For more information about the fields, refer to *Creating a Library Control*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*.
6. Click **OK** to confirm the changes. The updated Library Control Details page is displayed.

### *Viewing Risks*

The Details page allows you to view the list of Risks which can be mitigated by this Control. The Risk section displays the Library Risks to which the Library Control is linked.

To view Risks, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click a Library Control **ID**. The Control Details page is displayed.
3. Click **View More**. The section expands to display the list of Risks.
4. Click a Risk **ID** to view the Library Risk Details page.

   For more information about Risk, refer to *Managing Risks Details*.

### *Attaching and Deleting Documents*

The Library Control Details page allows you to attach or delete documents related to a Library Control. Users mapped to the role of Control Identifier can attach and delete documents.

For more details on attaching and deleting documents, refer to *Managing Documents*.

### *Viewing Workflow History*

The Library Control Details page shows the audit trail of all changes made to the Library Control. Users mapped to the role of Control Identifier can view the workflow history.

For more details, refer to *Viewing Workflow History*.

The following table lists out the audit entries displayed in Workflow History corresponding to the actions:

**Table 31. Audit Entry - Control Library Workflow**

| Pre-action Status | Post-action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| New | Draft | Save Control | Control Identifier | Control Created in Library |
| Draft | Draft | Save Draft Control | Control Identifier | Control details updated |
| Draft | Open | Submit Control | Control Identifier | Control details Submitted |
| Open | Closed | Close Control | Control Identifier | Control deactivated and closed |

## Localizing Library Control

The Applicable Businesses page allows you to identify the Business Line and Location combination to which this Control is applicable. This creates Controls in Draft status for the selected business line and location combination.

**Note:** The Applicable Businesses tab is enabled only when the Library Control is in Open status.

You can localize controls to different Business Units (business line and location combinations), when the control is in Open status.

To localize a Library Control, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click Library Control **ID**. The Control Details page is displayed.
3. Click **Applicable Businesses**. The Applicable Businesses page is displayed.




**Figure 80. Applicable Businesses - Control Library**

4. Click **Localize Control**. The Choose Business Units window is displayed with a list of valid combinations of business lines and locations mapped to the user.

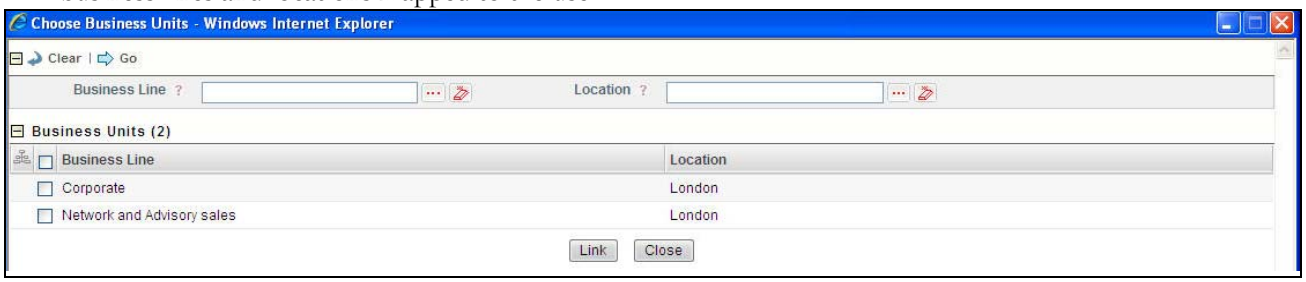



**Figure 81. Choose Business Units Window**

5. Select the required business line and location combination and click **Link**. The following message is displayed: *Local instance will be created for the selected Business Unit. Do you want to continue?*
6. Click **OK**. The following message is displayed: *Add Operation Successful.*
7. Click **OK.** The Choose Business Units window is displayed.
8. Click **Cancel**. The newly added Business Unit is listed under the Applicable Business Units section.
9. Select the linked Business Unit. The controls applicable for that Business Line and Location are listed under the Localized Controls section.

## Closing Library Control

You can close a Library Control in Open status and when it is no longer required to the organization. You can close a Library Control either from the Control Library Search and List page or from the Details page. Once the Library Control is closed, its status changes to Closed.

**Note:** All local instances of the Library Control should be closed.

To close a Library Control at the repository, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Click a Library Control **ID** in *Open* status that you want to close. The Control Details page is displayed. Click **Close Control**.

   Or

   From the Library Control List, select the required Library Control **ID** in *Open* status that you want to close. and click **Close Control**.

   The Close Control window is displayed.

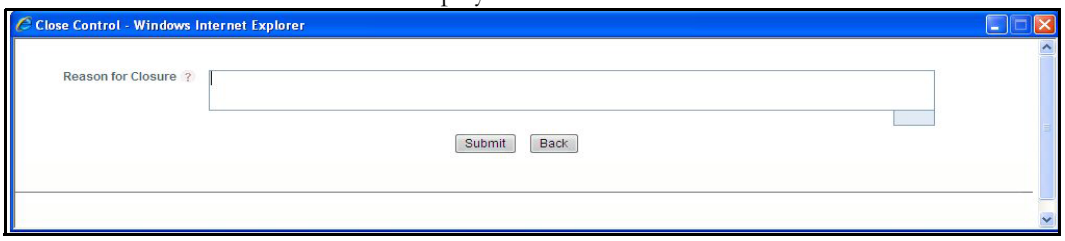



**Figure 82. Close Control Window**

3. Enter the reason for closure. You can enter text up to 3000 characters.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   **Note:** If you click Submit without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure*
5. Click **Back** on the Close Control window. The system refreshes and displays the Library Control in *Closed* status either in the Library Control List or Library Control Details page depending upon from where the closure was performed.

## Deleting Library Control

Library Controls in Draft status which are not in use can be deleted. The Control Library Search and List page allows you to delete Library Controls at the repository.

Users mapped to the role of Control Identifier can delete a Library Control in Draft status.

To delete a Library Control, follow these steps:

1. Navigate to the Control Library Search and List page.
2. Select the Library Control **ID** you want to delete.
3. Click **Delete Control**. 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 Control is deleted and the updated Control Library Search and List page is displayed.

## Exporting Control Library Details

Exporting Control details allows you to view a compiled list of all Controls. The Control Library Search and List page allows you to export the Control list into an Excel template.

To export the Library Control details into an Excel template, follow these steps:

1. Navigate to the Library Controls Search and List page.
2. Click **Export**. The Export Properties dialog box is displayed.

   **Note:** All records in the Controls Search and List page are exported into an Excel template. You cannot export individual Control details into Excel.

For more details on exporting, refer to *Exporting Records*.

## Viewing Control Library Profile Report

The Library Control Details page allows you to view the details of a Control in a PDF document.

To view Library Control details in a PDF, follow these steps:

1. Navigate to the Library Control Search and List page.
2. Click a Library Control **ID**. The Control Details page is displayed.
3. Click **Control Library Profile**. A File Download Box is displayed.

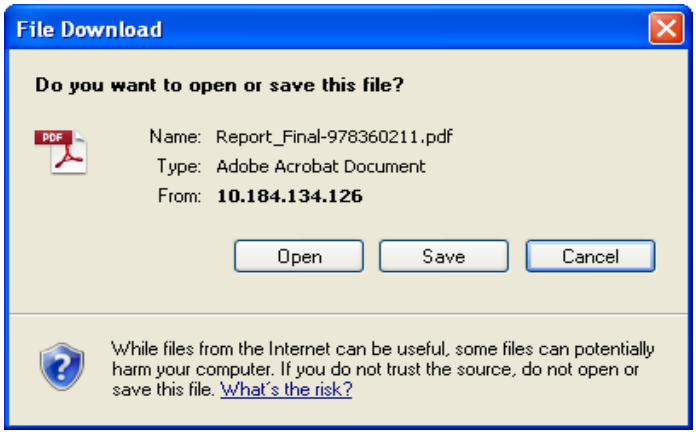
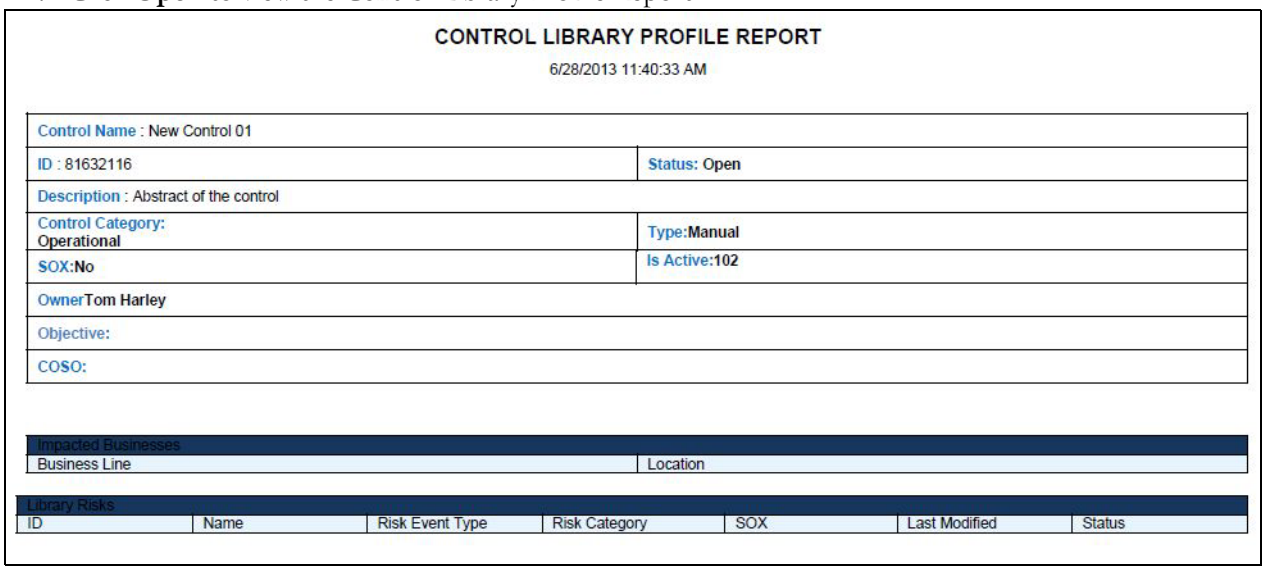



**Figure 83. File Download Box**

4. Click **Open** to view the Control Library Profile Report.



CONTROL LIBRARY PROFILE REPORT

6/28/2013 11:40:33 AM

| | |
|---|---|
| Control Name : New Control 01 | |
| ID : 81632116 | Status: Open |
| Description : Abstract of the control | |
| Control Category: Operational | Type:Manual |
| SOX:No | Is Active:102 |
| OwnerTom Harley | |
| Objective: | |
| COSO: | |

Impacted Businesses

| Business Line | Location |
|---|---|

Library Risks

| ID | Name | Risk Event Type | Risk Category | SOX | Last Modified | Status |
|---|---|---|---|---|---|---|

**Figure 84. Control Library Profile Report**

# Managing Controls

This section describes the Control Library section of the RCSA module in the Oracle Financial Services Operational Risk application.

This section covers the following topics:

- About Controls
- User Roles and Actions
- Controls Workflow
- Tasks and Notifications
- Searching Controls
- Creating a Control
- Managing Control Details
- Closing a Control
- Deleting a Control
- Exporting Control Details

## About Controls

A Control is a measure taken to mitigate a risk. The Controls identified locally can be captured at a Business Line and Location and can be linked to a Library Control. Every organization tries to take control measures to avoid the risks which may otherwise hamper the business. This section helps how to capture Controls, attest Controls, and assess their effectiveness in avoiding the risks pertaining to the organization.

### Control Features

The Controls module provides the following features to help organizations avoid their operational risk:

- Controls identified locally for various Risks can be captured and associated with a library level control.
- Controls can be linked to different entities like Key Control Indicators (KCIs), Information Libraries, and other Controls.
- Controls can be assessed in three ways: Manual, Questionnaire based, or Test Plan based.
- Controls can be attested to certify them as per standards.

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Controls section of the OFSOR/GCM application:

- **Control Owner**: This user manages most of the activities of a Control. This user can create, edit, submit, close, and delete controls. The Control Owner can view, create, edit, and delete control assessments, attestations, and test plans. This user can link and delink issues, actions, KCIs, information libraries, incidents, and other controls.
- **Control Assessor**: This user is responsible for assessing the effectiveness of a control. This user can create, edit and delete Control Assessments. The Control Assessor can create and link Issues and Actions, and can edit Challenges in Open status.
- **Challenger**: This user can challenge a Control Assessment in Submitted status. The Challenger can create, edit, submit, and delete the challenges.
- **SOX Controller**: This user has authority to approve control attestations. The SOX Controller can create and link issues and actions to a control.
- **Audit Officer**: This user can audit controls. This user can view the control assessments, attestations, test plans, test results, issues, and actions.
- Control Tester: This user can create, edit, submit, and delete Test Results.

### Actions

The Controls section allows you to perform the following actions:

- **Creating Control**: Allows the user to create a new Control locally. The user can attach or delete documents, and view Workflow History. The user can link and delink KCIs, Incidents, other controls, Information libraries, Regulations, and Obligations after submitting.
- **Assessing Control:** Allows the user to assess the effectiveness of a Control. It can be manual, Questionnaire based or Test Plan based.
- **Attesting Control**: Allows the user to attest controls. The Attestation tab is displayed in the Control Details page only when the Control is in Open status.
- **Closing Control**: When a Control in Open status and that is not in use, such Control is allowed to close.
- **Deleting Control:** When a Control in Open status and that is not in use, such Control is allowed to delete.

## Controls Workflow

The following figure explains the Controls workflow:

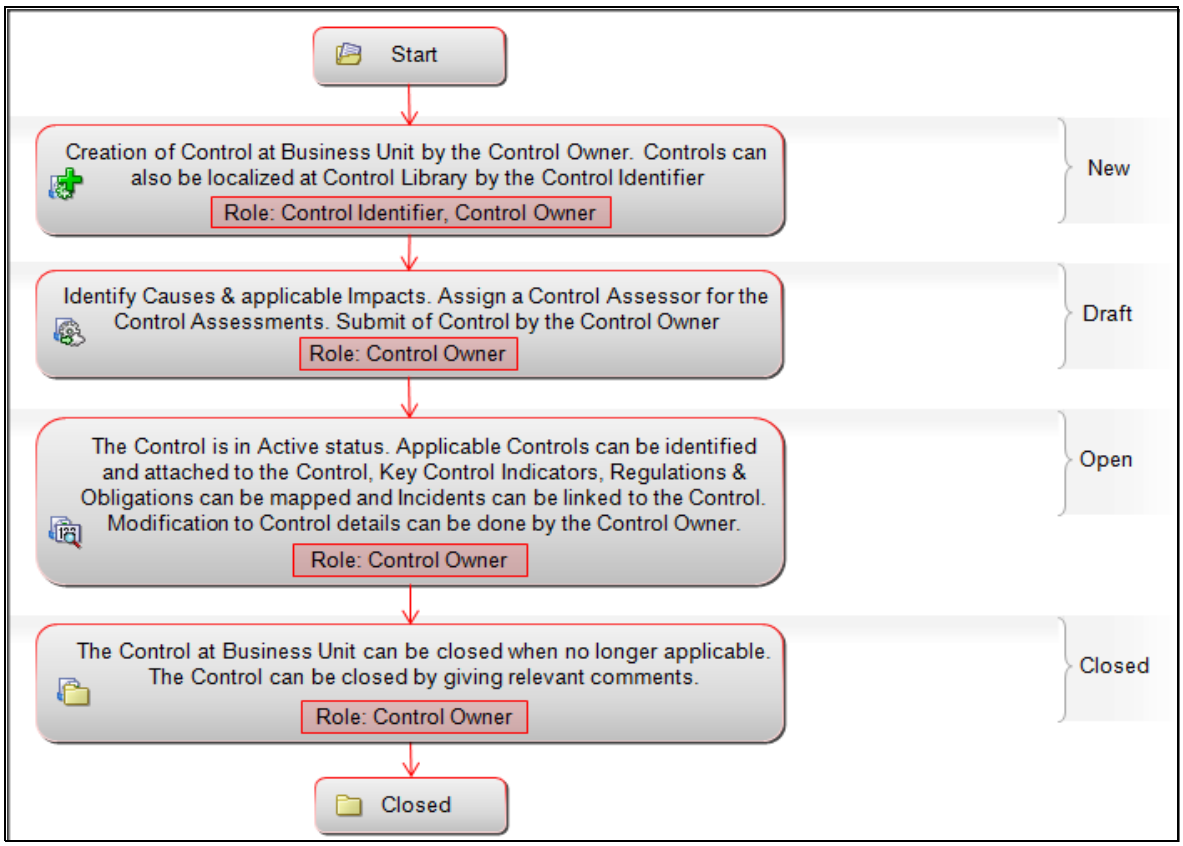



**Figure 85. Controls Workflow**

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user role. 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 role receives in their Inbox menu on performing a particular action:

**Table 32. Tasks and Notifications - Controls**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Submitting a Control | Notification | A notification is sent to Control Owner and Control Assessor. | Control Owner, Control Assessor | Open |
| Submitting the Control Assessment | Notification | A notification is sent to Control Owner (if the selected user in Owner field and Control creator are different) and Risk Owner (user mapped as owner for the Risks which are linked to control). | Control Owner, Risk Owner | Open |
| Submitting the Control Assessment after Challenge | Notification | A notification is sent to Control Owner (if the selected user in Owner field and Control creator are different). | Control Owner | Open |
| Closing control | Notification | A notification is sent to Control Owner and Control Assessor of the Control. | Control Owner, Control Assessor | Closed |
| Clicking *Resolved* for challenge | Notification | A notification is sent Control Owner and Control Assessor of the Control. | Control Owner, Control Assessor | Open |
| Submitting challenge | Task | A task is sent to Control Assessor. | Control Assessor | Open |
| Control Assessor responding to challenge | Task | A task is sent to challenger. | Challenger | Open |
| Control Assessor rejecting the challenge | Task | A task is sent to challenger. | Challenger | Open |
| Challenger re-challenging the Assessment | Task | A task is sent to Control Assessor. | Control Assessor | Open |
| Submitting Test Plan | Task | A task is sent to Control Tester for BU for which Control is created. | Control Tester | Open |
| Submitting of Control Attestation | Task | A task is sent to SOX Controller. | SOX Controller | Open |

## Accessing Controls Menu

OFSOR/GCM Home page allows you to access the Controls section. Users mapped to the role of Control Owner, Control Assessor, Challenger, SOX Controller, Audit Officer, and Control Tester can access Controls.

To access the Controls menu, follow these steps:

1. Login to the OFSOR/GCM application. The OFSOR/GCM Home page is displayed.
2. Hover over the **RCSA** module and click **Controls**. The Controls Search and List page displays.

## Searching Controls

The Controls Search and List page allows you to filter the Controls that you want to view and analyze. The Controls 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 Controls Using Basic Search
- Searching Controls Using Advanced Search
- Searching Controls Using Pre-defined Views

### Searching Controls Using Basic Search

This search is based on limited set of search criteria such as ID and Name, and helps to retrieve the relevant Control details.

To search for a Control using the Basic Search, follow these steps:

1. Navigate to the Controls Search and List page.




**Figure 86. Searching Controls using Basic Search**

**Note**: By default, the Controls Search and List page displays all records.

2. Enter the search criteria to filter the Controls Search list.

   The following table provides a list of the search criteria in the Basic Search section:

**Table 33. Basic Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Control.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Name | Enter the Name of the Control.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |

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

   **Note**: If the entered search criteria does not match, the following message is displayed: *No Data Found for this Search Criteria.*

### Searching Controls Using Advanced Search

Advanced search provides a more specific search. It offers the same search fields as provided for a simple search along with additional set of fields. If you know any of the control details such as ID, Name, Status, Category, and so on, then you can filter the Controls using advanced search.

To search for a Control using Advanced Search, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click **Advanced Search.** The Advanced Search fields are displayed.

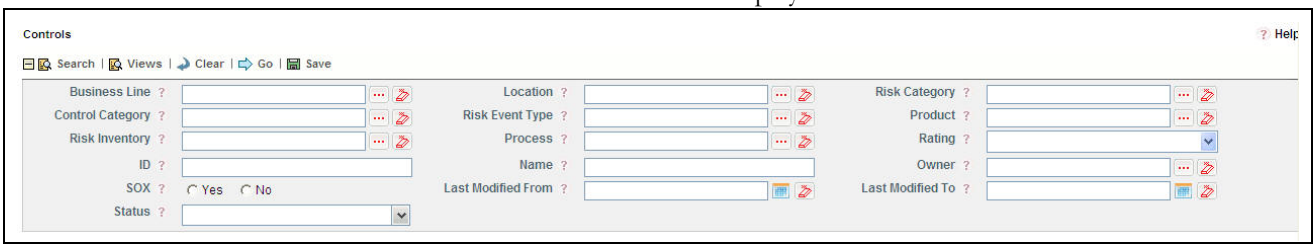



**Figure 87. Searching Controls using Advanced Search**

3. Enter the following Search Criteria in the Advanced Search fields to filter the search list.

**Table 34. Fields in Advanced Search**

| Search Criteria | Description |
|---|---|
| Business Line | Select the business line from the hierarchy browser to display controls mapped to the selected business line. For example, Financial, Operational, and so on. |
| Location | Select the location from the hierarchy browser to display controls mapped to the selected location. For example, London, Sydney and so on. |
| Risk Category | Select the risk category from the hierarchy browser to display controls in the selected risk category. For example, Business Continuity Risk, Supplier Risks, and so on. |
| Control Category | Select a category from the hierarchy browser to display the list of controls of the specified category. For example, Financial, Operational, and so on. |
| Risk Event Type | Select a type of risk event from the hierarchy browser to display the list of controls of the specified risk event type. For example, External Fraud, Internal Fraud, and so on. |
| Product | Select a type of product from the hierarchy browser to display the list of controls created for the specified product type. |
| Risk Inventory | Select a risk inventory to display the list of controls belonging to the selected risk inventory type. For example, Credit Risk, Operational Risk, and so on. |
| Process | Select a process from the hierarchy browser to display the list of controls associated to the selected process. |
| Rating | Select a value from the drop-down list to filter the control list by its rating. For example, Effective, Qualified, and so on. |
| ID | Enter the sequential tracking number of the Control to display the Control with ID as specified in the search criteria. This field supports wildcard search. |
| Name | Enter the Name of the Control to display the Control with name as specified in the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Owner | Select the control owner from the hierarchy browser to display controls owned by the selected user. The owner is responsible for reviewing or overseeing the Control. |
| SOX | Select whether the control is classified as SOX from the **Yes** or **No** radio buttons. |

**Table 34. Fields in Advanced Search**

| Search Criteria | Description |
|---|---|
| Last Modified From | Select a date from the calendar to display the list of Controls 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 Controls whose last modified date is lesser than or equal to the specified date. |
| Status | Select a status from the drop-down list to filter the control list by the current status.<br>Following are the possible values:<br>● Select All<br>● Draft<br>● Open<br>● Closed<br>**Note:** You can select more than one option from the drop-down list. |

4. Click **Go**. The relevant search list is displayed.
5. Click **Clear** to reset the search fields.

**Note:**

- If the entered search criteria does not match, the following message is displayed: *No Data Found for this Search Criteria*.
- The application provides a **Save Search** button in the Advanced Search container that allows you to save your search criteria. For more information, refer to *Saving a Search*.

### Searching Controls Using Pre-defined Views

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

To search for a Control using pre-defined views, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click **Views**. The Views drop-down list is displayed.




**Figure 88. Searching Controls using 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 different types of pre-defined views:

**Table 35. Control View Types**

| Views | Description |
|---|---|
| Closed Controls | Displays the Controls in Closed status. |
| SOX Controls | Displays the Controls which are classified as SOX controls. |
| Test Plan Controls | Displays the Controls which have assessment type as Test Plan. |
| Attestation Controls | Displays the Controls which have Requires Attestation option selected as *Yes*. |

**Note:** The above three options are the default views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down list.

## Creating a Control

The Controls identified locally can be captured and assigned a Business Line and Location. The Controls Search and List page allows you to create a new control.

To create a Control, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click **Create Control**. The Control Definition page is displayed and the status of the control is *New*.

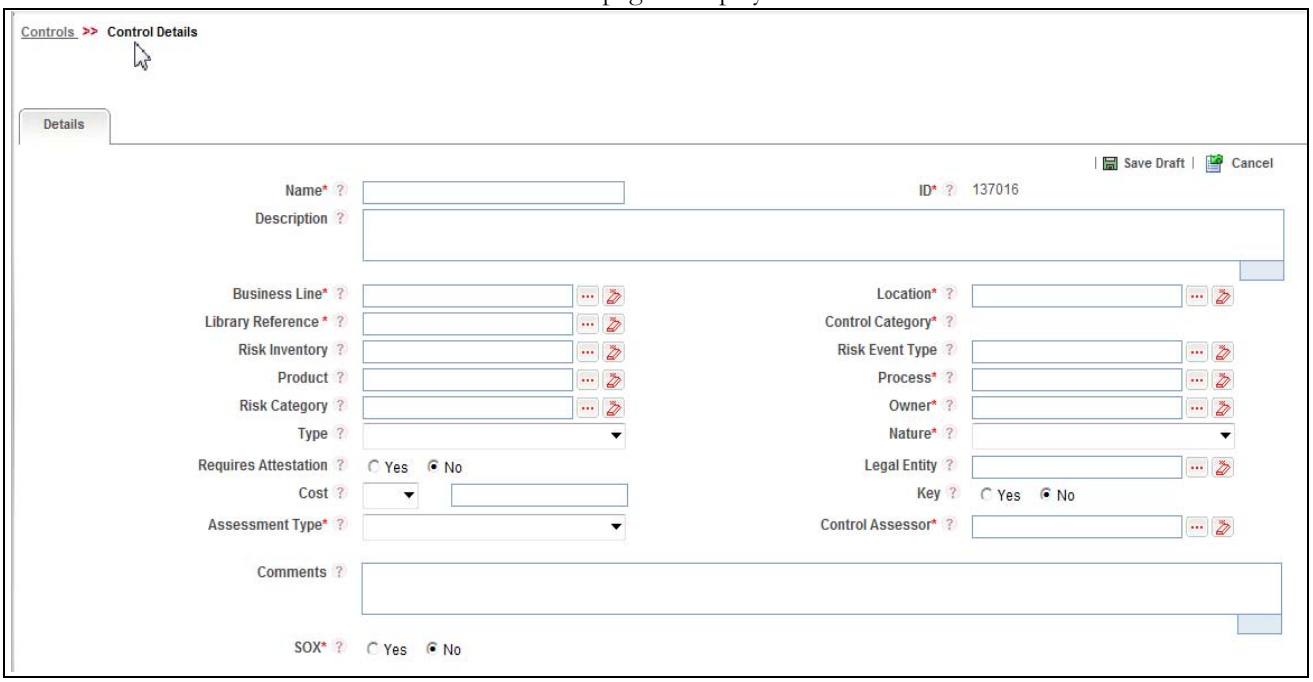



**Figure 89. Control Definition page**

3. Enter the required information in the Control Definition page. The following table describes the fields of the page:

**Table 36. Fields in Control Definition Page**

| Fields | Description |
|---|---|
| Name | Enter the name of the control. You can enter a maximum of 300 characters in this field.<br>**Note:** If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*. |
| ID | Displays the sequential tracking number of the control. This is an auto-generated unique identification number and cannot be modified |
| Description | Enter a brief description of the control. You can enter a maximum of 3000 characters in this field.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Business Line | Select the business line for which this control is created from the hierarchy browser. |
| Location | Select the location for which this control is created from the hierarchy browser. |
| Library Reference | Select the name of the library level control to which this control is to be associated from the hierarchy browser. |
| Control Category | Displays the category of the library level control to which this control is associated.<br>**Note:** Control Category is displayed after the first save. |
| Risk Inventory | Select the type of risk inventory from the hierarchy browser. For example, Credit Risk, Operational Risk, and so on. |
| Risk Event Type | Select the type of risk event from the hierarchy browser. For example, External Fraud, Internal Fraud, and so on. |
| Product | Select the type of product for which the control is created from the hierarchy browser. |
| Process | Select a process applicable to the control from the hierarchy browser. |
| Risk Category | Select the category of the risk to which the control is associated from the hierarchy browser. The options include Fraud, Tax Compliance Risk, and so on. |
| Owner | Select the user who is responsible for overseeing the Control from the hierarchy browser. |
| Type | Select if the control is **Automatic** or **Manual** from the drop-down list. Automatic controls are system driven where as Manual controls are managed manually. |
| Nature | Select the nature of the control from the drop-down list which has the following options:<br>● Corrective<br>● Detective<br>● Preventative |
| Requires Attestation | Select if the control requires attestation from the **Yes** or **No** radio buttons. For example, SOX control may need attestation. |
| Legal Entity | Select the legal jurisdiction in which the organization is operating from the hierarchy browser. |
| Cost | Select the currency from the drop-down and enter the cost required for implementing Control. |
| Key | Select if the control is a Key Control to achieve important business objectives from the **Yes** or **No** radio buttons. |
| Assessment Type | Select the approach for assessing the controls from the drop-down list which has the following options:<br>● Manual<br>● Questionnaire<br>● Test |
| Control Assessor | Select the user responsible for assessing the effectiveness of control from the hierarchy browser. |

**Table 36. Fields in Control Definition Page (Continued)**

| Fields | Description |
|---|---|
| Comments | Enter additional information about the control. You can enter a maximum of 3000 characters in this field.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| SOX | Select if the control is classified under SOX or not from the **Yes** or **No** radio buttons.<br>**Note:** If you select Yes, the SOX Details container is displayed. It is mandatory to enter the SOX details. For more details, refer to the table *Table 37 SOX Details*. |

The following table describes the fields of the SOX section:

**Table 37. SOX Details**

| Fields | Description |
|---|---|
| Assessment Aspect | Enter the assessment aspect of the control. You can enter a maximum of 300 characters in this field.<br>**Note:** If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*. |
| Outsourced | Select if the process is outsourced or not from the **Yes** or **No** radio buttons. |
| Outsource Provider Name | Enter the outsourced vendor name. You can enter a maximum of 300 characters in this field.<br>**Note:** If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*. |
| Spreadsheet or Database | Select the type of data from the **Spreadsheet** or **Database** radio buttons. |
| Simple or Complex | Select **Simple** or **Complex** from the radio buttons. |
| Analytical or Detailed | Select **Analytical** or **Detailed** from the radio buttons. |
| Existence & Occurrence | Select if an asset or liability exists at a point in time from the **Yes** or **No** radio buttons. |
| FSA Completeness | Select if a recorded transaction or event actually took place during the period from the **Yes** or **No** radio buttons. |
| Rights and Obligations | Select the Financial Statement Assertion - Rights and Obligations from the **Yes** or **No** radio buttons. |
| Valuation, Allocation | Select if an asset or a liability is recorded at the appropriate amount from the **Yes** or **No** radio buttons. |
| Presentation & Disclosure | Select if an item is properly classified, described and disclosed in the Financial Statements from the **Yes** or **No** radio buttons. |
| IPO Completeness | Select whether transactions are expeditious and fall within the proper period from the **Yes** or **No** radio buttons. |
| Accuracy | Select if the records are complete as to account and amount from the **Yes** or **No** radio buttons. |
| Validity | Select if the authenticity is assured from the **Yes** or **No** radio buttons. |
| Restricted Access | Select if authorized individuals can get access to it when required from the **Yes** or **No** radio buttons. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The status of the Control changes to *Draft*. The Control Details page is displayed.

If the Assessment Type is selected as Questionnaire, another set of related fields are displayed in Draft status.

The following table describes these fields.

**Table 38. Questionnaire Details**

| Fields | Description |
|---|---|
| DE Questionnaire | Select a Design Effectiveness Questionnaire for control assessment from the hierarchy browser. If there will be any update/change in questionnaire, that update/change will reflect here.<br>**Note:** The hierarchy browser displays the list of questionnaires (with Open Status) which are created for **Control DE Assessment** purpose from Questionnaire Details page. For more information, refer to *Chapter 20: Managing Questionnaire, Creating a Question* section.. |
| OE Questionnaire | Select an Operating Effectiveness Questionnaire for control assessment from the hierarchy browser. If there will be any update/change in questionnaire, that update/change will reflect here.<br>**Note:** The hierarchy browser displays the list of questionnaires (with Open Status) which are created for **Control OE Assessment** purpose from Questionnaire Details page. For more information, refer to *Chapter 20: Managing Questionnaire, Creating a Question* section. |
| DE Respondents | Select the Design Effectiveness Respondents for Control assessment using the Hyperlink. After linking the DE respondents using the Hyperlink, the count of respondets will reflect to selected Questionnaire. You can view these changes in Questionnaire module.<br>This field will be automatically updated, if the control is linked to Questionnaire and Questionnaire respondents are linked/delinked from Questionnaire module. For more information, refer to *Chapter 20: Managing Questionnaire, Linking Questions* section. |
| OE Respondents | Select the Operating Effectiveness Respondents for Control assessment using the Hyperlink. After linking the OE respondents using the Hyperlink, the count of respondents will reflect to selected Questionnaire. You can view these changes in Questionnaire module.<br>This field will be automatically updated, if the control is linked to Questionnaire and Questionnaire respondents are linked/delinked from Questionnaire module. For more information, refer to *Chapter 20: Managing Questionnaire, Linking Questions* section. |

To link the Respondent (DE or OE), follow the steps given below:

1. Click the **Hyper link** on Control Definition Page. The list of active users will display. This auto-populated list is based on the selected Business Line and Location.

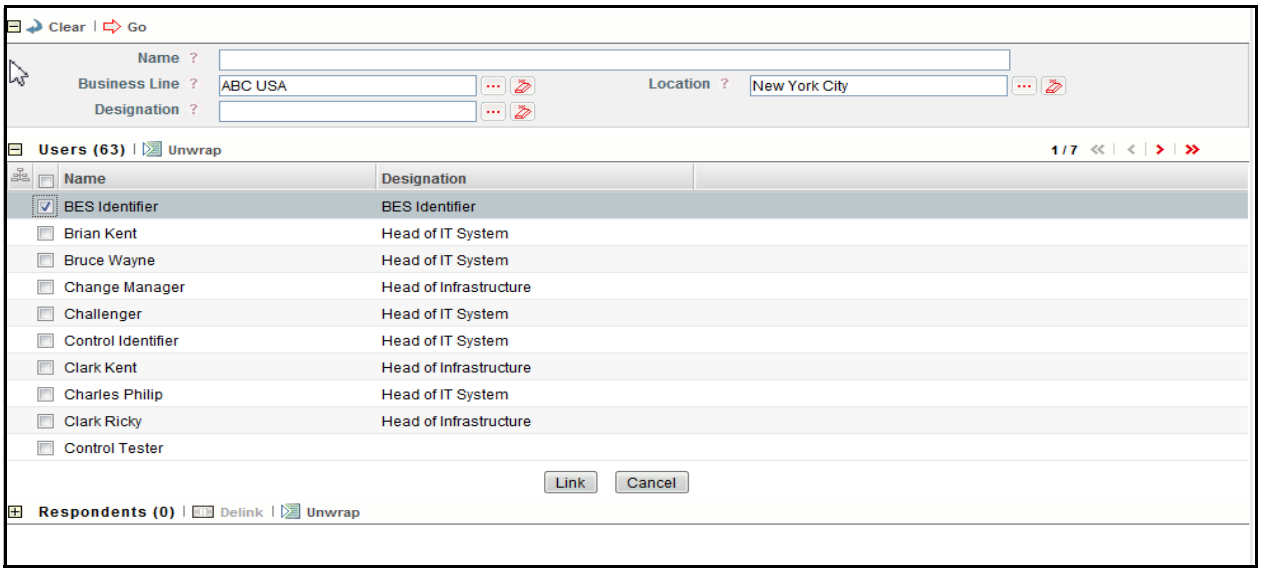



**Figure 90. Linking the Respondents**

2. Select the user and click **Link**.
3. A confirmation message is displayed. Click OK.
4. The selected user will be added in **Respondents** section.

   **Note:** You can add multiple users (respondents) at a time.

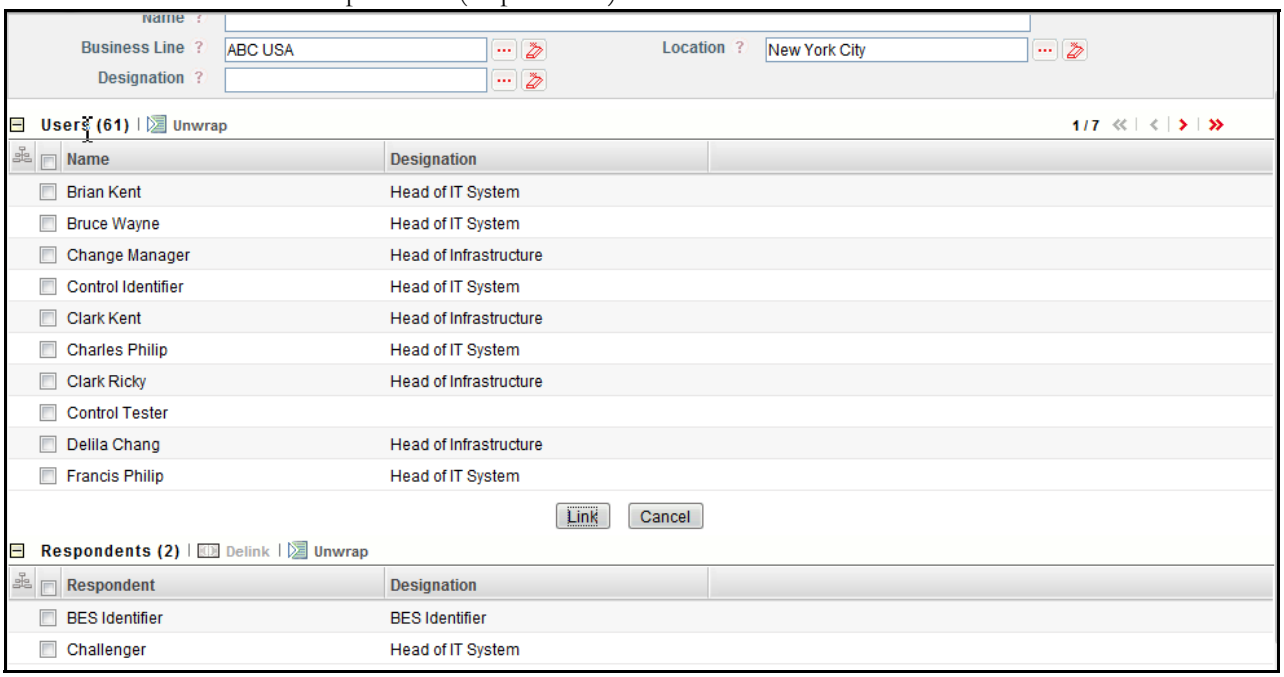



**Figure 91. Linking the Respondents**

5. You can delink the user using the **Delink** option, if required. To delink the user, select the user and click **Delink**.
6. The following message is displayed: *Are sure you want to de-link this record?* Click **OK** to continue.

7. A confirmation message is displayed: *De-link operation successful*. Click **OK**.

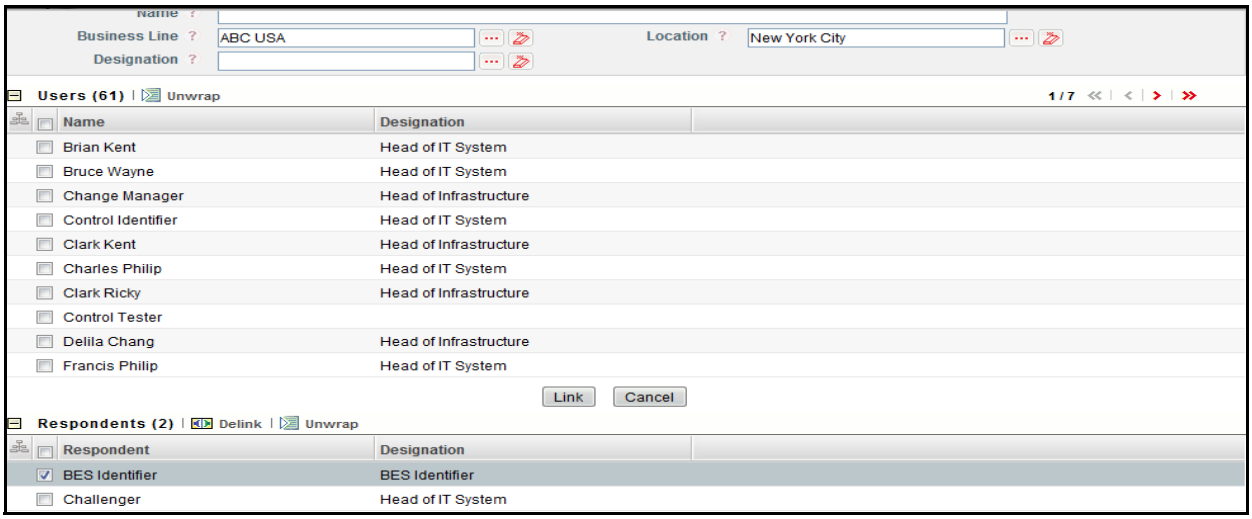



**Figure 92. Delink the Respondents**

### Submitting a Control in Draft Status

Once all mandatory details are entered, you can submit a Control in Draft status. The Control Details page allows you to submit the Control.

To submit a Control, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click the control **ID** in Draft status. The Control Details page is displayed.

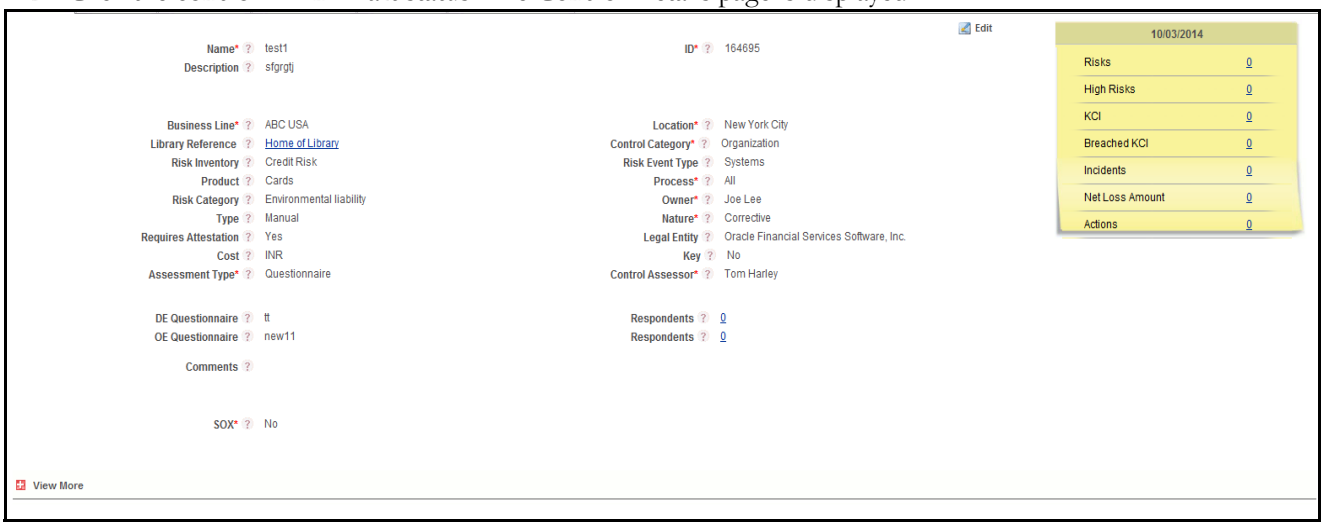



**Figure 93. Control Details Page**

The Control Details page allows you to perform the following actions in Draft status:

- Editing control
- Linking and delinking impacts to control

- Attaching and deleting documents related to control
- Viewing the audit log for the control

For more information, refer to *Managing Control Details*.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** If the submitted Control's Assessment uses Test Plan based approach the following alert message is displayed: *Ensure creating Test Plan as Assessment is Test Plan based approach.*

   If the assessment type is questionnaire based, the DE and OE fields are mandatory before submitting the control. Else, the following message is displayed: *Please enter OE and DE Questionnaire for control assessment.*

4. Click **OK**. The Control Details page is displayed.

   **Note:** To submit a Control, all mandatory fields (marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

5. Click **OK**. The status of the Control changes to *Open*.

The Control Details page allows you to perform the following actions in Open status:

- Editing the control
- Linking and delinking Information Libraries, KCIs, Incidents, other Controls, and Obligations to the control
- Creating Issues or Actions and KCIs
- Attaching and deleting documents related to control
- Viewing the audit log for the control
- Assessing and Attesting the control
- Viewing control profile report
- Closing a control

For more information, refer to section *Managing Control Details*.

## Managing Control Details

The Control Details page allows you to manage the various tabs and functionalities of the Control. This section explains the following topics:

- Managing Details
- Managing Linkages
- Managing Compliances
- Managing Test Plans and Results
- Managing Assessments
- Managing Attestations
- Managing Issues and Actions

### Managing Details

The Details page displays detailed information about the Control.

To access the Control Details Tab, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click a Control **ID**. The Control Details page is displayed.

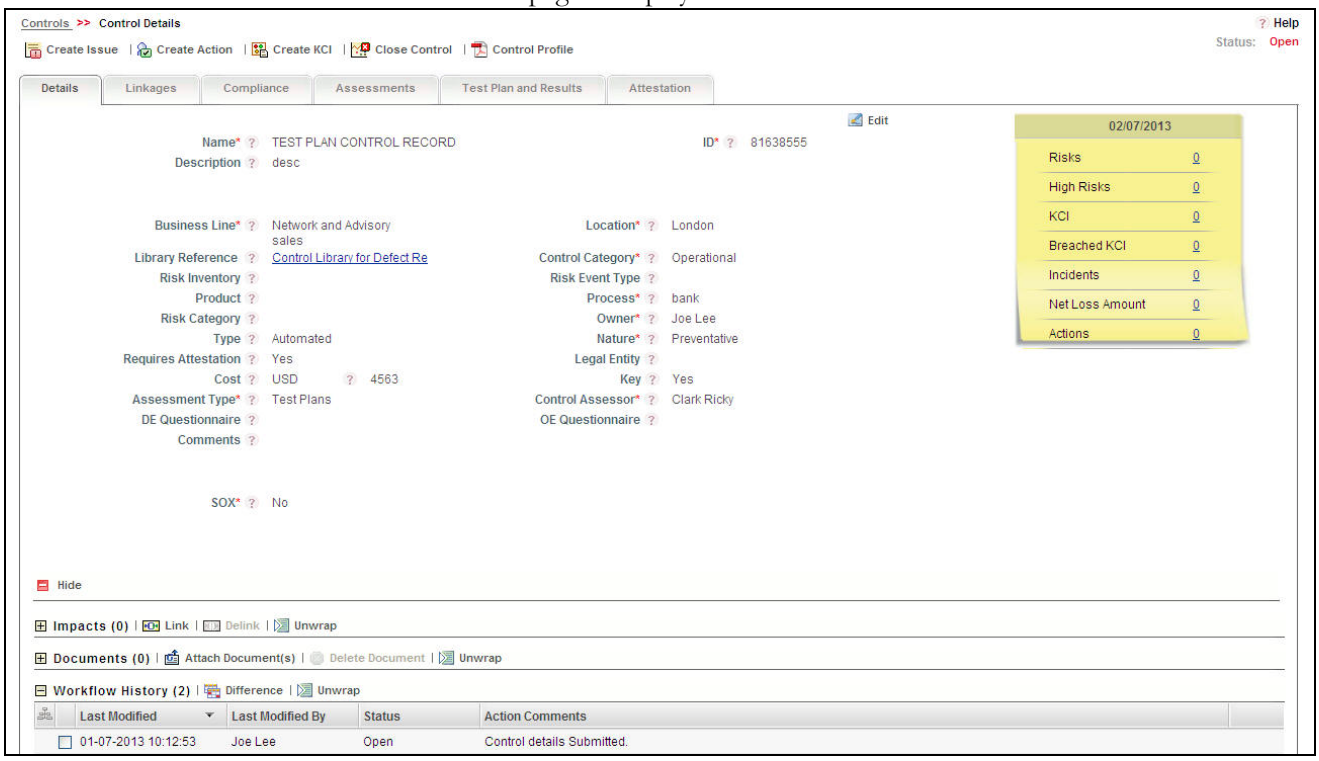



**Figure 94. Control Details Page**

The Details page in the Control Details page allows you to perform the following tasks:

- Editing Control Details
- Viewing Additional Information
- Managing Impacts
- Attaching and Deleting Documents
- Viewing Workflow History

#### *Editing Control Details*

This section describes how to edit and update existing Control details. You can edit the Control details when it is in Draft or Open status.

To edit a Control, follow these steps:

1. Navigate to the Controls Search and List page.

2. Click a Control **ID** that you want to edit. The Control Details page is displayed.
3. Click **Edit**. The Control details become editable.
4. Modify the necessary control details. For more information about the fields, refer to *Table 36* and *Table 37*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Control Details page is displayed.

### *Viewing Additional Information*

The Additional Information section displays the count or amount of various entities related to the Control.

To view Additional Information, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click a Control **ID**. The Control Details page is displayed with the Additional Information section.




**Figure 95. Control - Additional Information**

The following table describes the information displayed in the Additional Information section:

**Table 39. Components of Additional Information**

| Fields | Description |
|---|---|
| Risks | Displays the number of open Risks linked to Control. |
| High Risks | Displays the number of open Risks with latest rating *High,* linked to Control. |
| KCI | Displays the number of open Key Control Indicators linked to Control. |
| Breached KCI | Displays the number of Breached Key Control Indicators (KCIs whose latest rating is Red) |
| Incidents | Displays the number Incidents linked to the Control. |
| Net Loss Amount | Displays the total loss amount of all Incidents linked to the Control. |
| Actions | Displays the total number of Actions created or linked to the Control. |

**Note:** You can click on the count of components to navigate to the respective list.

### *Managing Impacts*

The Control Details page allows you to link and delink Information Libraries to the Control in Draft and Open status.

To link an Information Library to the Control, follow these steps:

1. Navigate to the Control Details page.
2. Click **View More**. The additional details are displayed.
3. Click **Link** in the Impacts grid. The Information Library Search and List page is displayed with the records in *Open* status.
4. Select one or more Information Library records and click **Link**.

   **Note:** You can also search the Information Libraries by entering the search criteria. For more information, refer to *Creating Information Library*.
5. Click **Back**. The Control Details page is displayed with the linked Information Library in the Impacts grid.

### *Attaching and Deleting Documents*

The Control Details page allows you to attach or delete documents related to the Control. Users mapped to the role of Control Owner can attach and delete documents.

For more details on attaching and deleting documents, refer to *Managing Documents*.

### *Viewing Workflow History*

The Control Details page shows the audit trail of all changes made to the Control. Users mapped to the role of Control Owner can view the workflow history.

For more details, refer to *Viewing Workflow History*.

The following table lists the audit entries displayed in the Workflow History corresponding to the actions:

**Table 40. Audit Entry - Controls Workflow**

| | | | | |
|---|---|---|---|---|
| **Pre-action status** | **Post Action Status** | **Action** | **Action Taker** | **Audit Entry** |
| New | Draft | Save Control | Control Owner | Control Created at BU. |
| Draft | Draft | Save Draft Control | Control Owner | Control details updated. |
| Draft | Open | Submit Control | Control Owner | Control details Submitted. |
| Open | Closed | Close Control | Control Owner | Control deactivated and closed. |
| Open | Open | Create and Save Control Assessment | Control Assessor | <Assessment ID> Control Assessment Created. |
| Open | Open | Save Draft Control Assessment | Control Assessor | <Assessment ID> Control Assessment Updated. |
| Open | Open | Submit Control Assessment | Control Assessor | <Assessment ID> Control Assessment Submitted. |
| Open | Open | Create Challenge | Challenger | <Challenge ID> Challenge created for <Assessment ID> Control Assessment. |
| Open | Open | Save Draft Challenge | Challenger | <Challenge ID> Challenge created for <Assessment ID> Control Assessment is Updated. |

**Table 40. Audit Entry - Controls Workflow**

| Pre-action status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| Open | Open | Submit Challenge | Challenger | <Assessment ID> Control Assessment <Challenge ID> Challenged. |
| Open | Open | Challenge Rejected/not accepted | Control Assessor | <Assessment ID> Challenge rejected for <Challenge ID> Control Assessment. |
| Open | Open | Resubmit Challenge | Challenger | <Assessment ID> Control Assessment <Challenge ID> Re-Challenged. |
| Open | Open | Accept Challenge | Control Assessor | <Challenge ID> Challenge for Control Assessment <Assessment ID> Accepted. |
| Open | Open | Submit Assessment after creation of challenge. | Control Assessor | <Assessment ID> Control Assessment reviewed. |
| Open | Open | Resolve Challenge | Challenger | <Challenge ID> Challenge Resolved for <Assessment ID> Control Assessment. |

### Managing Linkages

The Linkages page allows you to link and delink records of different entities to a Control. This tab also displays the records linked to the Control from other entities.

This page displays the following sections:

- **Risks**: Displays all risks in Draft and Open status linked to the Control.
- **Key Control Indicators**: Displays all Key Control Indicators (KCIs) in Open status linked to the Control.
- **Dependent Controls**: Displays all dependent Controls in Open status linked to the Control.
- **Incidents**: Displays all Incidents in Open status linked to the Control.

**Note:** You can link and delink KCIs, Dependent Controls, and Incidents to a Control and view the linked Risks.

To link or delink KCIs, Dependent Controls, or Incidents, follow these steps:

1. Navigate to the Control Details page.
2. Click **Linkages** tab. The Linkages page displays

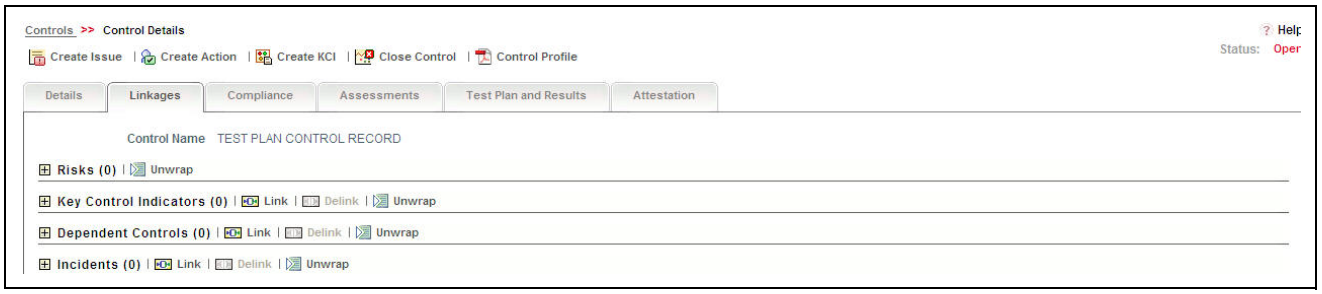



**Figure 96. Linkages Page - Controls**

For more information on linking or delinking, refer to *Managing Linkages*.

### *Updating KIs*

You can update the nature of the linked KIs.

To update the nature, follow these steps:

1. Navigate to the Linkages page.
2. Select a KCI you want to update. The Nature column becomes editable.

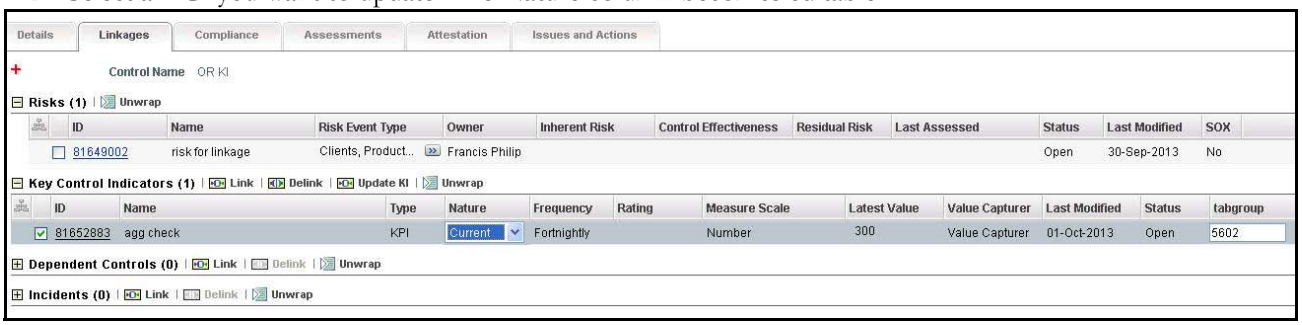



**Figure 97. Updating Key Control Indicators**

3. Select if the Nature of KCI is Predictive, Lag, or Current from the drop-down list.

   **Note:** By default the Nature of KCI is selected as Current.
4. Click **Update KI**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Linkages page is displayed with the updated KCI.

## Managing Compliances

The Compliance tab is displayed in the Control Details page when the Control is in Open status. This page lists the Regulations and Obligations linked to the Control. When you link an Obligation to a Control, the related Regulations are automatically displayed.

To link or delink Obligations, follow these steps:

1. Navigate to the Control Details page.

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

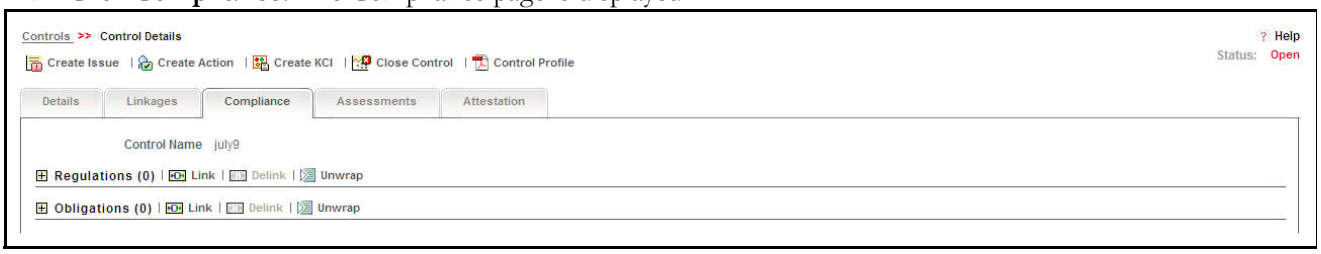



**Figure 98. Compliance Page - Controls**

For more information on linking or delinking, refer to *Managing Linkages*.

## Managing Test Plans and Results

The controls created in response to risks can be tested to check their effectiveness through Test Plans. The Test Plan and Results tab is enabled only if the Assessment Type is selected as Test Plan in the Control Details page. Users mapped to the role of Control Owner can create test plans and document the observations when the Control is in Open status.

**Note:** It is not mandatory to create a Test Plan and Results for assessing a control when the assessment type is Test Plans. You can perform test plan based assessments without creating a Test Plan and Result.

This section discusses the following topics:

- Creating Test Plans
- Editing Test Plan
- Deleting Test Plan
- Creating Test Result
- Editing Test Result
- Deleting Test Result

### *Creating Test Plans*

To create a Test Plan, follow these steps:

1. Navigate to the Control Details page.
2. Click **Test Plan and Results.** The Test Plan and Results page is displayed.
3. Click **Create Test Plan**. The Test Plan Details page is displayed.

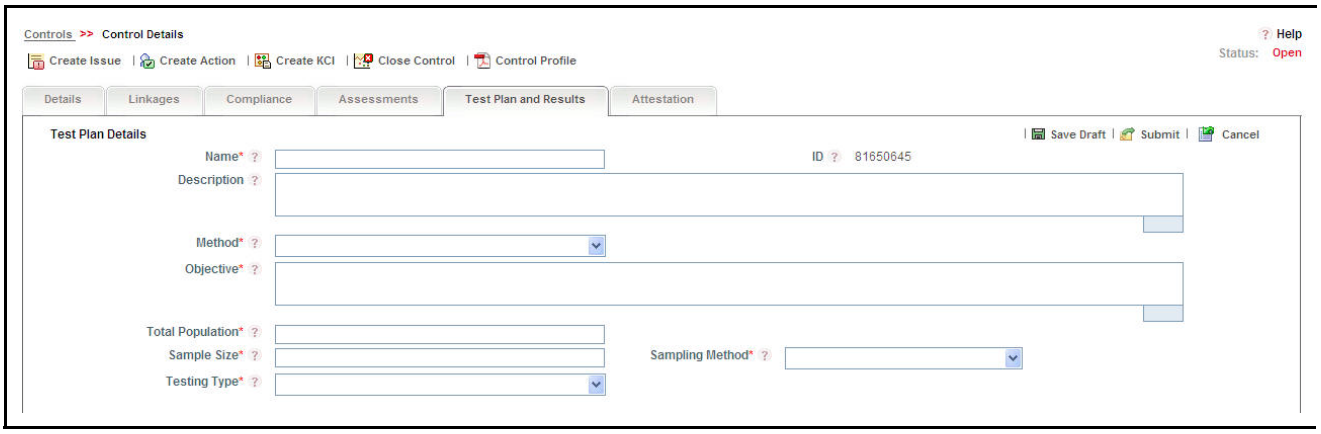



**Figure 99. Test Plan Details Page**

4. Enter the required details in the Test Plan Details section. The following table describes the fields of this section:

**Table 41. Test Plan Details**

| Fields | Description |
|---|---|
| Name | Enter the name of the Test Plan. You can enter up to 100 alphanumeric characters.<br><br>**Note:** If you try to enter more than 100 characters, the application displays the following message: *Number of characters exceeded*. |
| ID | Displays the sequential tracking number of the Test Plan.<br>This is an auto-generated unique identification number and cannot be modified |
| Description | Enter the detailed description of the Test Plan. You can enter up to 3000 alphanumeric characters.<br><br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Method | Select the method to be followed for testing the Control from the drop-down list with following options:<br>● Manual<br>● Automatic |
| Objective | Enter the objectives of the Test Plan. You can enter up to 3000 alphanumeric characters.<br><br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Total Population | Enter the total population of Controls eligible for testing under this Test Plan. You can enter numeric values up to 10 characters.<br><br>**Note:** If you try to enter more than 10 characters, the application displays the following message: *Number of characters exceeded*. |
| Sample Size | Enter the number of Controls to be chosen from the total population of Controls for testing. You can enter numeric values up to 10 characters.<br><br>**Note:** The Sample size should be less than or equal to the total population of Controls. |

**Table 41. Test Plan Details (Continued)**

| Fields | Description |
|---|---|
| Sampling Method | Select the method of sampling to be followed for choosing the Sample Size from the drop-down list with the following options:<br>● Random<br>● Judgemental |
| Testing Type | Select the type of testing to be followed for conducting this test plan from the drop-down list with the following options:<br>● Inspection<br>● Observation<br>● Walk through |

5. Click **Save Draft**. The following message is displayed: *Add Operation Successful.* Click **OK**. The status of the Test Plan changes to *Draft*.

   Or

   Click **Submit.** The following message is displayed: *Update Operation Successful.* Click **OK**. The status of the Test Plan changes to *Open*.

   **Note:** To submit a Test 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.*

### *Editing Test Plan*

When you want to update or modify the Test Plan details, you can edit. The Control Owner can edit the Test Plan when it is in Draft or Open status.

To edit a Test Plan, follow these steps:

1. Navigate to the Control Details page.
2. Click **Test Plan and Results.** The Test Plan and Results page is displayed.
3. Click the Test Plan ID you want to edit. The Test Plan Details page is displayed.
4. Click **Edit**. The Test Plan details become editable. For more information on the field level details, refer to Table 41 *Test Plan Details*.
5. Make the required changes and click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The updated Test Plan Details page is displayed.

### *Deleting Test Plan*

If a Test Plan in Draft status and it is no longer required, it can be deleted. Users mapped to the role of Control Owner can delete a Test Plan.

To delete a Test Plan, follow these steps:

1. Navigate to the Control Details page.
2. Click **Test Plan and Results.** The Test Plan and Results page is displayed.

3. Select a test plan in *Draft* status. The Delete Test Plan button is enabled.
4. Click **Delete Test Plan**. The following message is displayed: *Are you sure you want to delete the selected record?*
5. Click **OK**. The Test Plan is deleted from the list.

### *Creating Test Result*

Users mapped to the role of Control Tester can create a test result for a test plan in Open status. The Control Tester has the authority to pass or fail the control after assessing its effectiveness.

To create a Test Result, follow these steps:

1. Navigate to the Control Details page.
2. Click **Test Plan and Results.** The Test Plan and Results page is displayed.
3. Select a test plan and click **Create Test Result**. The Test Result Details page is displayed.

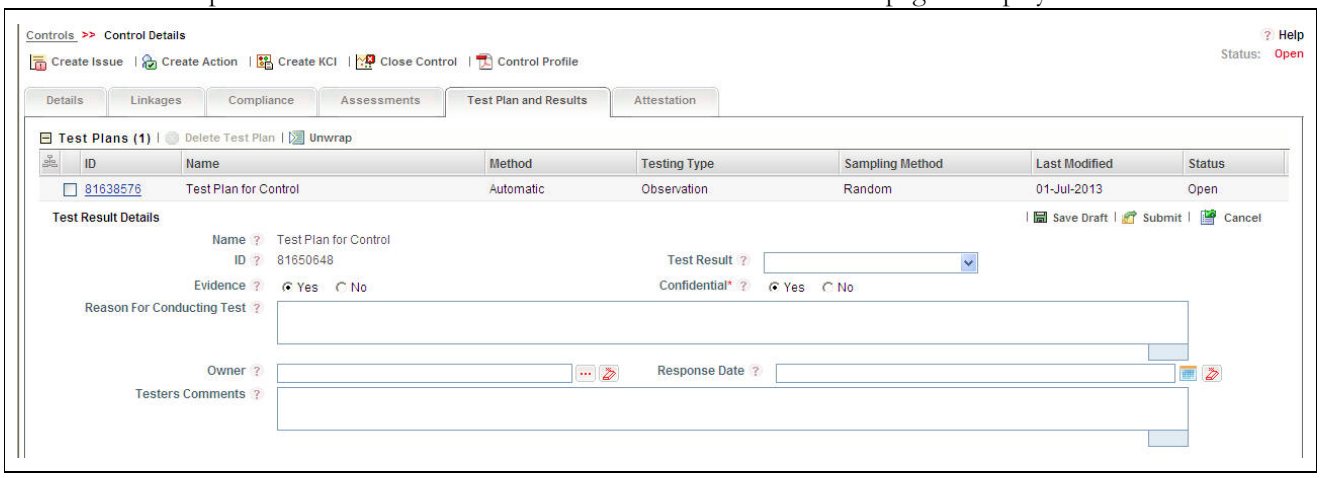



**Figure 100. Test Result Details Page**

4. Enter the required details in the Test Result Details page. The following table explains the fields of this section:

**Table 42. Test Result Details**

| Fields | Description |
|---|---|
| Name | Displays the name of the Test Plan. |
| ID | Displays the sequential tracking number of the Test Result. This is an auto-generated unique identification number and cannot be modified. |
| Test Result | Select if the control has **Passed** or **Failed** the test from the drop-down list. |
| Evidence | Select if there is any evidence collected as part of this control testing from the **Yes** or **No** radio buttons. |
| Confidential | Select if the test result is confidential in nature or not from the **Yes** or **No** radio buttons.<br><br>**Note:** If the test result is confidential, it can be viewed only by the Control Owner who created the Test Plan and Control Owners who are mapped to the business line and location for which the Control is created. |

**Table 42. Test Result Details (Continued)**

| Fields | Description |
|---|---|
| Reason For Conducting Test | Enter the reasons for conducting the test. You can enter up to 3000 alphanumeric characters.<br><br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Owner | Select the name of the person who has conducted the test from the hierarchy browser. |
| Response Date | Select a date from the calendar when the test results are signed off. |
| Testers Comments | Enter your comments on the test result. You can enter up to 3000 alphanumeric characters.<br><br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |

5. Click **Save Draft**. The following message is displayed: *Add Operation Successful.* Click **OK**. The status of the Test Result changes to *Draft*.

   Or

   Click **Submit.** The following message is displayed: *Update Operation Successful.* Click **OK**. The status of the Test Result changes to *Submitted*.

   **Note:** To submit a test result, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

### *Editing Test Result*

You can update or modify the Test Result details when it is in Draft status.

To edit a Test Result, follow these steps:

1. Navigate to the Control Details page.
2. Click **Test Plan and Results.** The Test Plan and Results page is displayed.
3. Select a Test Plan. The Test Results list is displayed.
4. Select the Test Result you want to edit. The Test Result Details page is displayed.
5. Click **Edit**. The Test Result details become editable. For more information on the field level details, refer to Table 42 *Test Result Details*.
6. Make the required changes and click **Update**. The following message is displayed: *Update Operation Successful.* Click **OK**. The updated Test Result Details page is displayed.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful.* Click **OK**. The updated Test Result Details page is displayed.

### *Deleting Test Result*

If a test result in Draft status and it is no longer required, it can be deleted.

To delete a Test Result, follow these steps:

1. Navigate to the Control Details page.
2. Click **Test Plan and Results.** The Test Plan and Results page is displayed.
3. Select a Test Plan. The Test Results list is displayed.
4. Select the test result you want to delete. The **Delete Test Result** button is enabled.
5. Click **Delete Test Result**. The following message is displayed: *Are you sure you want to delete the selected record?*
6. Click **OK**. The test result is deleted from the list.

### Managing Assessments

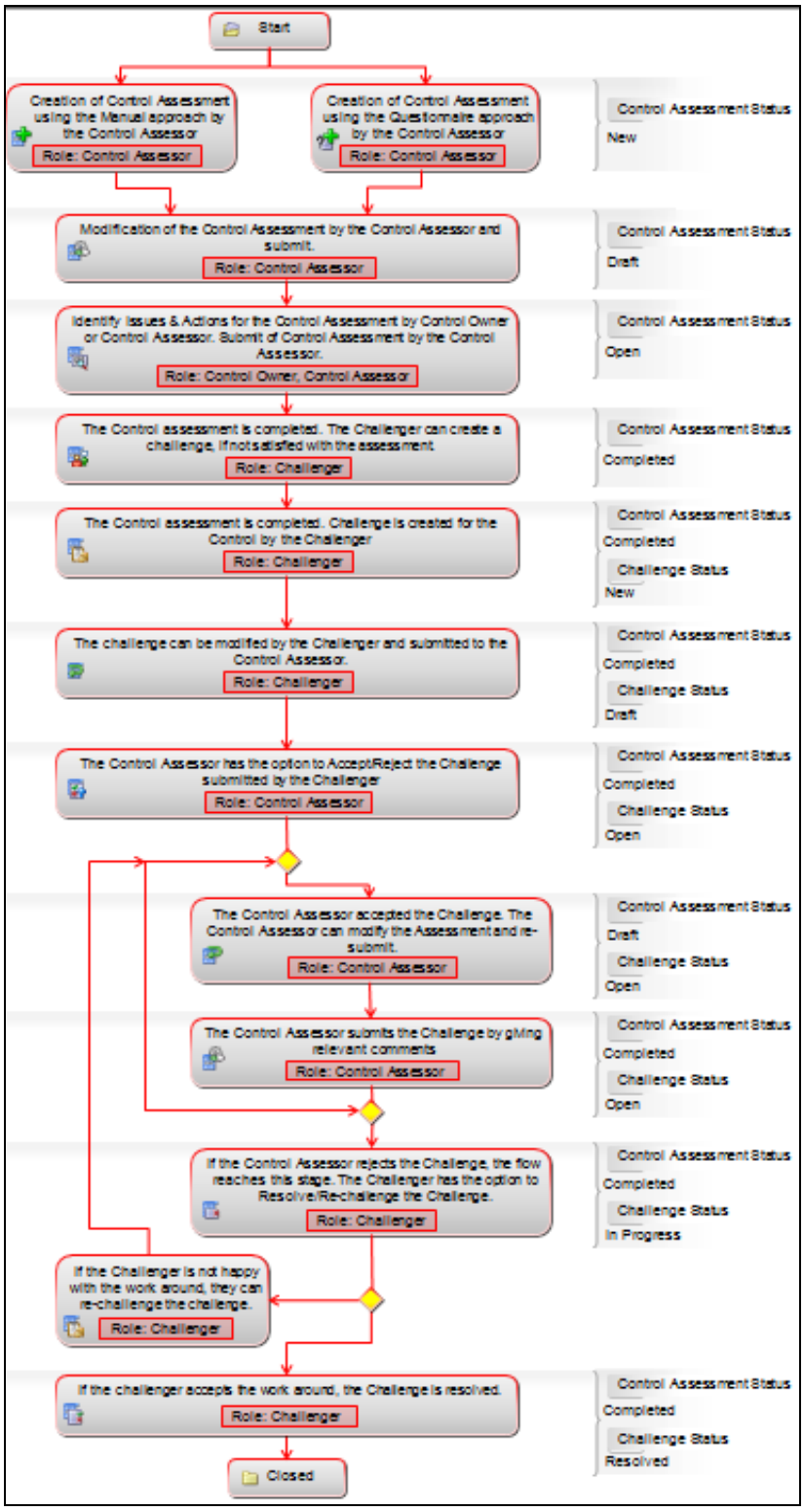
Controls in Open status can be assessed to check their effectiveness in mitigating risks.Controls can be assessed in three different approaches as following.

- Manual
- Test Plan Based
- Questionnaire Based

**Note:** The Assessment Type drop-down list allows you to select the approach for assessment while creating the control.

#### *Assessment Workflow*

The following figure explains the Controls Assessment Workflow:




**Risk Assessment Workflow**

This section covers the following topics:

- Assessment Workflow
- Creating Assessments - Manual Approach
- Creating Assessments -Test Plan Approach
- Creating Assessments - Questionnaire Approach
- Editing Assessments
- Challenging Assessments
- Deleting Assessments
- Viewing Control Assessment Additional Information

*Assessment Workflow*

The following figure explains the Control Assessment Workflow:

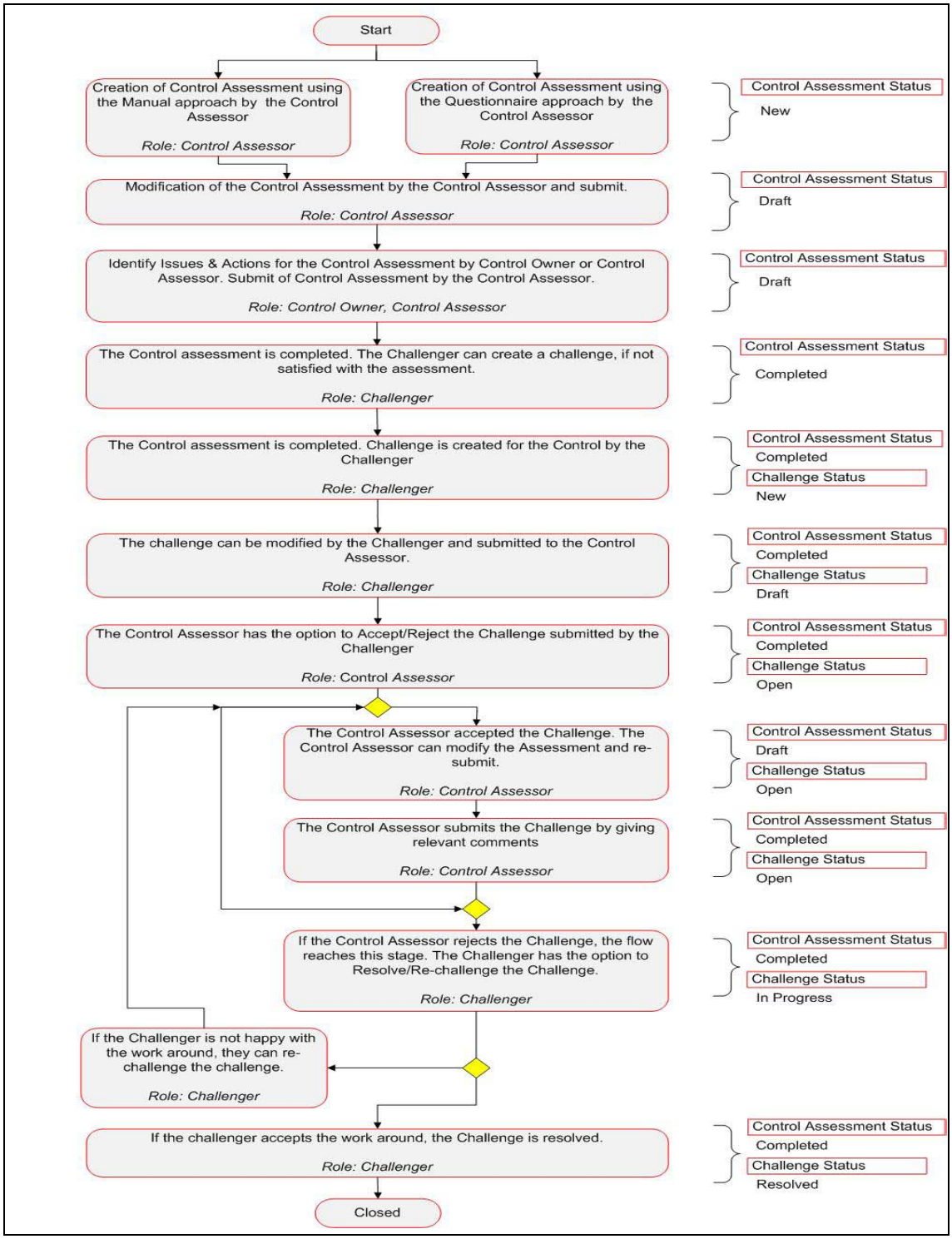



**Figure 101. Control Assessment Workflow**

*Creating Assessments - Manual Approach*

Controls can be assessed manually if the Assessment Type is selected as Manual while creating the control.

To create a manual assessment, follow these steps:

1. Navigate to the Assessments tab in the Control Details page and click **Assess Control**. The Control Assessment page is displayed.

   Or

   Navigate to the Control Search and List page. Select a Control in Open status and click **Assess Control**. The Assessment Details page is displayed.

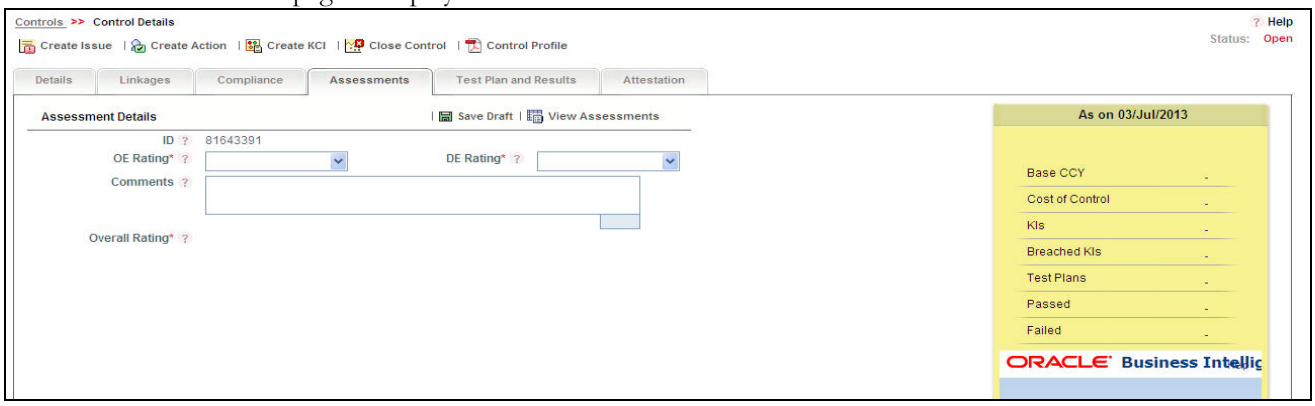



**Figure 102. Assessment Details Page**

2. Enter the following information in the Assessment Details section fields.

**Table 43. Assessment Details**

| Fields | Description |
|---|---|
| ID | Displays the sequential tracking number of the Control Assessment. This is an auto-generated unique identification number and cannot be modified. |
| OE Rating | Select a rating for Operating Effectiveness of the Control from the drop-down list. The options include:<br>● Effective<br>● Qualified<br>● Requires Improvement |
| DE Rating | Select a rating for Design Effectiveness of the Control from the drop-down list. The options include:<br>● Effective<br>● Qualified<br>● Requires Improvement |
| Comments | Enter your comments justifying the ratings you have provided. You can enter a maximum of 3000 characters in this field.<br><br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Overall Rating | Displays the rating based on the OE Rating and DE Rating of the Control after saving.<br>The Overall rating can be:<br>● Effective<br>● Qualified<br>● Requires Improvement |

**Note:** The fields OE Rating and DE Rating are disabled if the Assessment Type is selected as *Questionnaire* while defining the Control.

3. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Draft*.

   Or

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Completed*.

   **Note:** The latest submitted assessment ratings (OE, DE, and Overall Rating) are displayed in the Controls Search and List Page.

### *Creating Assessments -Test Plan Approach*

While creating a Control, if you select Assessment Type as Test Plans, you can create Test Plans for the Control. The Test Result can be referred for assessing the control.

To create a Test Plan based assessment, follow these steps:

1. Navigate to the Assessments tab in the Control Details page and click **Assess Control**. The following message is displayed: *Ensure latest Test Results are captured*. Click **OK**. The Assessment Details page is displayed.

   Or

   Navigate to the Control Search and List page. Select a Control in Open status and click **Assess Control**. The following message is displayed: *Ensure latest Test Results are captured*. Click **OK**. The Assessment Details page is displayed.

2. Enter the required information in the Assessment Details section. For more details, refer to *Table 43 Assessment Details*.

3. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Draft*.

   Or

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Completed*.

### *Creating Assessments - Questionnaire Approach*

Questionnaire based assessment functionality in OFS OR application allows users to assess Control through Questionnaire based approach. In this approach, multiple respondents linked to selected questionnaire respond to the questions and the feedback is sent to the Assessor of the entity. Assessor can draw the conclusions from these feedbacks and go ahead with the majority opinion or as per his own analysis.

Also, users can get the complete view of the entity performance/functioning through the respondents, who will be majorly the owner of the entities which are effected by the entity which is under scrutiny.

**Note:** For Controls, you can use Basic and Score Based Questionnaires. Questionnaire of type Basic allows respondents to answer the questions but the final value for the assessment is not derived from their responses directly. Questionnaire of type 'Score based' allows respondents to not only respond but final value is derived from their responses (though Assessor can override).

While creating a Control, if you select Assessment Type as Questionnaire, you can create/link Questionnaire, for the Control.

**Note:** Before creating the Questionnaire based assessment, you select the DE Questionnaire and OE Questionnaire fields from Control Details page.

To create a Questionnaire based assessment, follow these steps:

1. Navigate to the Assessments tab in the Control Details page and click **Assess Control**. The Assessment Details page is displayed.

   Or

   Navigate to the Control Search and List page. Select a Control in Open status and click **Assess Control**. The Assessment Details page is displayed.

2. When you click **Assess Control**, then the following message is displayed: *You are initiating Control Assessment. Questionnaire response tasks will be generated to the respondents. Do you want to continue?* Click OK.

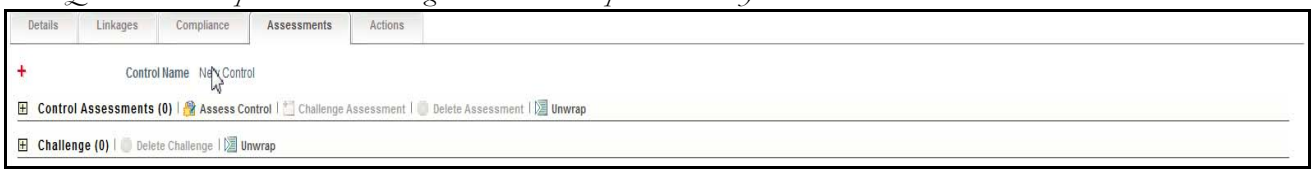



**Figure 103. Assessing Control**

**Note:** If Questionnaire is not selected, then following message is displayed: No *Questionnaires are available currently. Please contact the Questionnaire Administrator* and you would not be able to continue the assessment.

3. A draft assessment record will be created.

   **Note:** The Responedent logs into his Inbox and can response to that questionnaire. The selected DE Respondents receive only DE control questionnaire and selected OE Respondents receive only OE control questionnaire. For more information, refer to *Chapter 20: Managing Questionnaire, Responding to Questionnaire* section. If questionnaires are linked and the respondents are not linked, then assessor will be treated as respondent, and he will get the task to response the questionnaire.

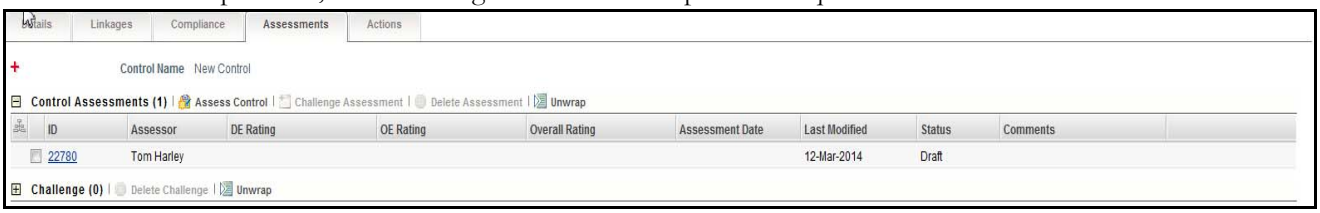



**Figure 104. Draft Assessment**

When the status of Assessment is Draft, you can edit the assessment details.

To edit the assessment details, follow the steps given below:

1. Click the Control Assessment in Draft status.
2. The Response Summary page will display. The first Response Summary page shows the summary of DE questionnaire and the second Response Summary page shows the summary of OE questionnaire.

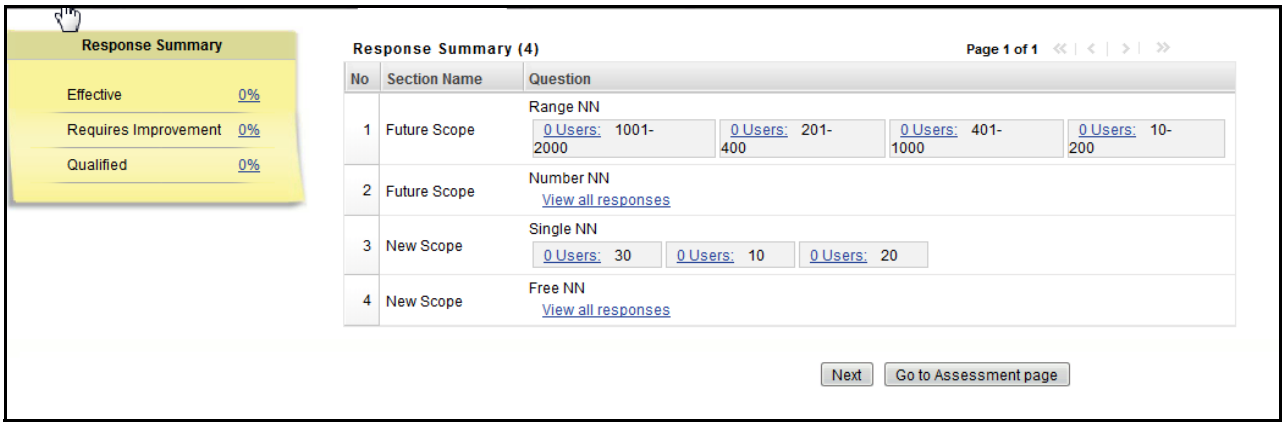



**Figure 105. Response Summary Page**

This page shows the following details:

- List of sections and questions of questionnaire with response options
- Count of Respondents: The count of responses will display along the user. You can click **Users** link to view the details of Respondent.
- Response Summary: If the questionnaire type is basic, then the response summary will be blank. For score based questionnaire, this will display the distributed percentage (%) based on responses provided by users (respondents).

Once the users have responses, the Control Assessor completes the assessment. If two or more options (Effective, Qualified, or Requires Improvement) are equally scored and those have highest scores, then the Worse Case option is selected. Below is the order for Worse Case selection from worse to good in Controls.

- Requires Improvement
- Qualified
- Effective

### *Editing Assessments*

You can edit an Assessment in Draft status when you want to update or modify the assessment details.

To edit an Assessment, follow these steps:

1. Navigate to the Assessments tab in the Control Details page.
2. Select the assessment **ID** that you want to edit. The Assessment Details page is displayed.
3. Click **Edit**. The assessment details become editable.

   **Note:** Name and Overall Rating cannot be edited.
4. Modify the OE Rating, DE Rating, and Comments if required. For more information about the fields, refer to *Table 43 Assessment Details*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**. The updated Assessment Details page is displayed.

   Or

Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The updated Assessment Details page is displayed. The status of the assessment changes to *Completed*.

### *Challenging Assessments*

### *Deleting Assessments*

An assessment in Draft status can be deleted when it is not in use.

To delete an assessment, follow these steps:

1. Navigate to the Control Details page.
2. Click **Assessments.** The Assessment page is displayed.
3. Select the assessment you want to delete. The **Delete Assessment** button is enabled.
4. Click **Delete Assessment**. The following message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**. The following message is displayed: *Delete Operation Successful*.
6. Click **OK**. The assessment is deleted and the updated Assessment page is displayed.

### *Viewing Control Assessment Additional Information*

The Assessment Details page provides additional information regarding the Control assessment. This additional information is available in all statuses of the assessment.

To view additional information regarding the Control assessment, follow these steps:

1. Navigate to the Control Details page.
2. Click **Assessments**. All Assessments associated to the Control are listed.
3. Select an Assessment **ID**. The Assessment Details page is displayed with the Additional Information section.

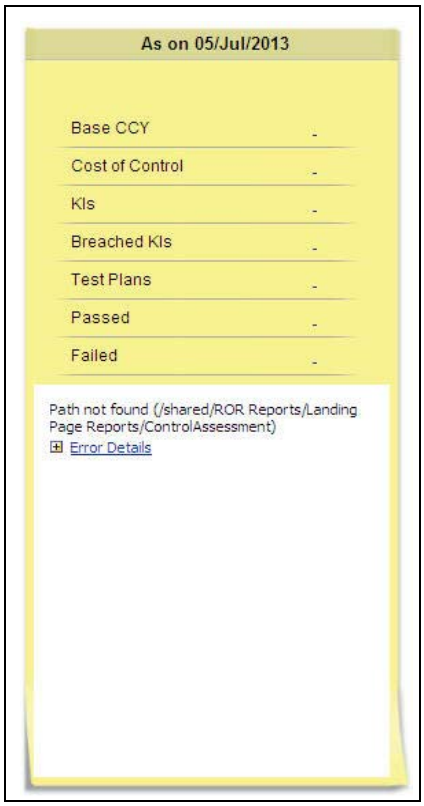



**Figure 106. Control Assessment Additional Information**

The following table explains the Additional Information details:

**Table 44. Additional Information - Control Assessments**

| Fields | Description |
|---|---|
| Base CCY | Displays the base currency. |
| Cost of Control | Displays the cost of the Control mentioned in Control Definition page. |
| KIs | Displays the number of Key Indicators linked to the Control. |
| Breached KIs | Displays the number of Breached Key Indicators linked to the Control. |
| Test Plans | Displays the number of test plans created for the Control. |
| Passed | Displays the number of passed Test Results. |
| Failed | Displays the number of failed Test Results. |
| Assessment Trends | Displays the latest assessment trends as an embedded report. |

## Managing Attestations

Some controls, like SOX controls, may require certification. These controls undergo the process of attestation. The Attestation tab is enabled only if the Required Attestation field in Control Details is selected as Yes. You can attest a Control in Open status.

This section discusses the following topics:

- Attestation Workflow
- Creating Control Attestation
- Editing Control Attestation by Control Owner
- Editing Control Attestation by SOX Controller
- Deleting Control Attestation

### *Attestation Workflow*

The following figure explains the Control Attestation Workflow:

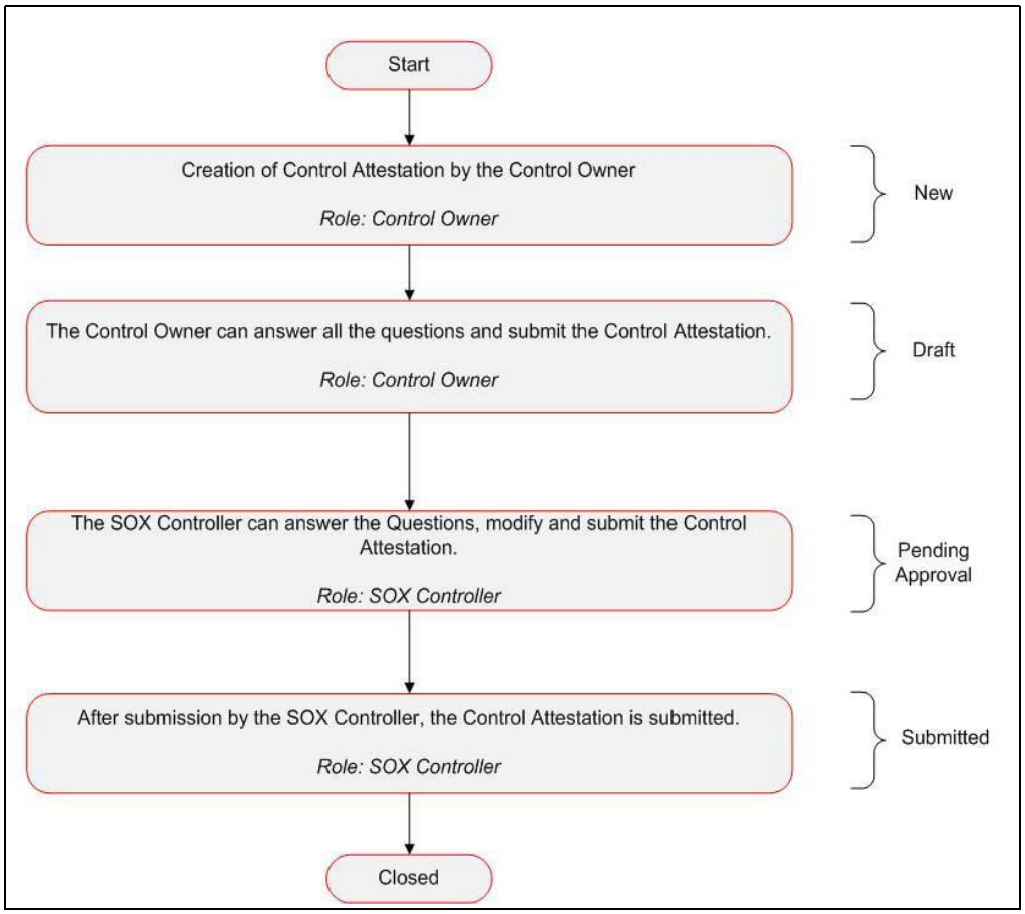



**Figure 107. Attestation Workflow**

### *Creating Control Attestation*

To create a control attestation, follow these steps:

1. Navigate to the Control Search and List page.
2. Select the required Control in Open status and click **Attest Control**. The Attestation Details page is displayed.

   Or

   Click a Control **ID**. The Control Details page is displayed. Click **Attestation.** The Attestation page is displayed. Click **Attest Control**. The Attestation Details page is displayed.

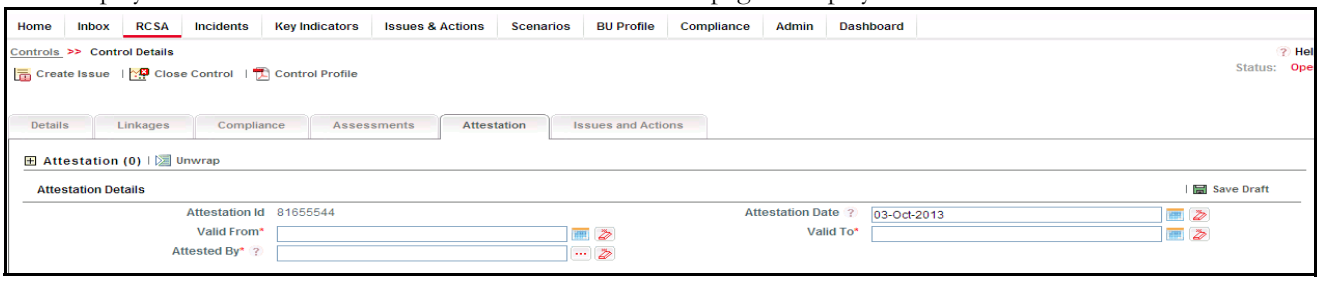



**Figure 108. Control Attestation Details**

3. Enter the following information in the Attestation Details page.

**Table 45. Control Attestation Details**

| Fields | Description |
|---|---|
| Attestation ID | Displays the sequential tracking number of the attestation. This is an auto-generated unique identification number and cannot be modified. |
| Attestation Date | Displays the date when the Attestation is last updated or submitted. You can edit by selecting a date from the calendar. |
| Valid From | Select a date from the calendar when the validity of this rating begins.<br>**Note:** The Valid From date should be less than Valid To date. If not, the system displays the following message: *Valid to date should be greater than Valid from date.* |
| Valid To | Select a date from the calendar when the validity of this rating ends.<br>**Note:** The Valid To date should not be greater than system date. Else, the system displays the following message: *Valid to date should be less than or equal to system date.* |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. The Assertions section is displayed.
5. Select your responses and enter comments in the Assertions section.

   **Note:** Responses to all questions should be updated for submitting the attestation. If not, the following message is displayed: *Please answer all questions.*
   It is mandatory to enter comments for negative responses. If not, the application displays the following message: *Update Comments for all negative responses.*

6. Click **Save**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   Or

Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Pending Approval*.

**Note:** To submit an attestation, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Enter all mandatory fields*.

### *Editing Control Attestation by Control Owner*

You can edit when you want to update or modify the Attestation details in when Challenge details is in Draft status.

1. Navigate to the Control Details page.
2. Click **Attestation.** The Attestation page is displayed.
3. Click the Attestation **ID** that you want to edit. The Attestation Details section is displayed.
4. Make the necessary changes in the attestation details. For information about the fields, refer to Table 45 *Control Attestation Details*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Pending Approval*.

### *Editing Control Attestation by SOX Controller*

You can edit a control attestation in Pending Approval status. You have the authority to approve the attestation by submitting it.

To edit a control attestation, follow these steps:

1. Navigate to the Control Details page.
2. Click **Attestation.** The Attestation page is displayed.
3. Click the Attestation **ID** that you want to edit. The Attestation Details section is displayed.
4. Make the necessary changes in the Attestation Details page. For information about the fields, refer to *Table 45*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Submitted*.

### *Deleting Control Attestation*

If a Control Attestation in Draft status is no longer required, it can be deleted.

To delete a Control Attestation, follow these steps:

1. Navigate to the Control Details page.
2. Click **Attestation.** The Attestation page is displayed.

3. Select the attestation record you want to delete. The Delete Attestation button is enabled.
4. Click **Delete Attestation**. The following message is displayed: *Are you sure you want to delete the selected record?*
5. Click **OK**. The attestation record is deleted from the list.

## Managing Issues and Actions

An issue is a problem statement and actions are plans or activities taken up to resolve those issues. You can create, link and delilnk, and delete issues and actions associated to the Controls.

This section covers following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Action
- Closing Issues and Actions

### *Creating Issues*

When you identify a particular issue or a problem statement that poses as an operational risk to an organization, you can create issues and subsequently create necessary action plans to resolve or address those issues.

Users mapped to the role of Control Owner, Control Assessor, and SOX Controller can create issues from Controls section.

**Note:** The Control must be in Open status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click Control **ID**. The Control Details page is displayed.
3. Click **Create Issue**. The Issue Details page is displayed.

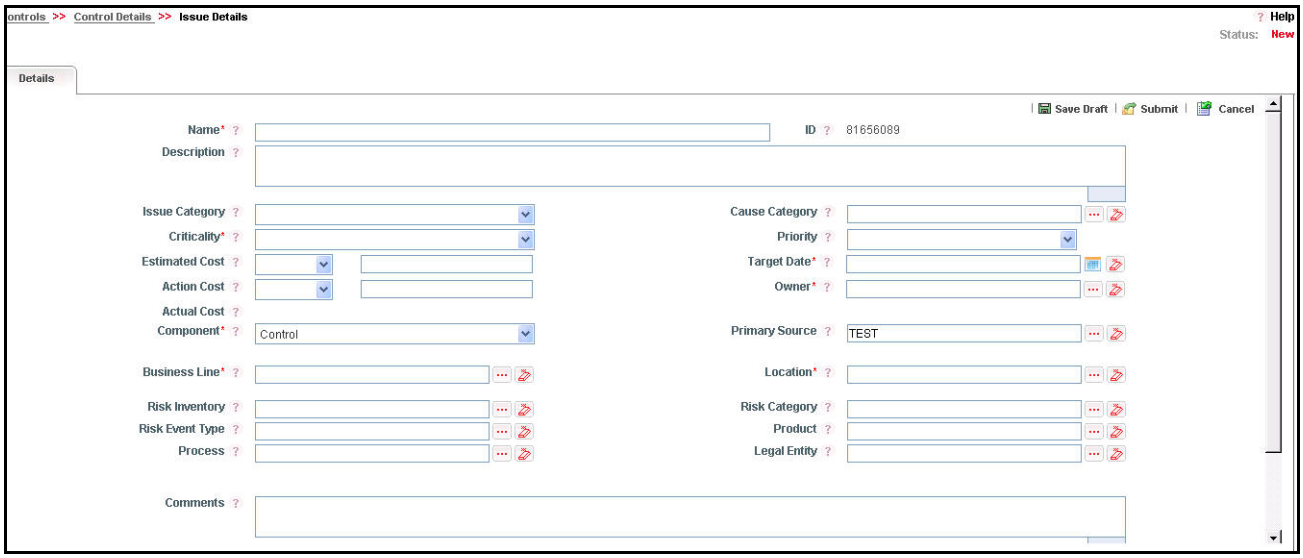



**Figure 109. Issue Details Page**

For more information on fields in the Issue Details page, refer to *Chapter 8: Managing Questionnaire, Creating Issues* section.

If an issue is initiated from the Controls section, the Component field in the Issue Details page displays as Control and the Primary Source field display the Control Name.

### *Creating Actions through Issues*

Organization use action plans to address a particular issue that has occurred they can create action plans. Users mapped to the role of Issue Owners or Action Creators can create Action Plans for their Issues.

**Note:** To create actions plans, the Issue must be in Open status.

For more information about Creating Actions for Issues, refer to *Chapter 8: Managing Questionnaire, Creating Actions* section.

### *Creating Actions Directly*

You can directly create Actions if Issue Creation is turned off. This feature is configured during installation of the OFSOR/GCM application or can be configured later.

Users mapped to the role of Control Owner, Control Assessor, and SOX Controller can create Actions from the Controls module.

**Note:** To create actions directly, the Control must be in Open status.

To create actions directly, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click Control **ID**. The Control Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

For more information about Creating Actions for Issues, refer to *Chapter 8: Managing Questionnaire, Creating Actions from Issues* section.

If an Action is initiated from the Controls section, the Component and Primary Source fields in the Actions Details page displays as Control and Control Name respectively.

### *Linking and Delinking Issues and Actions*

The Issues and Actions tab allows you to link and delink issues and actions to Controls. You can link existing issues or actions to the Control. If the issue or action is created from the Controls module, the issue or action will be automatically shown in the Issue or Action list of the Control.

Users mapped to the role of Control Owner, Control Assessor, or SOX Controller can link and delink Issues to a Control in Open status. You can only link issues which are in Open status.

Users mapped to the role of Issue Owner can link existing Actions to Issues which are in Open status.

If Issue creation is turned off, then Actions can be linked directly to a Control. The Control Owner, Control Assessor, or SOX Controller can link and delink Issues to a Control in Open status. You can only link issues which are in Open status.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click Control **ID**. The Controls Details page is displayed.
3. Click **Issues and Action** tab. The Issues and Actions section is displayed.

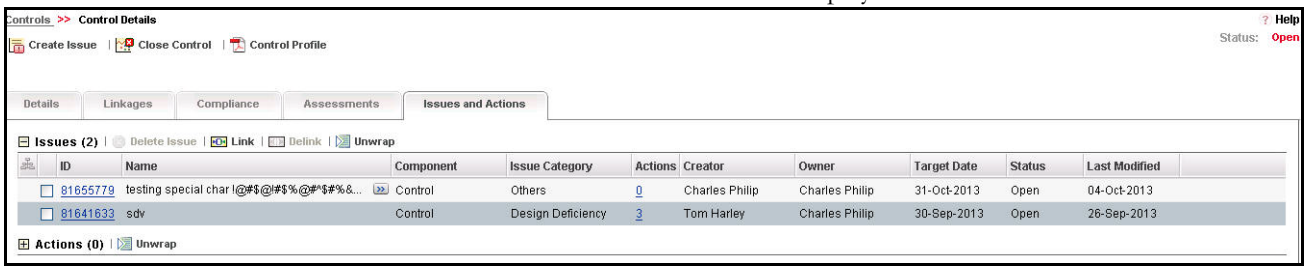



**Figure 110. Issues and Actions Tab**

For more information on linking and delinking Issues and Actions, refer to *Managing Linkages*.

### *Deleting an Issue*

Users mapped to the role of Issue Creator, or Issue Owner 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.

### *Deleting an Action*

The Controls section allows you to delete Action Plans in Draft status.

Users mapped to the role of Issue Owner can delete Actions in Draft status if Issue Creation is turned on.

If Issue Creation is turned off, Users mapped to the role of Control Owner, Control Assessor, or SOX Controller can delete Draft Actions linked to Controls.

For more information about deleting Issues and Actions, refer to *Chapter 8: Managing Questionnaire, Deleting an Issue* section.

*Closing Issues and Actions*

Actions can be closed once they are complete. If all actions for an Issue is addressed, then Issues can be closed.

If an Action is abandoned mid-way, it can be force closed. Once all actions are closed, the Issue can be closed.

Only users mapped to the role of Action Owner can close or force close actions.

Only an Issue Owner can close Issues.

For more information on closing Actions for Issues, refer to *Chapter 8: Managing Questionnaire, Force-Closing an Action* section.

## Closing a Control

When a control in Open status is no longer applicable, it can be closed. Users mapped to the role of Control Owner can close a control in its business line and location.

You can close a control either from the Controls Search and List page or from the Control Details page. Once the control is closed, its status changes from Open to Closed.

**Note:** All local instances of the control should be closed.

All linked records under KCIs, Regulations, Obligations, Issues and Actions, and Information Libraries should be delinked. Risks should either be tracked to closure or delinked from the Risk Definition page. Test Plans created for the Control should be closed.

To close a Control, follow these steps:

1. Navigate to the Controls Search and List page.
2. From the Controls list, click a Control **ID** in *Open* status that you want to close. The Control Details page is displayed. From the Details page, click **Close Control**.

   Or

   From the Control List, select a required Control in *Open* status that you want to close and click **Close Control**.

   The Close Control window is displayed.
3. Enter the reason for closure. You can enter text up to 3000 characters.
4. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   **Note:** If you click Submit without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure.*
5. Click **Back** on the Close Control window. The system refreshes and displays the Control in *Closed* status either in the Control List page or Control Details page depending upon from where the closure was performed.

## Deleting a Control

The controls in Draft status which are not in use can be deleted. The Controls Search and List page allows you to delete a Control. Users mapped to the role of Control Owner can delete a Control in Draft status.

To delete a Control, follow these steps:

1. Navigate to the Controls Search and List page.

2. Select the Control **ID** you want to delete.
3. Click **Delete Control**. 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 Control is deleted and the updated Control Search and List page is displayed.

## Exporting Control Details

Exporting Control details allows you to view a compiled list of all Controls. The Control Search and List page allows you to export the Control list into an Excel template.

To export the Control details into an Excel template, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click **Export**. The Export Properties dialog box is displayed.

   **Note:** All records in the Controls Search and List page are exported into an Excel template. You cannot export individual Control details into Excel.

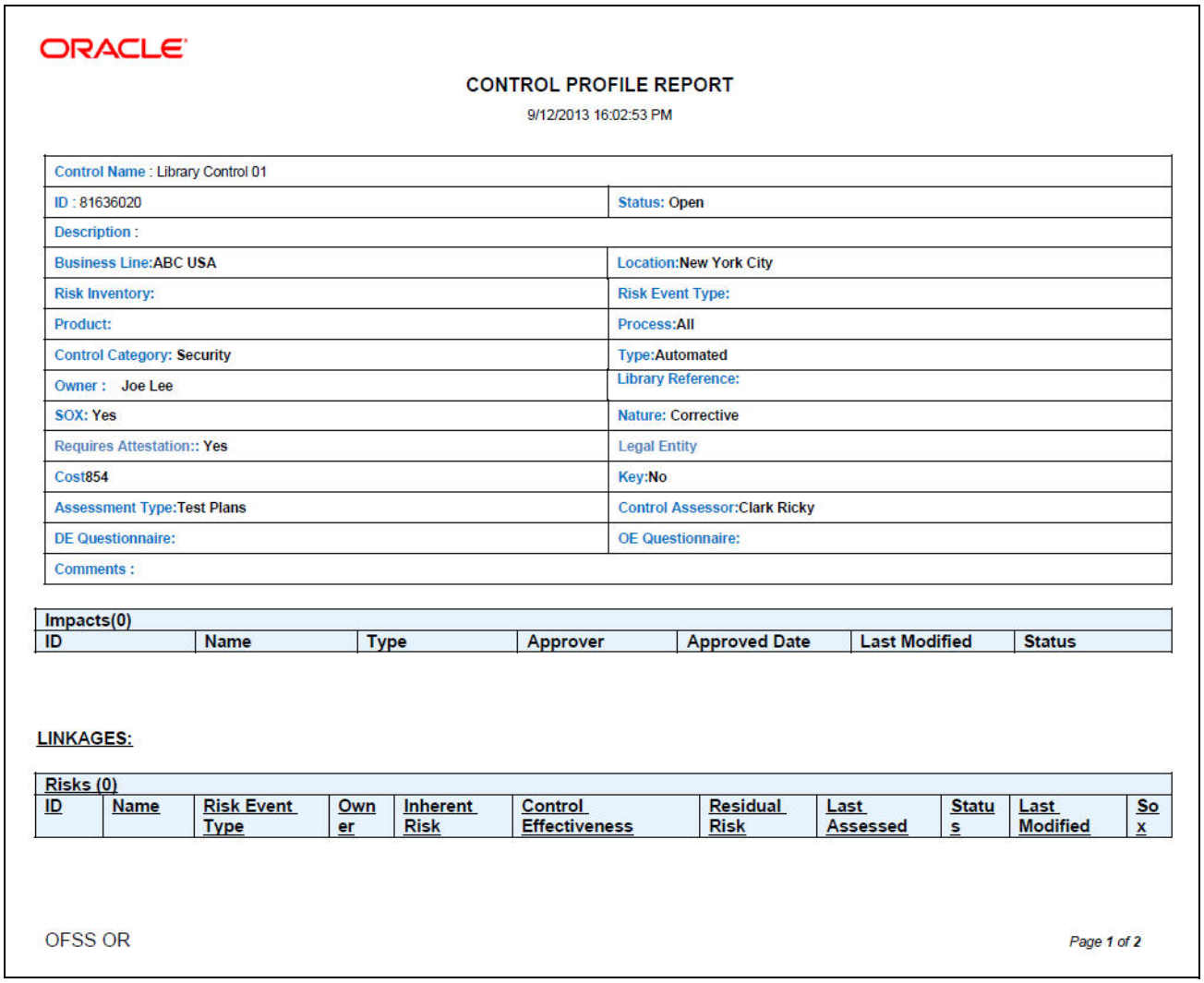
   For more details on exporting, refer to *Exporting Records*.

## Viewing Control Profile Report

The Control Profile Report gives a current snapshot of the Control. You can view the details of a control in a PDF document.

To view Control Profile Report, follow these steps:

1. Navigate to the Controls Search and List page.
2. Click a Control **ID**. The Control Details page is displayed.
3. Click **Control Profile**. A File Download Box is displayed.
4. Click **Open** to view the Control Library Profile Report.



ORACLE

CONTROL PROFILE REPORT

9/12/2013 16:02:53 PM

| | |
|---|---|
| Control Name : Library Control 01 | |
| ID : 81636020 | Status: Open |
| Description : | |
| Business Line:ABC USA | Location:New York City |
| Risk Inventory: | Risk Event Type: |
| Product: | Process:All |
| Control Category: Security | Type:Automated |
| Owner : Joe Lee | Library Reference: |
| SOX: Yes | Nature: Corrective |
| Requires Attestation:: Yes | Legal Entity |
| Cost854 | Key:No |
| Assessment Type:Test Plans | Control Assessor:Clark Ricky |
| DE Questionnaire: | OE Questionnaire: |
| Comments : | |

| Impacts(0) | | | | | | |
|---|---|---|---|---|---|---|
| ID | Name | Type | Approver | Approved Date | Last Modified | Status |

LINKAGES:

| Risks (0) | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| ID | Name | Risk Event Type | Owner | Inherent Risk | Control Effectiveness | Residual Risk | Last Assessed | Status | Last Modified | Sox |

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Page 1 of 2

**Figure 111. Control Profile Report**

# CHAPTER 6 Managing Incidents

This chapter provides details of the Incidents module in the OFSOR/GCM application and step-by-step instructions to use this module.

This chapter includes the following topics:

- About Incidents
- User Roles and Actions
- Tasks and Notifications
- Incident Workflow
- Accessing Incident Menu
- Searching Incidents
- Creating Incidents
- Managing Incident Details
- Reviewing Incidents
- Approving Incidents
- Rejecting an Incident
- Closing an Incident
- Reopening Incidents
- Exporting Incident List to Excel
- Viewing Internal Incident Profile
- Grouping of Incidents

## About Incidents

Incidents may include errors in internal processes, controls and projects, caused by technological, organizational or external factors. Business losses occur in day-to-day operations due to various Incidents. For example, a server crash is an Incident which causes a disruption in the business process. These Incidents can be captured in a system to identify the loss-causing events and plan for loss recovery. The Incidents module of OFSOR/GCM allows a financial institution to capture and monitor various Incidents that cause operational risk.

This module allows guest users to report Incidents without revealing personnel identity, thus following the whistle blower policy. Incident management helps an organization to analyze the events at different levels and take necessary steps to prevent loss-causing events in the future.

### Incident Reports

The Incident module generates the following reports:

- Main Reports

- Incnt by Dif Tm Interval
- Incidents by Group
- Incidents by Event Type
- Incident Impacting multiple Business Units
- Incidents by Business Line
- Largest Losses
- Losses Associated with Risks
- Losses Associated with Controls
- Losses Associated with Action Plans
- Compliance Incidents

- Link Reports
  - Confidential Incidents by Different Time Intervals
  - Legal Incidents by Different Time Intervals
  - Incidents by Primary Cause
  - Losses by Business Line / Risk Event Type
  - Loss Events - Not Approved
  - Losses by Impact
  - Losses by Incident Type
  - Incidents by Change Management
  - Overdue Issues
  - Overdue Actions
  - Issues where Actual cost exceeding estimated cost
  - Actions where Actual cost exceeding estimated cost
  - Incidents by Status
- Embedded Reports
  - Incnt by Dif Tm Interval
  - Losses by Incident Type
  - Top 5 Control Failures
  - Top 5 Control Failures
  - Top 5 Risk Event Type

## Salient Features

The Incident Manager provides the following features to help organizations manage their operational risk:

- Provides an ability for financial institutions to capture internal Incidents

- Allows user to identify the causes and related risks and controls
- Provides an ability to investigate and capture the different impacts for an Incident
- Allows Guest users (whistle blowers) to report Incidents without revealing personal identity
- Categorizes the losses into boundary losses, compliance incident, customer complaints, and so on to help further analysis
- Provides the workflows for multi level reviews and approvals based on the loss amount and the compliance, legality, or confidentiality of the Incident
- Allows to upload and manage external Incidents from external source
- Supports grouping of Incidents
- Allows to capture multiple Impacts for Incident for various currencies

## *User Roles and Actions*

This section explains the different user roles and actions they can perform in the Incident. This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Incidents:

- **Guest User:** This user identifies the Incident and creates a new Incident. A person who is outside or inside the business unit can login to the Incident module as a Guest User.
- **General Incident User:** The user receives a task in the Inbox to allocate an Incident to the Incident Owner depending on the Business Unit.

**Note:** This user receives tasks only from the Guest User.

- **Incident Owner:** This user performs the following actions:
  - Identifies and creates a new Incident.
  - Accepts ownership of Incidents submitted by the General Incident Owner.
  - Edits an existing Incident.
  - Creates, edits, or deletes the Impacts and Recoveries. Links or delinks the Causes, Risks, Controls, KIs, Internal Incidents, External Incidents, and Insurance. Creates, and links or delinks the Issues.
  - Submits an Incident for Review or Closure depending on the Gross Loss Amount and whether the Incident is compliance or non-compliance, or legal or non-legal, or confidential or non – confidential.
  - If an Incident is closed, an Incident Owner can also request for Reopening of a closed Incident.
- **Incident Reviewer:** This user reviews the non-compliance, non-legal, and non-confidential Incidents which have losses above the upper threshold level. After the review, the Incident Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.

- **Confidential Incident Reviewer:** This user reviews Confidential Incidents which have losses above the upper threshold level. After the review, the Confidential Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.
- **Legal Incident Reviewer:** This user reviews Legal Incidents which have losses above the upper threshold level. After the review, the Legal Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.
- **Compliance Incident Reviewer:** This user reviews the Compliance Incidents which have losses above the upper threshold level. After the review, the Reviewer can submit the Incident for approval or rejection and send it back to the Incident Owner.
- **Incident Approver:** The user receives the non-compliance, non-legal and non-confidential Incidents submitted for approval by the Incident Reviewer or Incident Owner depending on the Net Loss Amount. This Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, this user approves the request of the Incident Owner for reopening of a non-compliance, non-legal, and non-confidential Incident.

**Note:** An Incident Approver can handle both internal and external Incidents.

- **Confidential Incident Approver:** This user receives the Confidential Incidents submitted for approval by the Confidential Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Confidential Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, this Approver approves the request of the Incident Owner to reopen a Confidential Incident.
- **Legal Incident Approver:** This user receives the Legal Incidents submitted for approval by the Legal Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Legal Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, this Approver approves the request of the Incident Owner to reopen a Legal Incident.
- **Compliance Incident Approver:** This user receives the Compliance Incidents submitted for approval by the Compliance Incident Reviewer or Incident Owner depending on the Net Loss Amount. The Compliance Incident Approver can approve or reject the Incident and send it back to the Incident Owner. Also, this Approver approves the request of the Incident Owner to reopen a Compliance Incident.
- **Operational Risk User:** This user uploads and edits external Incidents and submits it to the Incident Approver for Approval.
- **Incident Group User:** This user identifies the Incident group and creates a new Incident Group. The Incident Group User can group the Incidents into an Incident group, ungroup the Incidents from an Incident group, or delete the Incident groups.

**Note:** Guest users only have access to the Event Registration window. Any user can log-in as a Guest and use the Event Registration window.

## Actions

The Incidents module allows users to perform the following actions:

- **Creating Incident:** This action allows the user to create a new Incident. Users can link or delink the Business Line and Location combinations and attach or delete the documents before or after submitting the Incident.
- **Editing Incident:** This action allows the user to edit and update Incidents in Ownership status.

- **Reviewing Incident:** This action allows the user to review an Incident in Pending Review status. Here, an Incident Reviewer (such as Confidential Incident Reviewer, Legal Incident Reviewer, and Compliance Incident Reviewer) can create or link a new issue and attach documents. The Reviewer reviews the Incident details and enter the comments.
- **Approving Incident:** This action allows the user to approve an Incident in Pending Approval or Pending Reopen status. Here, an Incident Approver (such as, Confidential Incident Approver, Legal Incident Approver, and Compliance Incident Approver) can create or link a new issue and attach documents. Once an Approver approves the Incident, a notification is sent to the Incident Owner and Incident Reviewer.
- **Rejecting Incident:** This action allows the user to reject an Incident. When a Reviewer or Approver rejects an Incident, it goes back to the Incident Owner with Ownership status.
- **Closing Incident:** This action allows the user to close the Incident. This is applicable for duplicate Incidents.
- **Reopening Incident:** This action allows the user to reopen the Incident in Approved status.
- **Exporting Incident:** This action allows the user to export the list of Incidents. The Exported Incident function allows the organization to have a compiled list of all applicable Incidents.
- **Grouping Incident:** This action allows the user to group the Incidents.

**Table 46. User Roles and Actions**

| Action | User Roles | | | | |
|---|---|---|---|---|---|
| | Guest User | General Incident User | Incident Owner | Incident Reviewer (Confidential Incident Reviewer, Legal Incident Reviewer, Compliance Incident Reviewer) | Incident Approver (Confidential Incident Approver, Legal Incident Approver, Compliance Incident Approver) |
| Report Incident | X | | | | |
| Allocating Incident | | X | | | |
| Create Incident | | | X | | |
| Edit Incident details | | | X | | |
| Submit Incident | | | X | | |
| Delete Incident | | | X | | |
| Review Incident | | | | X | |
| Approve Incident | | | | | X |
| Reject Incident | | | | X | X |
| Close Incident | | | X | | |
| Reopen Incident | | | X | | |
| Create Impact | | | X | | |
| Link/Delink Impact | | | X | | |
| Create Cause | | | X | | |
| Add Linkage | | | X | | |

**Table 46. User Roles and Actions**

| Action | User Roles | | | | |
|---|---|---|---|---|---|
| | Guest User | General Incident User | Incident Owner | Incident Reviewer (Confidential Incident Reviewer, Legal Incident Reviewer, Compliance Incident Reviewer) | Incident Approver (Confidential Incident Approver, Legal Incident Approver, Compliance Incident Approver) |
| Create Issues/Actions | | | X | X | X |
| Link Issues/Actions | | | X | X | X |
| View Issues/Actions | | | X | X | X |
| Attaching Documents | X | X | X | X | X |

**Note:** Incidents work based on conditions.

## Tasks and Notifications

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 all tasks and notifications that each user role will receive in their Inbox on performing a particular action.

**Table 47. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Creation of Incident by guest users | Task | On submitting an Incident by guest user | General Incident Owner | New |
| Assignment - Mapping of Incident Owner | Task | On submitting the Incident by GIU after allocation of the Incident Owner | Incident owner | Pending Ownership |
| Review - Above Upper Threshold Incident | Task | On submitting an Incident by Incident Owner which is above the Upper threshold | Incident Reviewer | Pending Review |
| Review - Above Upper Threshold Legal Incident Review | Task | On submitting a Legal Incident by Incident Owner which is above the Upper threshold | Legal Incident Reviewer | Pending Review |
| Review - Above Upper Threshold Confidential Incident | Task | On submitting a Confidential Incident by Incident Owner which is above the Upper threshold | Confidential Incident Reviewer | Pending Review |
| Review - Above Upper Threshold Compliance Incident | Task | On submitting a Compliance Incident by Incident Owner which is above the Upper threshold | Compliance Incident Reviewer | Pending Review |
| Request for Approval - Incident Approval | Task | On submitting an Incident by Incident Owner which is between the Lower and Upper Thresholds | Incident Approver | Pending Approval |
| Request for Approval - Legal Incident Approval | Task | On submitting a Legal Incident by Incident Owner which is below the Upper Threshold | Legal Incident Approver | Pending Approval |
| Request for Approval - Confidential Incident Approval | Task | On submitting a Confidential Incident by Incident Owner which is below the Upper Threshold | Confidential Incident Approver | Pending Approval |
| Request for Approval - Compliance Incident Approval | Task | On submitting a Compliance Incident by Incident Owner which is below the Upper Threshold | Compliance Incident Approver | Pending Approval |

**Table 47. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Request for Approval - Incident Approval | Task | On submitting a Incident by Incident Reviewer which is above the Upper Threshold | Incident Approver | Pending Approval |
| Request for Approval - Legal Incident Approval | Task | On submitting a Legal Incident by Legal Incident Reviewer | Legal Incident Approver | Pending Approval |
| Request for Approval - Confidential Incident Approval | Task | On submitting a Confidential Incident by Confidential Incident Reviewer | Confidential Incident Approver | Pending Approval |
| Request for Approval - Compliance Incident Approval | Task | On submitting a Compliance Incident by Compliance Incident Reviewer | Compliance Incident Approver | Pending Approval |
| Rejected - Incident Review rejected | Task | On rejection an Incident by the Incident Reviewer | Incident Owner | Pending Review |
| Review Rejected - Legal Incident Review rejected | Task | On rejection an Incident by the Legal Incident Reviewer | Incident Owner | Pending Review |
| Review Rejected - Confidential Incident Review rejected | Task | On rejection an Incident by the Confidential Incident Reviewer | Incident Owner | Pending Review |
| Review Rejected - Compliance Incident Review rejected | Task | On rejection an Incident by the Compliance Incident Reviewer | Incident Owner | Pending Review |
| Rejected - Incident Approval rejected | Task | On rejection an Incident by the Incident Approver | Incident Owner | Pending Approval |
| Review Rejected - Legal Incident Approval rejected | Task | On rejection an Incident by the Legal Incident Approver | Incident Owner | Pending Approval |

**Table 47. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Rejected - Confidential Incident Approval rejected | Task | On rejection an Incident by the Confidential Incident Approver | Incident Owner | Pending Approval |
| Rejected - Compliance Incident Approval rejected | Task | On rejection an Incident by the Compliance Incident Approver | Incident Owner | Pending Approval |
| Notify Breach - Obligation Breach Alert | Notification | When an obligations are linked with a compliance Incident, on submit of the Incident | Obligation Owner | Ownership |
| Notify Control Failure - Control failure Alert | Notification | When a Control are linked with a compliance Incident, on submit of the Incident | Control Owner | Ownership |
| Notify Request for Approval - Incident Reviewed and sent for approval | Notification | When a Incident sent for Review has been approved | Incident Owner | Pending Approval |
| Notify Approval - Incident Approved | Notification | When a Incident sent for approval has been approved | Incident Owner | Approved |
| Notify Pending ownership - Pending Ownership | Notification | When an Incident sent by GIU, is not accepted by Incident Owner even after 2 days | Incident Owner | New |
| Notify Request for Approval - Compliance Incident Reviewed and sent for approval | Notification | When a Compliance Incident sent for Review has been approved | Incident Owner | Pending Approval |
| Notify Approval - Compliance Incident Approved | Notification | When a Compliance Incident sent for approval has been approved | Incident Owner | Approved |

**Table 47. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Notify Request for Approval - Legal Incident Reviewed and sent for approval | Notification | When a Legal Incident sent for Review has been approved | Incident Owner | Pending Approval |
| Notify Approval - Legal Incident Approved | Notification | When a Legal Incident sent for approval has been approved' | Incident Owner | Approved |
| Notify Request for Approval - Confidential Incident Reviewed and sent for approval | Notification | When a Confidential Incident sent for Review has been approved | Incident Owner | Pending Approval |
| Notify Approval - Confidential Incident Approved | Notification | When a Confidential Incident sent for approval has been approved | Incident Owner | Approved |
| Notify Rejection - Incident Reopen Rejected | Notification | When a Incident sent for reopen has been rejected | Incident Owner | Approved |
| Notify Rejection - Compliance Incident Reopen Rejected | Notification | When a Compliance Incident sent for reopen has been rejected | Incident Owner | Approved |
| Notify Rejection - Legal Incident Reopen Rejected | Notification | When a Legal Incident sent for reopen has been rejected | Incident Owner | Approved |
| Notify Rejection - Confidential Incident Reopen Rejected | Notification | When a Confidential Incident sent for reopen has been rejected | Incident Owner | Approved |

## Incident Workflow

The following figure explains the Incident workflow:

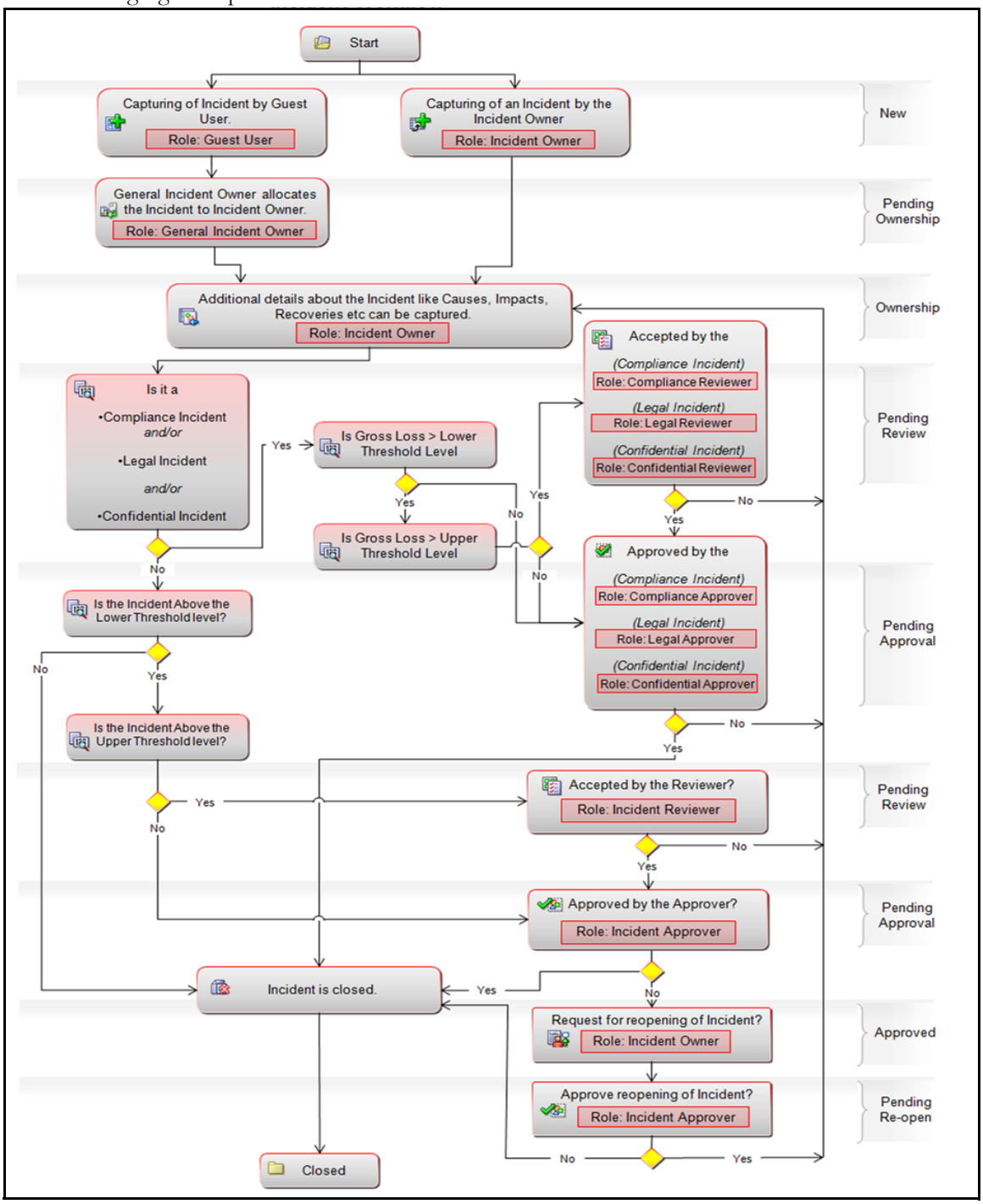



**Figure 112. Incident Workflow**

## Accessing Incident Menu

This section explains how to access the Incidents module in OFSOR/GCM.

To access the Incident module, follow these steps:

1. Login to the OFSOR/GCM application. The OFSOR/GCM Home page is displayed.
2. Click **Incidents**. The Incident Search and List page is displayed.

   **Note:** Guest Users do not have access to this page.

## Searching Incidents

This section explains how to search and filter existing Incidents. The Incident Search and List page allows you to filter the Incidents that you want to view and analyze. The Incident 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 Incident Using Basic Search
- Searching Incidents Using Advanced Search Criteria
- Searching Incidents Using Pre-defined Views

**Note:** The OFSOR/GCM application supports saved search feature as mentioned.

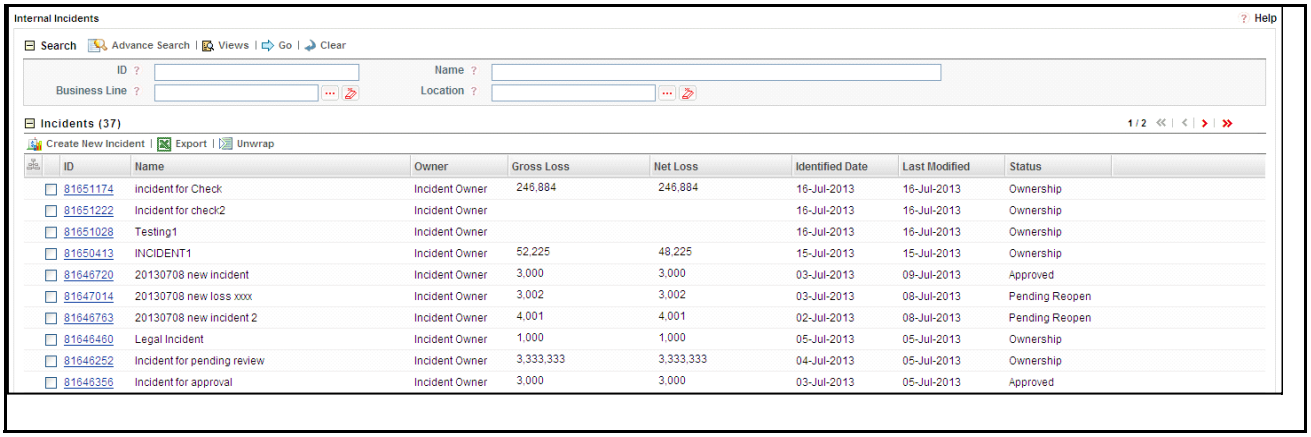
- The List and Search section is filtered based on the search criteria entered and these criteria are retained when you refresh the page, unless you change the criteria.
- If you have filtered the list using the Advanced Search option, then the same filtered list is displayed when return back to the 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 Incident Using Basic Search

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

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

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




| ID | Name | Owner | Gross Loss | Net Loss | Identified Date | Last Modified | Status |
|---|---|---|---|---|---|---|---|
| 81651174 | incident for Check | Incident Owner | 246,884 | 246,884 | 16-Jul-2013 | 16-Jul-2013 | Ownership |
| 81651222 | Incident for check2 | Incident Owner | | | 16-Jul-2013 | 16-Jul-2013 | Ownership |
| 81651028 | Testing1 | Incident Owner | | | 16-Jul-2013 | 16-Jul-2013 | Ownership |
| 81650413 | INCIDENT1 | Incident Owner | 52,225 | 48,225 | 15-Jul-2013 | 15-Jul-2013 | Ownership |
| 81646720 | 20130708 new incident | Incident Owner | 3,000 | 3,000 | 03-Jul-2013 | 09-Jul-2013 | Approved |
| 81647014 | 20130708 new loss xxxx | Incident Owner | 3,002 | 3,002 | 03-Jul-2013 | 08-Jul-2013 | Pending Reopen |
| 81646763 | 20130708 new incident 2 | Incident Owner | 4,001 | 4,001 | 02-Jul-2013 | 08-Jul-2013 | Pending Reopen |
| 81646460 | Legal Incident | Incident Owner | 1,000 | 1,000 | 05-Jul-2013 | 05-Jul-2013 | Ownership |
| 81646252 | Incident for pending review | Incident Owner | 3,333,333 | 3,333,333 | 04-Jul-2013 | 05-Jul-2013 | Ownership |
| 81646356 | Incident for approval | Incident Owner | 3,000 | 3,000 | 03-Jul-2013 | 05-Jul-2013 | Approved |

**Figure 113. Searching Incident Using Basic Search**

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

**Table 48. Basic Incident Search Criteria**

| Criteria | Description |
|---|---|
| Incident ID | Enter the sequential tracking number of the Incidents. This field allows you to enter a maximum of 8 numeric values. |
| Incident Name | Enter the name of the Incidents. 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. Incidents are mapped to the business line. For example, Product, Corporate, and so on. |
| Location | Select the Location from the hierarchy browser. Incidents are mapped to the location. For example, London, Bangalore, and so on. |

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 Incidents 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 Incident details such as ID, Name, Status, and so on, then you can filter the Incidents using the Advanced Search criteria.

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

1. Navigate to the Incident Search and List page.

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

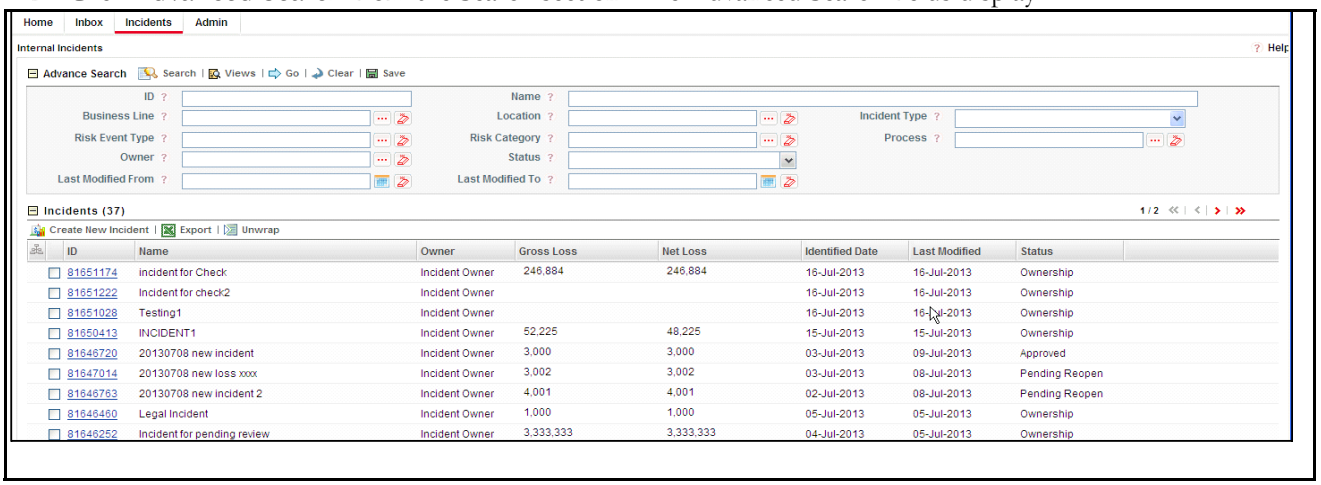



**Figure 114. Searching Incident Using Advanced Search Criteria**

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

**Table 49. Advanced Search**

| Criteria | Description |
|---|---|
| Incident ID | Enter the sequential tracking number of the Incidents. This field allows you to enter a maximum of 8 numeric values. |
| Incident Name | Enter the name of the Incidents. 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. Incidents are mapped to the business line. For example, Product, Corporate, and so on. |
| Location | Select the Location from the hierarchy browser. Incidents are mapped to the location. For example, London, Bangalore, and so on. |
| Incident Type | Select the category to which the Incident belongs from the drop-down list.<br>Following are the possible values for the Incident Type drop-down list:<br>● Op Risk/Credit Risk<br>● Op Risk/Market Risk<br>● Operational Risk |
| Risk Event Type | Select the Risk Event Type from the hierarchy browser. For example, Systems, and so on. |
| Risk Category | Select the Risk Category from the hierarchy browser. For example, Fraud, and so on. |
| Process | Select the process from the hierarchy browser. |
| Owner | Select the Incident owner from the hierarchy browser. |

**Table 49. Advanced Search**

| Criteria | Description |
|---|---|
| Status | Select the Incident status from the multi-select drop-down.<br>Following are the possible values for the Status drop-down list:<br>• Select All<br>• New<br>• Pending Approval<br>• Approved<br>• Closed<br>• Ownership<br>• Pending Reopen<br>• Pending Review<br>• Pending Ownership<br>**Note:** You can select more than one option from the drop-down list. |
| Last Modified From | Select the last modified date from the calendar to display Incidents having a modified date greater than or equal to the specified date.<br><br>**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.* |
| Last Modified To | Select the last modified date from the calendar to display Incidents having a modified date less than or equal to the specified date.<br><br>**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 Incidents Using Pre-defined Views

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

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

1. Navigate to the Incident Search and List page.

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

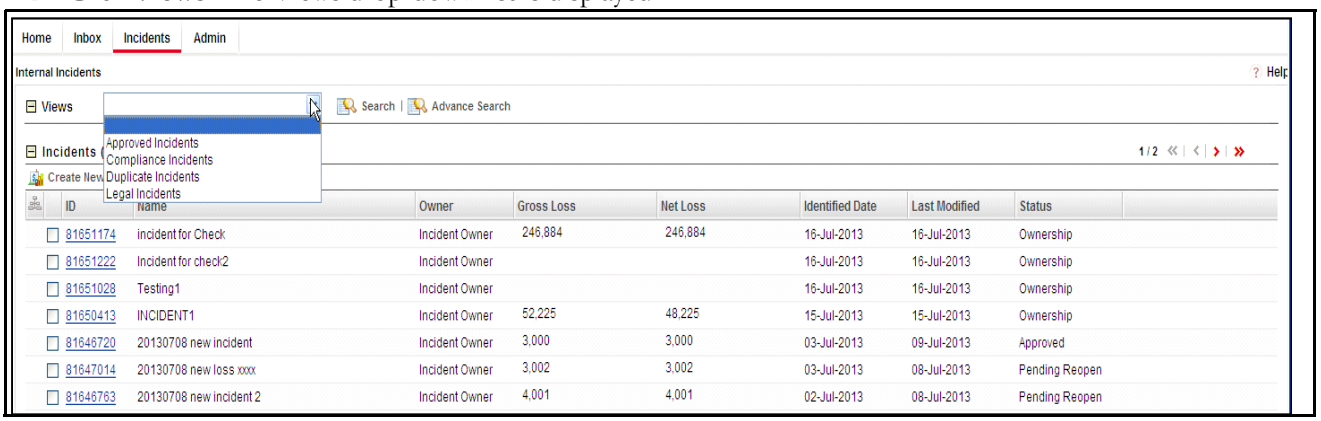



**Figure 115. Searching Incident Using Views**

3. Select any of the pre-defined views from the Views drop-down list. The relevant Incident 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 50. Pre-defined views**

| View | Description |
|---|---|
| Approved Incidents | Select *Approved Incidents* from the Views drop-down list to display the Incidents which are in Approved status in descending order of the last modified date. |
| Compliance Incidents | Select *Compliance Incidents* from the Views drop-down list to display the Incidents which are marked as Compliance in descending order of the last modified date. |
| Duplicate Incidents | Select Duplicate Incidents to filter out and display the Incidents in Closed status. |
| Legal Incidents | Select *Legal Incidents* from the Views drop-down list to display the Incidents which are marked as Legal in descending order of the last modified date. |

## Creating Incidents

You can create a new Incident when you identify a risk event, which has potential financial impact in the organization. These risk events expose institutions to different types of Incidents. Incident identification and categorization of the Incident is a pre-requisite for close monitoring of the Incident.

**Note:** Users mapped to the role of Guest User or Incident Owner can create an Incident.

An Incident Owner can capture an Incident when it occurs. The Incident Search and List page allows you to create a new Incident.

To create a new Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click **Create New Incident**. The Incident Details page is displayed.

   **Note:** The status of the Incident is New.

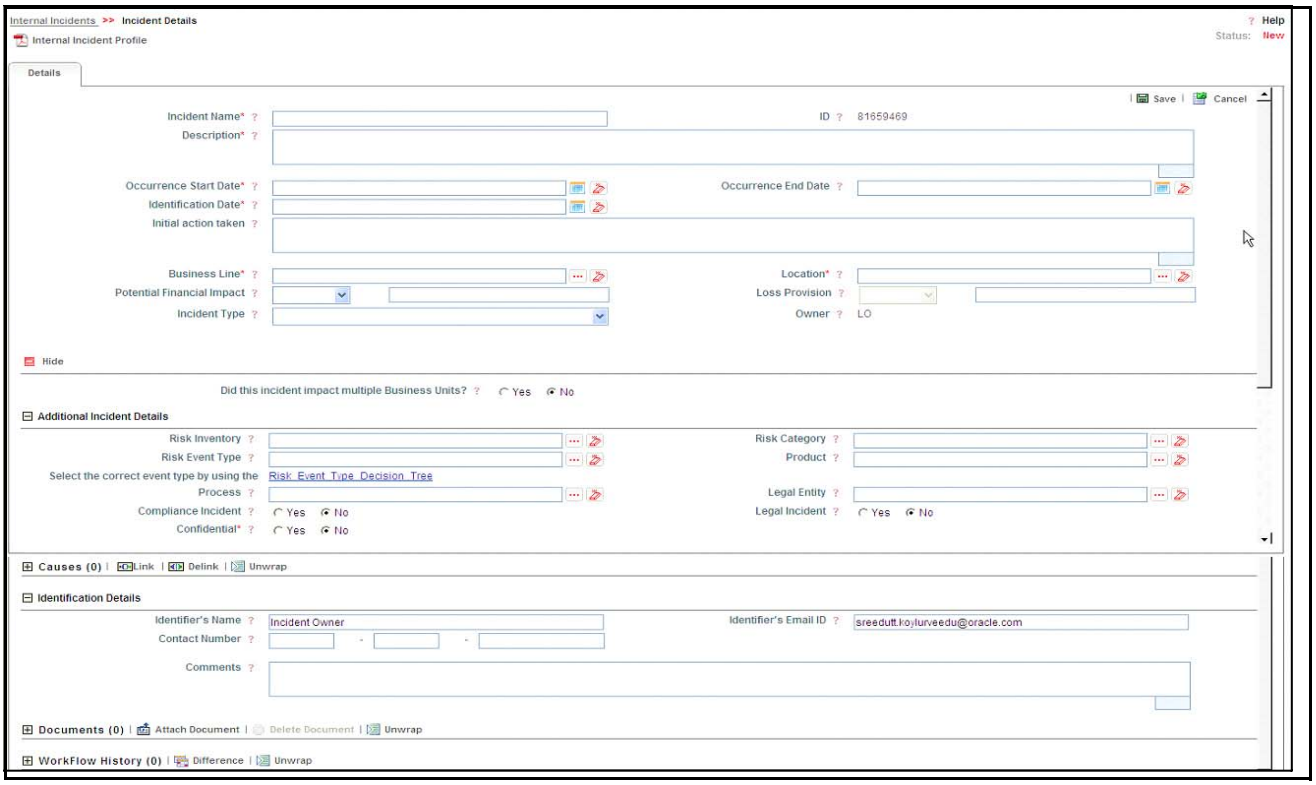



**Figure 116. Incident Details Page**

3. Enter the following information in the Incident Details page.

**Table 51. Incident Details**

| Field | Description |
|---|---|
| Incident Name | Enter the name of the Incidents. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Incident details without entering the Incident name, the application displays the following message: *Please enter the Incident Name.* |
| ID | Displays the sequential tracking number given to an Incident. This is an auto-generated unique identification number and cannot be modified. |
| Description | Enter a brief description of the Incident.<br>The description field in the Incident Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Occurrence Date | Select the date on which the Incident occurred from the calendar. |
| Occurrence End Date | Select the date on which the Incident ended from the calendar. |
| Identification Date | Select the date on which the Incident was detected from the calendar. |
| Initial action taken | Enter the initial actions undertaken to rectify or prevent the recurrence of similar Incidents in future.<br>**Note:** If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded.* |
| Business Line | Select the Business Line where the Incident occurred from the hierarchy browser. Incidents are mapped to the business line. For example, Product, Corporate, and so on. |
| Location | Select the Location where the Incident occurred from the hierarchy browser. Incidents are mapped to the location. For example, the Location can be London, Bangalore, and so on. |
| Potential Financial Impact | Enter the plausible financial loss with currency for this Incident. Select the currency and enter the amount. The selected currency will be automatically populated in the Loss Provision field. |
| Loss Provision | Enter the amount set as provision to cover the losses. Currency is non-editable and will automatically populate with the Potential Financial Impact field value. |
| Incident Type | Select the category to which the Incident belongs from the drop-down.<br>The following values are possible for the Incident Type drop-down list:<br>● Op Risk/Credit Risk - the Incident has border line impact which is credit risk as well as operational risk.<br>● Op Risk/Market Risk - the Incident has border line impact which is market risk as well as operational risk.<br>● Operational Risk - the Incident has operational risk. |
| Owner | Displays the name of the Incident Owner who is creating the Incident, if the user is logged in other than Guest User. |
| Risk Inventory | Select the Risk Inventory for which the Incident is identified. For example, Credit Risk, and so on. |
| Risk Category | Select the Risk Category from the hierarchy browser. For example, fraud, and so on. |

**Table 51. Incident Details**

| Field | Description |
|---|---|
| Risk Event Type | Select the Risk Event Type under which the Incident is identified, from hierarchy browser. For example, Systems, and so on. |
| Process | Select the Process from the hierarchy browser. |
| Legal Entity | Select the Legal Entity for which the Incident is identified. For example, the Legal Entity can be Oracle Financial Services Software, Inc. |
| Compliance Incident | Select the radio button Yes if the Incident is Compliance, otherwise select No. You can identified an Incident as a Compliance Incident if the Incident's impact is regulatory. |
| Confidential Incident | Select the radio button Yes if the Incident is Confidential, otherwise select No. You can identified an Incident as a Confidential Incident if the Incident is sensitive in nature. |
| Legal Incident | Select the radio button Yes if the Incident is Legal, otherwise select No. You can identified an Incident as a Legal Incident if the Incident has legal liabilities. |
| Identifier's Name | Enter the name of the Identifier who identified the Incident.<br>**Note:** If you try to enter more than 300 characters in this field, the application displays the following message: *Number of characters exceeded.* |
| Identifier's Email ID | Enter the email ID of the Incident Identifier.<br>**Note:** If you try to enter more than 300 characters in this field, the application displays the following message: *Number of characters exceeded.* |
| Identifier's Contact Number | Enter the contact number of the Incident Identifier. This field allows only numeric values with special characters like +, -, ( ). |
| Comments | Enter remarks if applicable.<br>**Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*. |

**Note:** If the Incident is selected as *Compliance*, another set of related fields are displayed.

The following table describes these fields.

**Table 52. Compliance**

| Field | Description |
|---|---|
| Regulation | Select the name of the regulation (for example, KYC) or rule from the hierarchy browser. |
| Regulator | The name of Regulator is automatically populated once you select the Regulation. This is the authority (for example, RBI) which issues such regulation(s). |
| Regulator Notified? | Select the radio button Yes if the regulator is informed about the Incident,<br>otherwise select No. |
| Date of Notification | Select the date on which the regulator is informed about the Incident, from the calendar. |
| Breach Impact | Select the impact on breach of the regulation as high, medium, and low. |
| Action taken as a result of the Breach | Enter the actions taken.<br>**Note:** If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded.* |

4. Click **Save**. A Confirmation dialog box is displayed. Click **OK**, the Incident is saved and the Incident Details page is displayed.

## Submitting an Incident in Ownership Status

Users mapped to the role of Incident Owner can submit an Incident. The Incident Search and List page allows you to submit an Incident.

An Incident in Ownership status can be submitted if all mandatory fields of Incident Details are entered and at least one primary cause is identified.

To submit an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident **ID** in Ownership status. The Incident Details page is displayed.

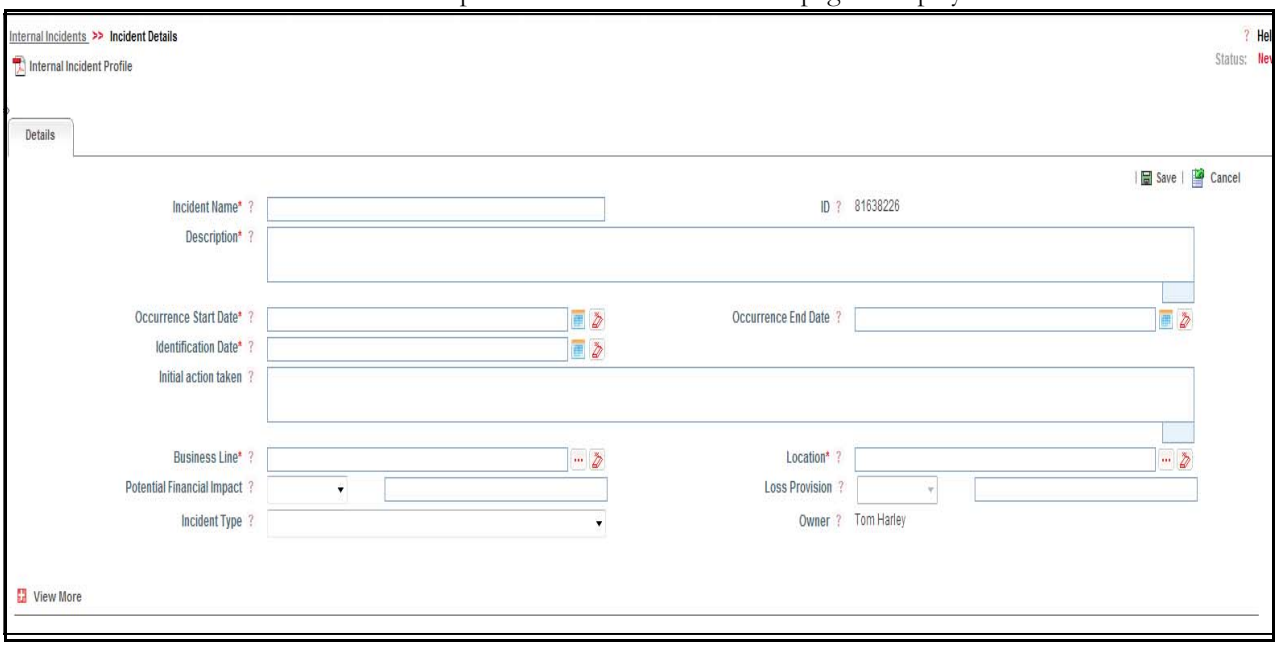



**Figure 117. Incident Details Page**

The Incident Details page allows you to perform the following tasks in Ownership status:

- Editing Incident
- Linking and delinking applicable Business Units to Incident
- Viewing Workflow History
- Attaching and deleting documents related to Incident
- Linking and delinking Issues and Actions to an Incident
- Creating, editing, and deleting an Impact
- Linking and delinking Causes to an Incident

For more information on these sections, refer to the *Managing Incident Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To Submit an Incident, all mandatory fields (marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

4. Click **OK**.

Depending on the amount of gross loss and confidentiality of the Incident, it is set to different statuses. The following table describes these conditions.

**Table 53. Conditions**

| Gross Loss | Compliance | Legal | Confidential | Task sent to user | Status | Comments |
|---|---|---|---|---|---|---|
| < lower threshold | No | No | No | -- | Approved | If Gross Loss is less than the lower threshold, then directly sent to Approved status. |
| < lower threshold | Yes | No | No | Compliance Incident Approver | Pending Approval | If Gross Loss is less than the lower threshold and a Compliance Incident occurs, then directly sent to Compliance Incident Approver for approval. |
| < lower threshold | No | Yes | No | Legal Incident Approver | Pending Approval | If Gross Loss is less than the lower threshold and a Legal Incident occurs, then directly sent to Legal Incident Approver for approval. |
| < lower threshold | No | No | Yes | Confidential Incident Approver | Pending Approval | If Gross Loss is less than the lower threshold and a Confidential Incident, then directly sent to Confidential Incident Approver for approval. |
| ≥ lower threshold ≤ upper threshold | No | No | No | LP | Pending Approval | If Gross Loss is between the lower and upper threshold, then sent to Incident Approver for approval. |
| ≥ lower threshold ≤ upper threshold | Yes | No | No | Compliance Incident Approver | Pending Approval | If Gross Loss is less than the lower threshold and a Compliance Incident occurs, then directly sent to compliance Incident Approver for approval. |

**Table 53. Conditions**

| Gross Loss | Compliance | Legal | Confidential | Task sent to user | Status | Comments |
|---|---|---|---|---|---|---|
| ≥ lower threshold ≤ upper threshold | No | Yes | No | Legal Incident Approver | Pending Approval | If Gross Loss is between the lower and upper threshold and a Legal Incident occurs, then sent to Legal Incident Approver for approval. |
| ≥ lower threshold ≤ upper threshold | No | No | Yes | Confidential Incident Approver | Pending Approval | If Gross Loss is between the lower and upper threshold and a Confidential Incident occurs, then sent to Confidential Incident Approver for approval. |
| > upper threshold | No | No | No | LR | Pending Review | If Gross Loss is above the upper threshold, then sent to Incident Reviewer for review. |
| > upper threshold | Yes | No | No | Compliance Incident Reviewer | Pending Review | If Gross Loss is above the upper threshold and a Compliance Incident occurs, then sent to Compliance Incident Reviewer for review. |
| > upper threshold | No | Yes | No | Legal Incident Reviewer | Pending Review | If Gross Loss is above the upper threshold and a Legal Incident occurs, then sent to Legal Incident Reviewer for review. |
| > upper threshold | No | No | Yes | Confidential Incident Approver | Pending Review | If Gross Loss is above the upper threshold and a confidential incident occurs, then sent to Confidential Incident Reviewer for review. |

**Note:** A task is sent to the respective user's Inbox.

## Reporting an Incident by Guest User

Anyone in the organization can report an Incident as a Guest User.

To report an Incident, follow these steps:

Navigate to Incident Details page is displayed.

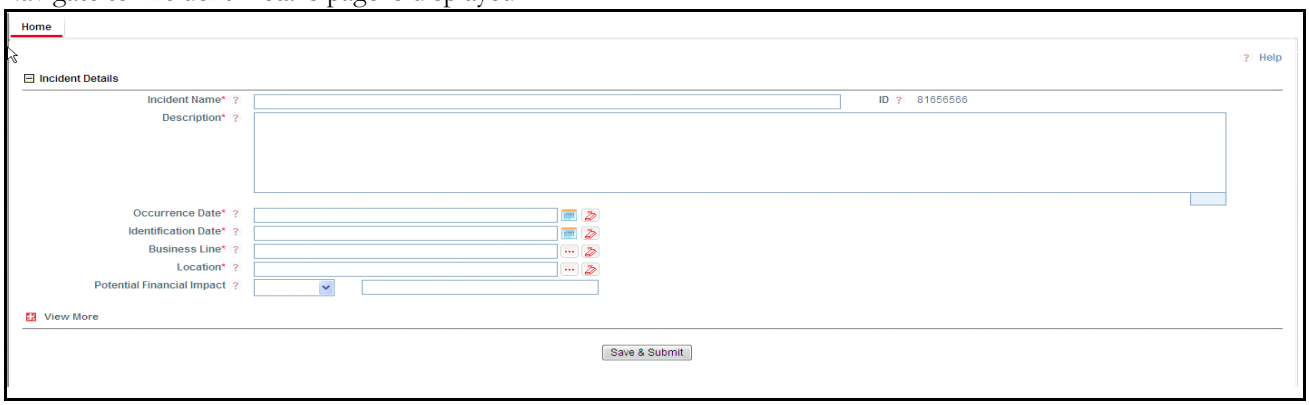



**Figure 118. Guest Incident Details Page**

5. Enter the following information in the Incident Details page:

**Table 54. Guest Incident Details**

| Field | Description |
|---|---|
| Incident Name | Enter the name of the Incidents. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Incident details without entering the Incident name, the application displays the following message: *Please enter the Incident Name*. |
| ID | Displays the sequential tracking number given to an Incident. This is an auto-generated unique identification number and cannot be modified. |
| Description | Enter a brief description of the Incident.<br>The Description field in the Incident Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*. |
| Occurrence Date | Select the date on which the Incident occurred. Calendar icon helps you to select the date. |
| Identification Date | Select the date on which the Incident was detected.Calendar icon helps you to select the date. |
| Business Line | Select the Business Line where the Incident occurred from the hierarchy browser. Incidents are mapped to the business line. For example, Product, Corporate, and so on. |
| Location | Select the Location where the Incident occurred from the hierarchy browser. Incidents are mapped to the location. For example, London, Bangalore, and so on. |
| Potential Financial Impact | Enter the plausible financial loss with currency for this Incident. |
| Risk Inventory | Select the Risk Inventory for which the Incident is identified. For example, Credit Risk, and so on. |
| Risk Category | Select the Risk Category from the hierarchy browser. For example, fraud and, so on. |
| Risk Event Type | Select the Risk Event Type under which the Incident is identified from the hierarchy browser. For example, the Risk Event Type can be Systems, and so on. |
| Process | Select the Process from the hierarchy browser. |
| Legal Entity | Select the Legal Entity (for example, Oracle Financial Services Software, Inc.) under which the Incident is captured in the books of account. |

**Table 54. Guest Incident Details**

| Field | Description |
|---|---|
| Compliance Incident | Select Yes if the Incident is Compliance, otherwise select No. You can identify an Incident as a Compliance Incident if the Incident's impact is regulatory. |
| Confidential Incident | Select Yes if the Incident is Confidential, otherwise select No. You can identify an Incident as a Confidential Incident if the Incident is sensitive in nature. |
| Legal Incident | Select Yes if the Incident is Legal, otherwise select No. You can identify an Incident as a Confidential Incident if the Incident has legal liabilities. |
| Cause | Select the cause which led to this Incident from the hierarchy browser. |
| Initial Actions Taken to rectify | Enter the initial actions undertaken to rectify or prevent recurrence of similar Incidents in the future.<br>**Note:** If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded*. |
| Identifier's Name | Enter the name of the Incident identifier.<br>**Note:** If you try to enter more than 300 characters in this field, the application displays the following message: *Number of characters exceeded*. |
| Identifier's Email ID | Enter the email ID of the Incident identifier.<br>**Note:** If you try to enter more than 300 characters in this field, the application displays the following message: *Number of characters exceeded*. |
| Identifier's Contact Number | Enter the contact number of the Incident identifier. This field allows only numeric values with special characters like +, -, ( ). |
| Comments | Enter any extra remarks.<br>**Note:** If you try to enter more than 3000 characters in the Comment field, the application displays the following message: *Number of characters exceeded*. |

6. Click **Submit**. The following message is displayed: *Add Operation Successful.*
7. Click **Attach Document** to attach a document related to the Incident.

   **Note:** Click **OK**. The Incident Details page is displayed. The status of the Incident is set to *New* and a notification is sent to the General Incident User (GIU) of the Business Line and Location for which the Incident is created.

## Assigning Owners to Incidents

When an Incident is reported by a Guest User, the General Incident Users (GIU) receive a task in their Inbox. The GIU is responsible for assigning an Incident Owner to the reported Incident. The GIU can access Incidents in New status from the Inbox or Incident Search and List page.

The Incident Search and List page allows you to assign owners to the Incidents reported by Guest Users.

To assign an Incident Owner, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident in New status. The Incident Details page is displayed.
3. Click **Edit**. The Incident Details are displayed with the Incident Owner and Comments fields editable.

Select the Incident Owner from the hierarchy browser and enter comments.

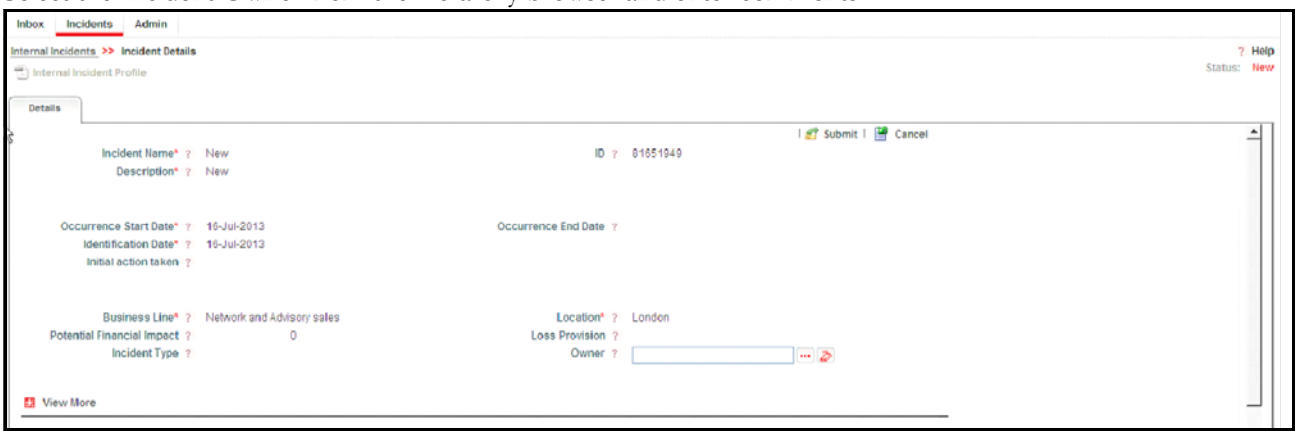



**Figure 119. Assigning Owner to Incident**

Note: You can attach any related documents through the Documents section.

4. Click **Submit**. The Incident Owner is assigned to the Incident. The status of the Incident is set to *Pending Ownership*.

## Accepting Incident Ownership

When an owner is assigned an Incident, the Incident Owners get a task in their Inbox. The Incident Owners can access the Incident in Pending Ownership status from the Inbox or Incident Search and List page.

The Incident Search and List page allows you to accept Incident ownership.

To accept Incident ownership, follow these steps:

1. Navigate to the Incident Search and List page.

Select an Incident in Pending Ownership status. The Incident Details page is displayed.




**Figure 120. Accepting Incident Ownership**

2. Click **Accept Ownership**. The following message is displayed: *Update Operation Successful.*
3. Click **OK**. The status of the Incident is set to Ownership.

**Note:** If Ownership is not accepted in two days, a notification is sent to the Business Unit Head.

# Managing Incident Details

The Incident Details page allows you to manage additional tasks and functionalities pertaining to the Incident.

The section explains the following topics:

- Managing Details
- Managing Causes
- Managing Impacts
- Linking and Delinking Linkages
- Managing Issues and Actions

## Managing Details

This page displays detailed information about the Incident.

This section allows users to perform the following tasks:

- Editing Incident Details
- Viewing Incident Additional Information
- Attaching and Deleting Documents
- Viewing Workflow History

### Editing Incidents

This section describes how to edit and update existing Incidents. You can edit an Incident Ownership status.

To edit an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident from the Incident Search and List page. Alternatively, it can be selected from the Inbox for an allotted Incident. The Incident Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Incident Details page.
4. Modify the necessary information. For more information about the Incident Details page, refer *Table 50*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Incident Details page is displayed.

**Note:** The following sections can be edited in Ownership status:

- Incident Details
- Causes
- Impacts
- Linkages
- Issues and Actions
- Documents
- Workflow History

### Viewing Additional Information

The Additional Information section allows you to view general details of a particular Incident like upper and lower threshold values with graphs and so on.

To view Additional Information, follow these steps:

1. Navigate to the Incident Search and List page.

Select the **Incident ID**. The Incident Details page is displayed with Additional Information.

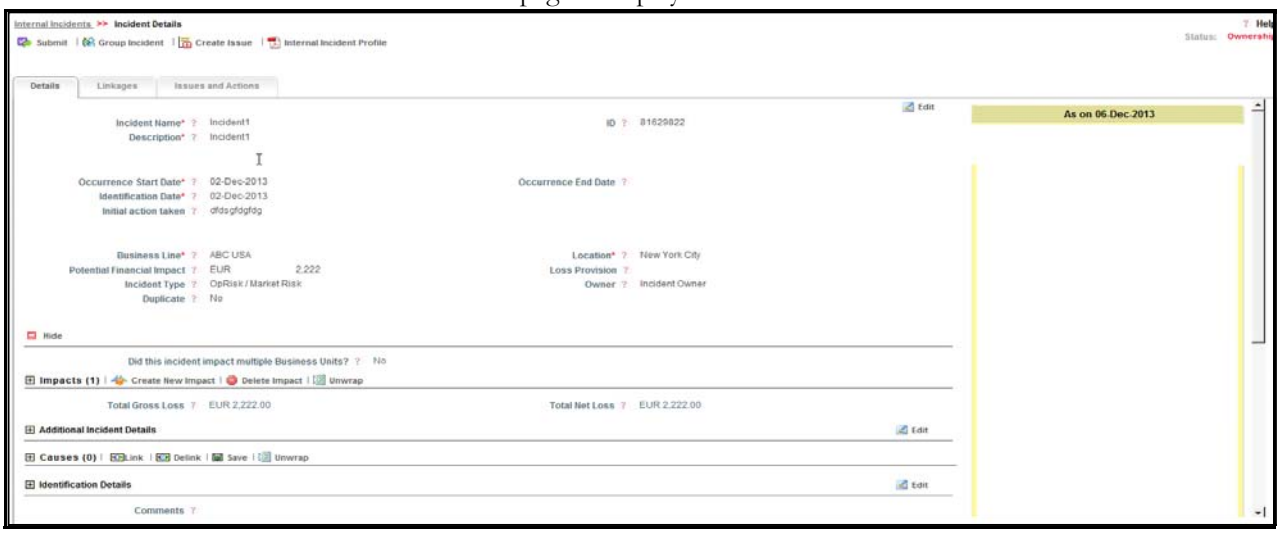



**Figure 121. Additional Information and Metrics section**

### Attaching and Deleting Documents

The Incident Details page allows you to attach or delete documents related to an Incident. Users mapped to the role of Incident Owner, Incident Reviewer, or Incident Approver can attach and delete documents related to the Incident.

For more details on attaching and deleting documents, refer to *Chapter 3: General Features, Managing Documents* section

### Viewing Workflow History

The Workflow History section shows the audit trail of changes made to the Incident details. Users mapped to the role of Incident Owner, Incident Reviewer, or Incident Approver can view the workflow history.

For more details, refer to *Chapter 3: General Features, Viewing Workflow History* section

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

**Table 55. Workflow History**

| Pre-action Status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| New | Ownership | Save Incident | Incident Owner/Guest User | Incident Created |
| Ownership | Ownership | Save Draft Incident | Incident Owner | Incident details updated |
| Pending Ownership | Ownership | Submit | General Incident User | Incident Submitted |

**Table 55. Workflow History**

| Pre-action Status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| Ownership | Pending Review | Submit | Incident Owner | Incident submitted for review |
| Ownership | Pending Approval | Submit | Incident Owner | Incident submitted for approval |
| Pending Review | Pending Approval | Review | Incident Reviewer/Compliance<br>Incident Reviewer/Legal<br>Incident Reviewer/Conditional<br>Incident Reviewer | Incident reviewed |
| Pending Approval | Approved | Approve | Incident Approver/Compliance<br>Incident Approver/Legal<br>Incident Approver/Conditional<br>Incident Approver | Incident Approved |
| Pending Review | Ownership | Reject | Incident Reviewer/Compliance<br>Incident Reviewer/Legal<br>Incident Reviewer/Conditional<br>Incident Reviewer | Incident Rejected |
| Pending Approval | Ownership | Reject | Incident Approver/Compliance<br>Incident Approver/Legal<br>Incident Approver/Conditional<br>Incident Approver | Incident Rejected |
| Approved | Pending Reopen | Reopen | Incident Approver/Compliance<br>Incident Approver/Legal<br>Incident Approver/Conditional<br>Incident Approver | Incident Reopened |

## Managing Causes

Cause is the reason or occurrence which lead to an Incident. The Incident Details page allows you to link causes to an Incident.

**Note:** You must link at least one cause for the Incident.

This section covers the following topics:

- Linking Causes

- Updating Causes
- Delinking Causes

### Linking Causes

To link a Cause to an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click Incident **ID**. The Incident Details page is displayed.
3. Expand the **View more** section. The Causes section is enabled.




**Figure 122. Causes Section**

Click **Link**. The hierarchy browser window is opened.

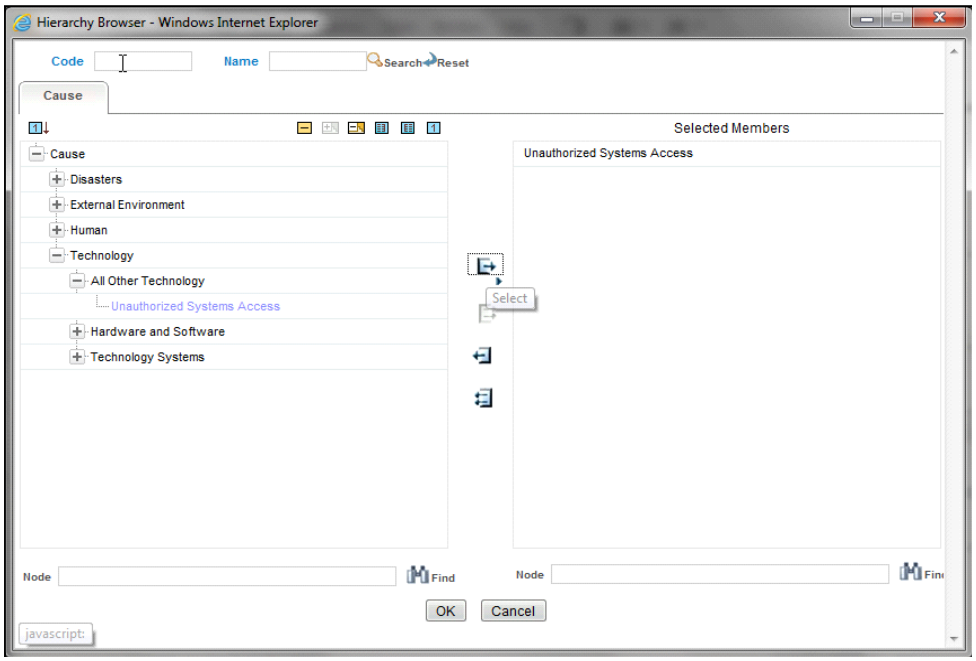



**Figure 123. Causes Hierarchy Browser**

4. Search and select the appropriate cause and click . The selected cause moves to Selected Members pane.

**Note:** You can select more than one cause at a time using the **Ctrl** key.

5. Click **OK**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The linked cause displays in the Causes section.

### Updating Causes

To update a cause, follow these steps:

1. Select a cause from the Causes page. The Primary Cause and Comments columns become editable.

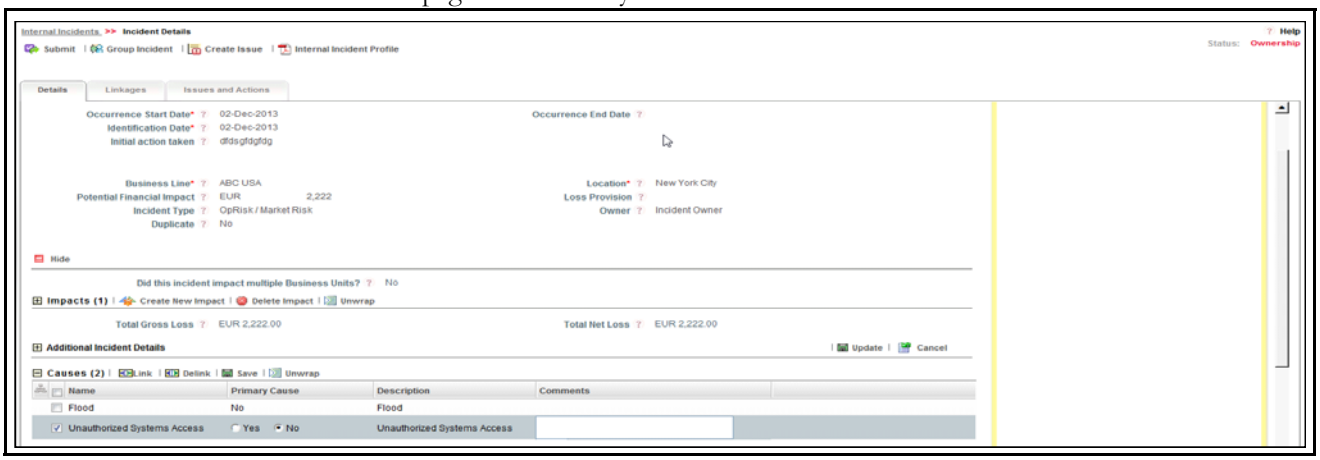



**Figure 124. Updating Cause**

2. Select the **Yes** radio button if it is a Primary Cause, otherwise select **No**.
3. Enter additional information related to the cause in the Comments field.

   **Note:** The maximum limit of Comments field is 3000 characters.

4. Click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The updated Causes page is displayed.

**Note:** It is mandatory to have only one Primary Cause for an Incident.

### Delinking Causes

This section explains how to delink a cause.

To delink a cause, follow these steps:

1. Select the required cause from the Causes page.
2. Click **Delink**. The Confirmation message is displayed *Are you sure you want to de-link the record?*
3. Click **OK**. The following message is displayed: *De-link Operation Successful*
4. Click **OK**. The cause is removed from the list.

## Managing Impacts

The Incident Details page allows you to manage the impact of an Incident on Business Lines. You will get the gross loss and net loss of the Incident from this impact. Using the Incident Details page, you can link or delink Business Line and Location combinations and add Impacts to an Incident in Ownership status.

When *Did this Incident impact multiple Business Units?* is selected as Yes, then the impact of the Incident will be applicable to multiple Business Units. This section auto-populates the Business Line and Location combinations for which the Incident is created. You can link and delink multiple Business Line and Location combinations to an Incident, and add an Impact.

When *Did this Incident impact multiple Business Units?* is selected as No, then the impact of Incident will not be applicable to multiple Business Units. You can create, update or delete impacts for the Impacted Business Line and Location combinations.

This section covers the following topics:

- Linking and delinking Business Line and Location combinations
- Creating impacts
- Deleting impacts

### Linking and Delinking Business Line and Location Combinations

To link or delink a Business Line and Location combination, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click an **Incident ID**. The Incident Details page is displayed.
3. Expand the **View more** section. The Impacts page is displayed.

Select **Yes** if this Incident impacts multiple Business Units.




**Figure 125. Linking/Delinking Business Line and Location Combinations**

For more details about Linking Business Line and Location combinations, refer to *Chapter 3: General Features, Managing Linkages* section

**Note:** Business Line and Location Combinations in the selected the Incident Details page is automatically populated in the Impact section. Auto-populated Business Line and Location combinations cannot be delinked.

### Creating an Impact

You can create an Impact that shows the effect of an Incident on Business Lines. Incident Owners of impacted Business Line and Location combinations can only create or delete the Impacts for their Business Line and Location combinations. This is possible only if the Incident is in Ownership status.

To create a new Impact, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click an Incident **ID**. The Incident Details page is displayed.
3. Expand the **View more** section. The Impact page will be activated.

Click **Create new Impact**. The Impact Registration page is displayed with the selected Business Line. You can select another Business Line from the **Impacted Businesses** section.

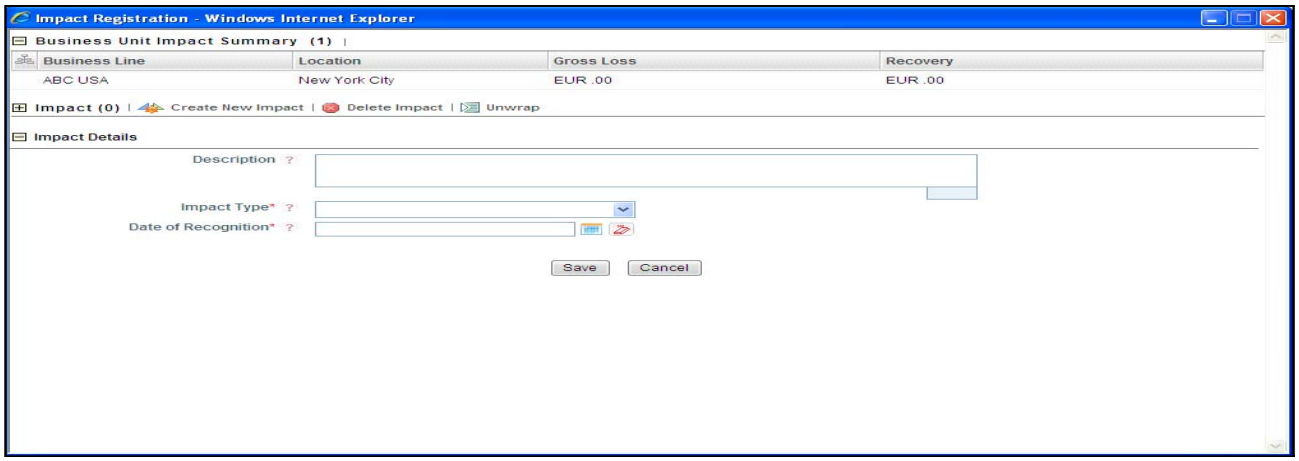



**Figure 126. Impact Registration Page**

4. Enter the following information in the Impact Registration page.

**Table 56. Impact Registration**

| Field | Description |
|---|---|
| Description | Enter the description of the Impact. The Description field allows entering a maximum of 3000 characters.<br>As you enter the description, the word count displayed below the description field decreases.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Impact Type | Select the type of impact.<br>The following values display in the Impact Type drop-down list:<br>• Actual Loss<br>• Gain<br>• Near Miss<br>• Recovery |
| Date of Recognition | Select the date of recognition from the calendar. |

**Note:** Based on the impact type selected, an additional section displays for capturing additional data. Here, Gross loss is the sum of all Actual Losses and Recovery is sum of all Gains and Recoveries. For more details, refer to the section Types of Impacts.

### Types of Impacts

There are four types of Impacts. Based on the impact type selected, an additional section displays in the Impact Registration page for capturing additional data.

- Near Miss
- Actual Loss
- Recovery
- Gains

#### *Near Miss*

Select the impact type as **Near Miss** for an Incident from which you will not have any loss (that is, there is no financial loss impact).

If you select Near Miss, no additional section is displayed.

#### *Actual Loss*

Select the impact type as **Actual Loss** for an Incident from which you will have financial loss.

If you select Actual Loss, the additional Loss Details section displays.

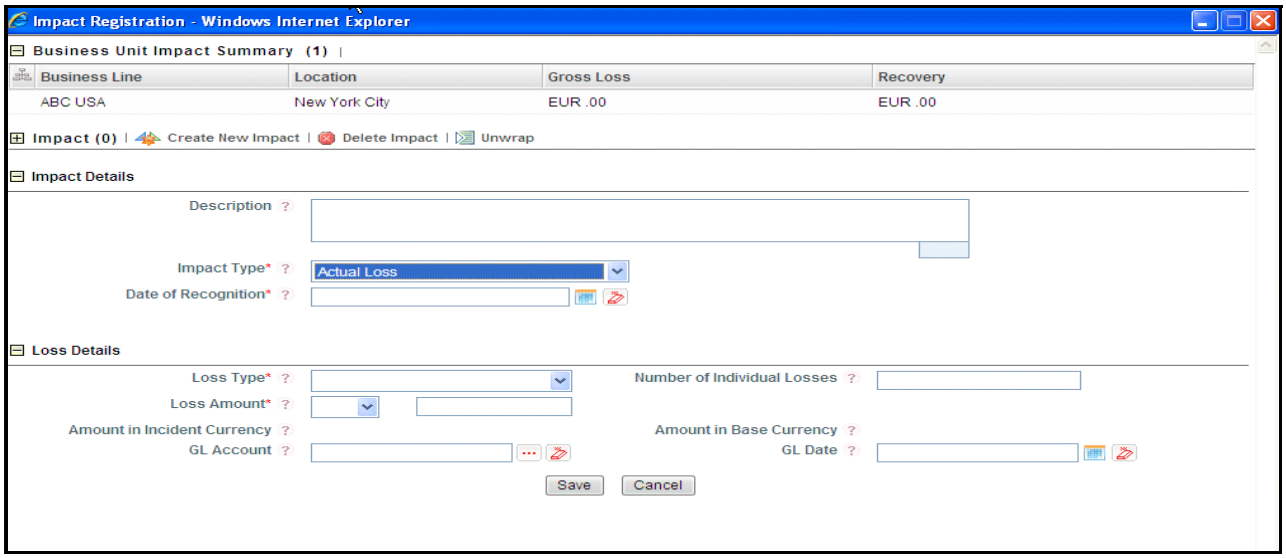



**Figure 127. Loss Details**

The following table describes the fields of the Loss Details section.

**Table 57. Loss Details**

| Field | Description |
|---|---|
| Description | Enter a brief description of the Impact.<br>The Description field in the Impact Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Loss Type | Select the type of loss from the drop-down list which has the following options:<br>• Bulk Loss<br>• Further considerations<br>• Legal Liability<br>• Loss of or Damage to assets<br>• Regulatory, Compliance, Tax Penalties<br>• Restitution |
| Number of Individual Losses | Enter the number of individual losses contributing to the bulk loss. This field is enabled only if the Loss Type is selected as Bulk Loss. |
| Loss Amount | Select the Currency and enter the amount of loss for this Incident. |
| Amount in Incident Currency | Select the currency in which the loss occurred, from the drop-down list. This is the loss amount which is selected from the Incident Details page. |
| Amount in Base Currency | Displays the amount of loss in base currency. |
| GL Account | Select the General Ledger account to which the Impact is charged from the hierarchy browser. |
| GL Date | Select the date on which the General Ledger account is updated from the calendar. |

### *Recovery*

Select the Impact as Recovery when the loss is recovered from different sources (such as insurance, and so on).

If you select Recovery, the Recovery Details section is expanded below.

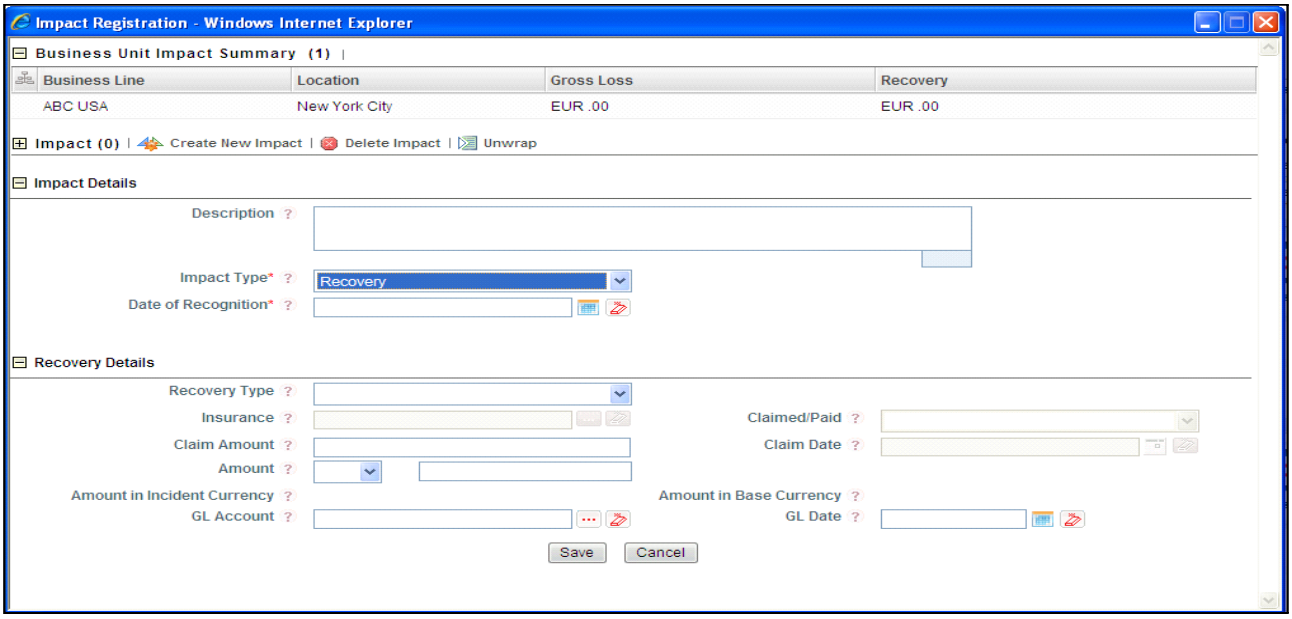



**Figure 128. Recovery Details**

The following table describes the fields of the Recovery Details section.

**Table 58. Recovery Details**

| Fields | Description |
|---|---|
| Description | Enter a brief description of the Impact.<br>The Description field in the Impact Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Recovery Type | Select the type of recovery from the drop-down list:<br>• Actual Recovery<br>• Compensation Claimed<br>• Fees<br>• Insurance Claimed<br>• Legal Recovery<br>• Others<br>**Note:**<br>• If the Recovery Type is selected as Actual Recovery, Compensation, Legal Recovery, Fees or Others, the Amount field is mandatory.<br>• If the Recovery Type is selected as Insurance Recovery, the Insurance field is mandatory. |

**Table 58. Recovery Details**

| Fields | Description |
|---|---|
| Insurance | Select the Insurance policy from which claims are made from the hierarchy browser. |
| Claimed / Paid | It is auto populated on entering of Claim Amount. Once you enter the Claim Amount, this field will display as paid. |
| Claim Amount | Enter the claim amount of the insurance. |
| Claim Date | Enter the date on which the insurance claim is lodged. |
| Amount | Enter the amount of recovery. |
| Amount in Incident Currency | Select the currency and enter the amount in which the amount is recovered, from the hierarchy browser. |
| Amount in Base Currency | The value of field will be auto-populated from the Amount in Incident Currency value. |
| GL Account | Select the General Ledger account to which the impact is charged, from the hierarchy browser. |
| GL Date | Select the date on which the general ledger account is updated, from the calendar. |

### *Gains*

Select the Impact type as **Gain**, the Incident has recovery, that is the net loss is calculated by deducting from recovery of gross loss (for example, security market, FOREX, and so on).

If you select Gain, the Gain Details section is expanded.

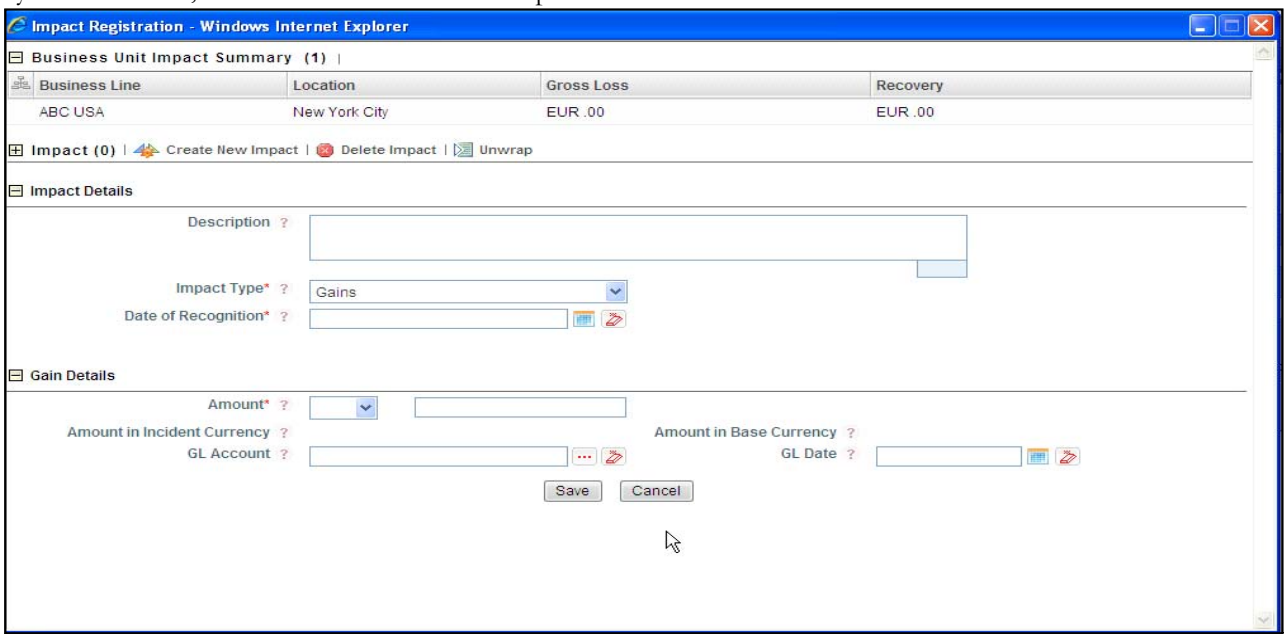



**Figure 129. Gain Details**

The following table describes the fields of the Gain Details section.

**Table 59. Gain Details**

| Fields | Description |
|---|---|
| Description | Enter a brief description of the Impact.<br>The Description field in the Impact Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Amount | Select the Currency and enter the amount of gain for this Incident. |
| Amount in Incident Currency | Select the currency and enter the amount for the Incident in which the gain occurred, from the hierarchy browser. |
| Amount in Base Currency | This amount is auto-populated from the Amount in Incident Currency field. |
| GL Account | Select the General Ledger account to which the impact is credited from the hierarchy browser. |
| GL Date | Select the date on which the General Ledger Account is updated from the calendar. |

5. Click **Save**. The following message is displayed: *Add Operation Successful.*
6. Click **OK**. The newly created Impact is listed in the Impacts section.
7. Click **Back** to go to the Incident Details page.

### Deleting an Impact

You can delete an Impact which are not applicable for the Incident.

To delete an impact, follow these steps:

1. Select an Incident from the Incident Search and List page. The Incident Details page is displayed.
2. Select the required Impact. Deletion of impact (based on selected impact type) will effect your Gross Loss or Net Loss.
3. Click **Delete Impact**. The following Confirmation 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 impact is deleted from the Impacts list.

## Managing Linkages

The Linkages page allows you to link or delink the different entities to Incidents in Ownership status.

Users mapped to the role of Incident Owner can access the Linkages tab.

The Linkages tab displays the following sections:

- **Risks**: Allows you to link or delink the risk that is associated to the Incident which led to this Incident.
- **Controls**: Allows you to link or delink the control failure which resulted in this Incident occur.

- **Obligations:** Allows you to link or delink the Non- compliant or partially compliant Obligation due to which the Incident occurred.
- **Key Indicators:** Allows you to link or delink a Key Indicator with Incident. Key Indicators could indicate the occurrence of Incident. There is an option to select the Key Indicator type. Key Indicator can be **Lag** or **Preductive**.
- **Internal Incidents:** Allows you to link or delink similar Incidents which have occurred in the organization.
- **External Incidents:** Allows you to link or delink similar Incidents which have occurred in the industry.
- **Scenarios:** Allows you to link or delink a Scenario with the Incident.
- **Change Initiatives:** Allows you to link or delink a Change Initiative with the Incident.

**Note:** The columns in each of the sections are the same as available in the respective Search and List page.

To link or delink Risks, Controls, Key Indicators, Obligations, External Incident, Internal Incidents, Scenarios, or Change Initiatives, follow these steps:

1. Navigate to the Incident Details page.
2. Click **Linkages**. The Linkages page is displayed.

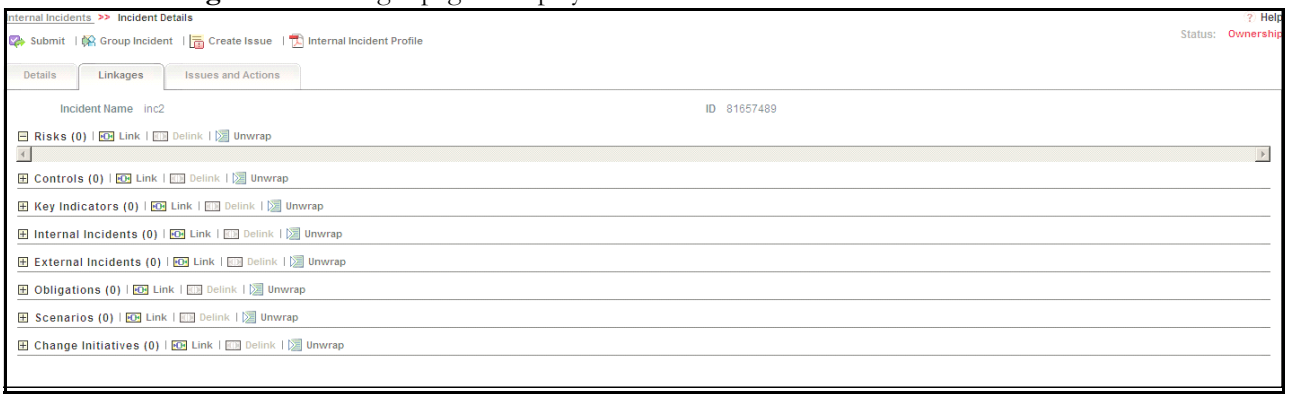



**Figure 130. Linkage Tab**

**Note:** For more information on linking or delinking, refer to *Chapter 3: General Features, Managing Linkages* section.

## Managing Issues and Actions

An Issue is a problem statement and Actions are plans or activities taken up to resolve those issues. You can create, link and delink, and delete Issues and Actions associated to the Incidents.

This section covers following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Action
- Closing Issues and Actions

### *Creating Issues*

When you identify a particular issue or a problem statement that poses an operational risk to an organization, you can create issues and necessary action plans to resolve or address those issues.

Users mapped to the role of Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver, Legal Incident Approver, Confidential Incident Approver) can create issues from the Incident module.

**Note:** The Incident must be in Ownership, Pending Review, or Pending Approve status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click Incident **ID**. The Incident Details page is displayed.
3. Click **Create Issue**. The Issue Details page is displayed.

For more information on fields in the Issue Details page, refer to *Chapter 8, Managing Issues and Actions*.

If an issue is initiated from the Incidents section, the Component field in the Issue Details page displays as Incident and the Primary Source field displays the Incident Name.

### *Creating Actions through 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 Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver, Legal Incident Approver, Confidential Incident Approver) can create issues from the Incident module.

**Note:** The Incident must be in Ownership, Pending Review, or Pending Approve status to create Issues.

For more information on Creating Actions for Issues, refer to *Chapter 8, Managing Issues and Actions*.

### *Creating Actions Directly*

You can directly create Actions if Issue Creation is turned off. This feature is configured during the installation of the OFSOR application or can be configured later.

Users mapped to the role of Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver, Legal Incident Approver, Confidential Incident Approver) can create actions from the Incident module.

**Note:** To create actions directly, the Incident must be in Ownership status.

To create actions directly, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click Incident **ID**. The Incident Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

   For more information on Creating Actions for Issues, refer to *Chapter 8, Managing Issues and Actions*.

If an Action is initiated from the Incidents section, the Component and Primary Source fields in the Actions Details page displays as Incident and Incident Name respectively.

### *Linking and Delinking Issues and Actions*

The Issues and Actions tab allows you to link and delink issues and actions to Incidents. You can link existing issues or actions to the Incident. If the issue or action is created from the Incidents module, the issue or action will be automatically shown in the issue or action list of the Incident.

Users mapped to the role of Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver, Legal Incident Approver, Confidential Incident Approver) can create issues from the Incident module.

**Note:** The Incident must be in Ownership, Pending Review, or Pending Approve status to link or delink the Issues.

If Issue creation is turned off, then Actions can be linked directly to an Incident.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Incident Search and List page.
2. Click Incident **ID**. The Incident Details page is displayed.
3. Click **Issues and Action**. The Issues and Actions section is displayed.




**Figure 131. Issues and Actions Tab**

For more information on linking and delinking Issues and Actions, refer to *Chapter 3: General Features, Managing Linkages* section.

### *Deleting an Issue*

Users mapped to the role of Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver, Legal Incident Approver, Confidential Incident Approver) can delete issues in Ownership, Pending Review, or Pending Approve status if they are not applicable to the business or an organization.

### *Deleting an Action*

The Incident section allows you to delete action plans in Ownership, Pending Review, or Pending Approve status. Users mapped to the role of Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver, Legal Incident Approver, Confidential Incident Approver) can delete the Actions in Draft status if Issue Creation is turned on.

If Issue Creation is turned off, users mapped to the role of Incident Owner, Reviewer (Compliance Incident Reviewer, Legal Incident Reviewer, Confidential Incident Reviewer), or Approver (Compliance Incident Approver,

Legal Incident Approver, Confidential Incident Approver) can delete Actions in Ownership status linked to Incidents.

For more information about Issues and Actions, refer to *Chapter 8, Managing Issues and Actions*.

### *Closing Issues and Actions*

Actions can be closed once they are complete. If all actions for an Issue are addressed, then Issue can be closed. If an Action is abandoned mid-way, it can be force-closed. Once all actions are closed, the Issue can be closed. Only users mapped to the role of Action Owner can close or force-close actions. Only an Issue Owner can close Issues.

For more information on closing Actions for Issues, refer to *Chapter 8, Managing Issues and Actions*.

## Reviewing Incidents

An Incident in Pending Review status can be reviewed by an Incident Reviewer (Confidential Incident Reviewer in case of a confidential Incident, Legal Incident Reviewer in case of a legal Incident, or Compliance Incident Reviewer in case of a compliance Incident). Only the Incident Reviewer of the Business Line and Location combination has the rights to review or reject Incidents in Pending Review status.

Legal and Confidential Incidents are available only for Legal and Confidential Incident Reviewers.

To review an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident in Pending Review status.

   Or

   Select an Incident in Pending Status from the Inbox.

   The Incident Details page is displayed.
3. Review the Incident Details.

   **Note:**

   - You can create or link Issues for the Incidents.
   - You can attach a document through the Documents tab.
4. Click **Accept Review** or **Reject Review** to accept or reject the Incident.
5. Enter your comments and click **Approve**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**.
7. Click **Back** to go back to the Incident Details page.

**Note:** If the reviewer accepts the review of the Incident, its status is set to Pending Approval. If Incident is rejected, it is set to Ownership status after rejection.

## Approving Incidents

An Incident which is in Pending Approval status can be approved by an Incident Approver (or Confidential Incident Approver in case of a confidential Incident, Legal Incident Approver in case of a legal Incident, or Compliance Incident Approver in case of a compliance Incident). Only an Incident Approver of the Business Line and Location combination has the rights to approve or reject Incidents in Pending Approval status.

Legal and Confidential Incidents are available only for Legal and Confidential Incident Approvers.

To approve an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident in Pending Approval status. Alternatively it can also be selected from the Inbox. The Incident Details page is displayed.

**Note:**

- You can create or link Issues for the Incidents.
- You can attach a document through the Documents tab.

3. Click **Accept Approval** or **Reject Approval** to accept or reject the Incident.

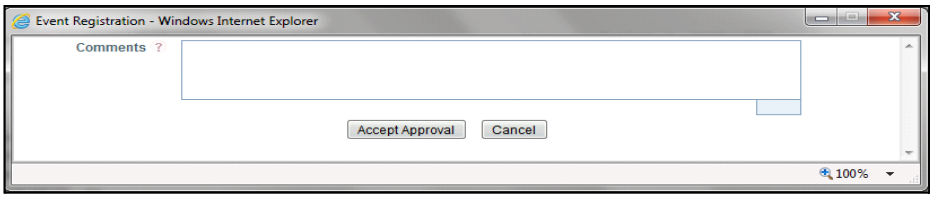



**Figure 132. Approving Incidents**

4. Enter your comments and click **Accept Approval** or **Reject Approval** as applicable. The following message is displayed: *Update Operation Successful.*
5. Click **OK**.
6. Click **Back** to go back to the Incident Details page.

**Note:** If the Incident is approved, it moves to Approved status and if the Incident is rejected, it moves to *Ownership* status.

## Rejecting an Incident

You can reject an Incident if Incident details are not valid, or the Incident does not have complete details.

An Incident Approver or Reviewer can reject an Incident submitted by the Incident Owner from the Incident Details page. When an Incident Approver or Incident Reviewer rejects an Incident, it goes back to the Incident Owner.

Only users mapped to the Incident Approver or Reviewer role can reject an Incident in Pending Approval or Pending Review status. When the Incident Approver or Incident Reviewer rejects the Incident, the status of the Incident changes from Pending Approval to Ownership.

To reject an Incident, follow these steps.

1. Navigate to the Incident Search and List page.
2. Click an Incident ID in Pending Approval or Pending Review status that you want to reject. The Incident Details page is displayed.
3. Click **Reject Approval** or **Reject Review**.

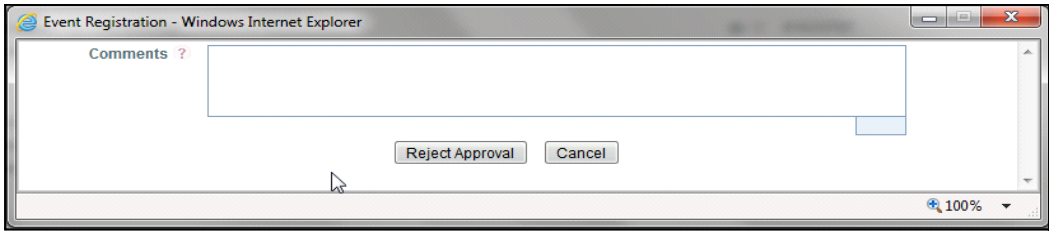



**Figure 133. Rejecting Incidents**

4. Enter the rejection comments.

**Note:** The Comments box in the pop-up window allows entering a maximum of 3000 characters.

5. Click **Reject**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The system refreshes and displays the Incident in Ownership status in the Incident Search and List page.

## Closing an Incident

If the Incident is not valid for the present scenario, an Incident Owner can close the Incident in Ownership status. You can close an Incident either from the Incident Search and List page or from the Incident Details page.

**Note:** Only users mapped to the role Incident Owner can close Incidents in Ownership status.

If the Incident is marked as duplicated, then it will automatically go for closure.

## Reopening Incidents

You can reopen an Incident, if you want to put more details about the Incident, or update the Impact details. You can edit the Incident details after raising the request of reopening. The Incident Owner of the Business Line and Location combination has the rights to reopen Incidents in Approved status.

To reopen an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident in Approved status. The Incident Details page is displayed.




**Figure 134. Reopening Incident**

3. Click **Request for Reopen**.
4. Enter your comments and click **Request for Reopen**. The following message is displayed: *Update Operation Successful.*




**Figure 135. Reopening of Incident**

5. Click **OK**.
6. Click **Back** to return to the Incident Details page. The status of the Incident changes to Pending Reopen.

The Incident Approver (Confidential Incident Approver, Legal Incident Approver, or Compliance Incident Approver) may accept or reject the reopening of an Incident.

### Accepting or Rejecting Reopening an Incident

Users mapped to the role of Incident Approver, Confidential Incident Approver, Legal Incident Approver or Compliance Approver can approve the Incidents.

To accept or reject reopening an Incident, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident in Pending Reopen status. The Incident Details page is displayed.
3. Click **Accept Reopening** or **Reject Reopening**. The Incident Details window is displayed.
4. Enter your comments and click **Accept Reopening** or **Reject Reopening** as applicable. The following message is displayed: *Update Operation Successful*
5. Click **OK**. The Incident Details window is displayed.
6. Click **Back** to go back to the Incident Details page.

**Note:** If the reopening is approved, the status of the Incident changes to Ownership. If not, it returns to Approved status.

## *Exporting Incident List to Excel*

Exporting Incident details allows you to view.

The Incident Search and List page allows you to export a compiled list of all Incidents into an Excel template. The Incident details can be exported to a PDF for offline use.

For more details on Exporting the Incident List, refer *Chapter 3: General Features, Exporting Records* section.

## Viewing Internal Incident Profile

You can view Incident details in a PDF.

To view the Incident details in a PDF, follow these steps:

1. Navigate to the Incident Search and List page.
2. Select an Incident ID to view the Incident Details page.
3. Click **Internal Incident Profile** in the Action section. A File Download Box is displayed.

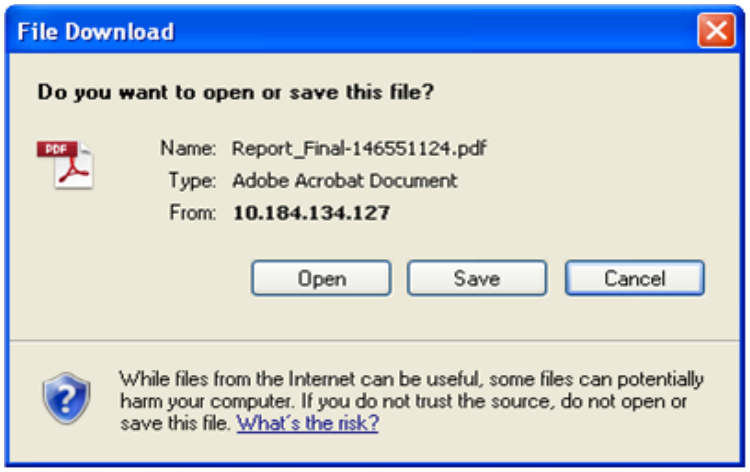



**Figure 136. File Download Box**

4. Click **Open** in the File Download Box. A PDF report opens displaying the Incident details.
5. Click **Save** in the File Download Box to save the PDF report generated in your local system.

# Grouping of Incidents

You can group Incidents based on some criteria. For example, Loss Amount and Cause Category. This helps in grouping and categorizing the similar kind of Incidents. One Incident can be part of multiple Incident Groups.

Users mapped to the role of Incident Group User can create an Incident group.

## Accessing the Incident Group

To access the Incident menu, follow these steps:

1. Login to OFSOR/GCM. The OFSOR/GCM Home page is displayed.
2. Click **Incident**. The Incident Groups Search and List page is displayed.

## Creating an Incident Group

To create an Incident Group, follow these steps:

1. Navigate to the Incident Groups Search and List page.
2. Click **Create Group.** The Incident Group Details page is displayed.Group Details page is displayed.

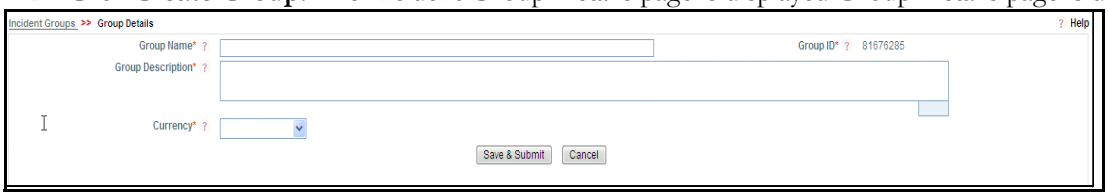



**Figure 137. Incident Group Details page**

3. Enter the following information in the Incident Group Details page.

   The following table describes the fields of this page.

**Table 60. Incident Group Details**

| Fields | Description |
|---|---|
| Group Name | Enter the name of the Group. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Incident details without entering the Incident name, the application displays the following message: *Group Name and Group Description and Currency are mandatory to save a record*. |
| Group Description | Enter a brief description of the Incident Group.<br>The Description field in the Incident Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Currency | Select Currency from Currency drop-down list. All losses of Incidents grouped together are converted to the Currency that is selected in the Group on Group Search and List page. |

4. Click **Save and Submit**.

## Grouping of Incidents into Group

This section explains how to add the Incident(s) into a group after creating an Incident Group.

**Note:** You can also group the Incidents from the Incident Group Details page.

1. Navigate to the Incident Group Search and List Page.
2. Select the Group ID under which you want to add the Incident(s).

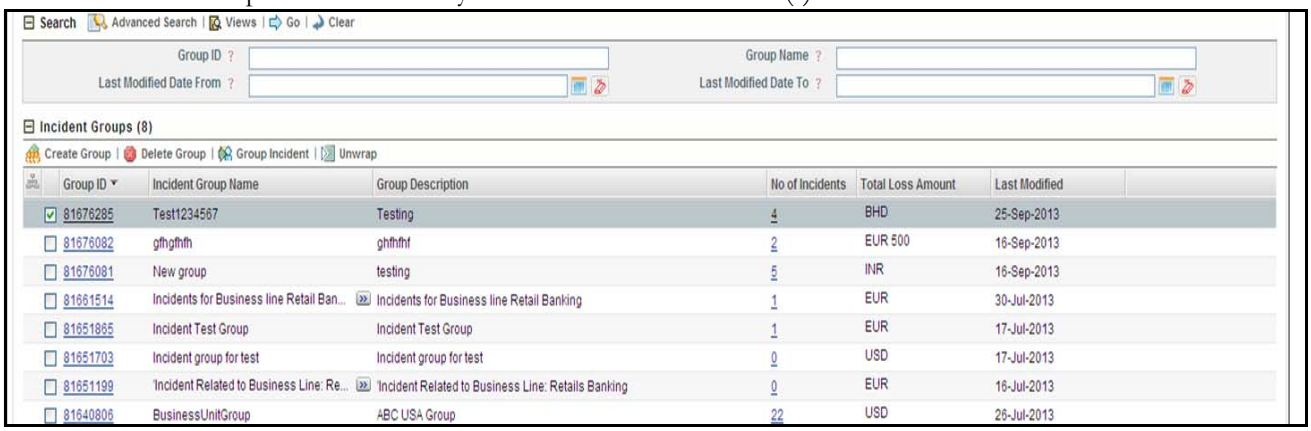



**Figure 138. Incident Group Search and List page**

3. Click **Group Incident.**
4. Select the Incidents from the Incident Search and List page.

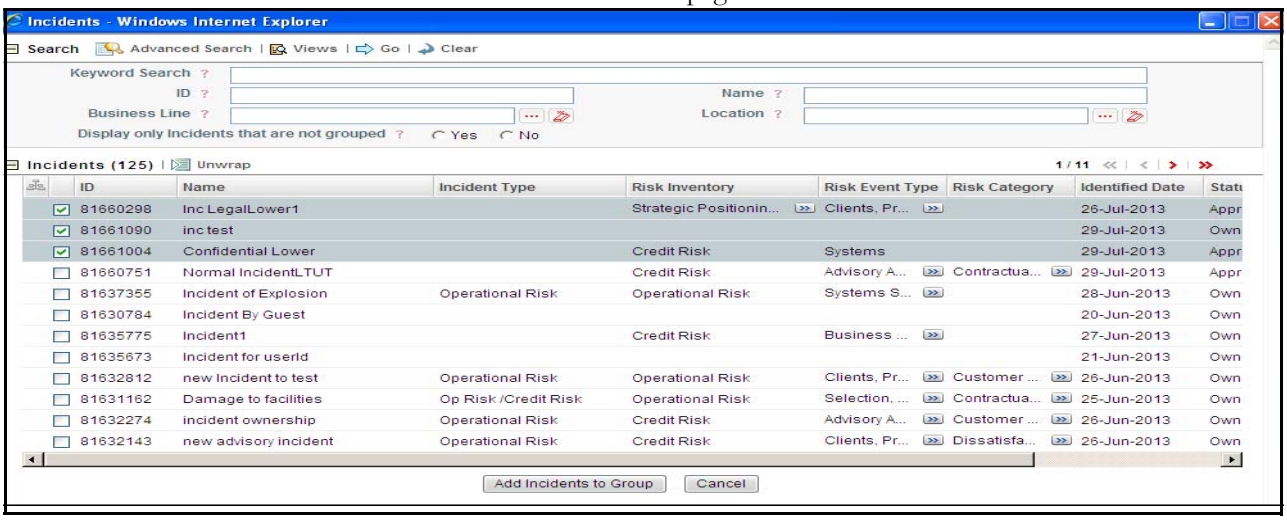



**Figure 139. Incident Search and List page**

5. Click **Add Incidents to Group**.

   You will be directed back to the Incident Group Search and List page. **No of Incident** column shows the number of Incidents grouped under that corresponding Group ID.

## Ungrouping of Incidents from Group

This section explains how to remove the Incidents from a group.

To ungroup the Incidents from a group, follow the below steps:

1. Navigate to the Incident Group Search and List Page.

2. Select the Group ID from which you want to remove the Incidents.

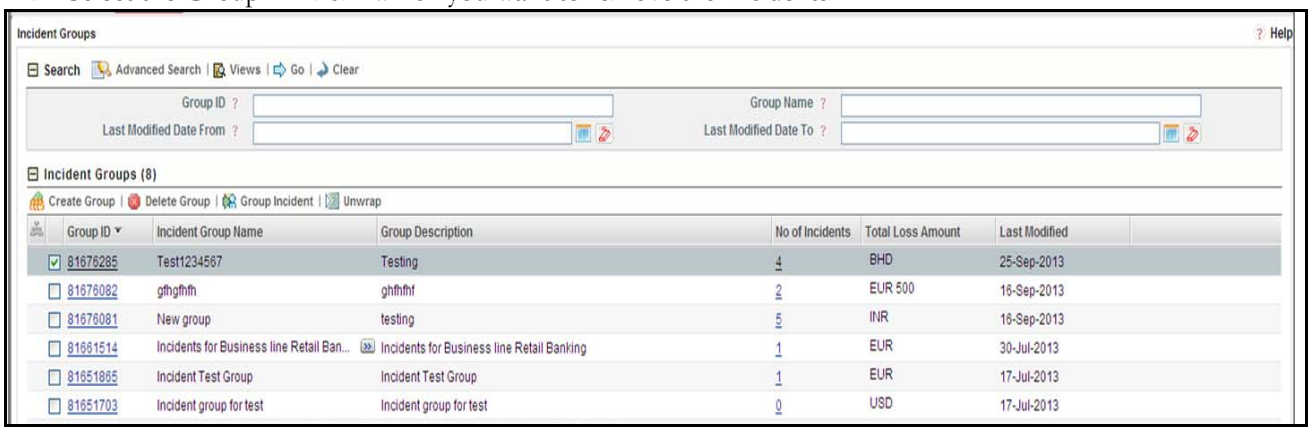



**Figure 140. Incident Group Search and List page**

3. Click **Group ID.** The Group Details page is displayed.
4. Select the Incidents which you want to remove from Group, from Incident Group Details page.

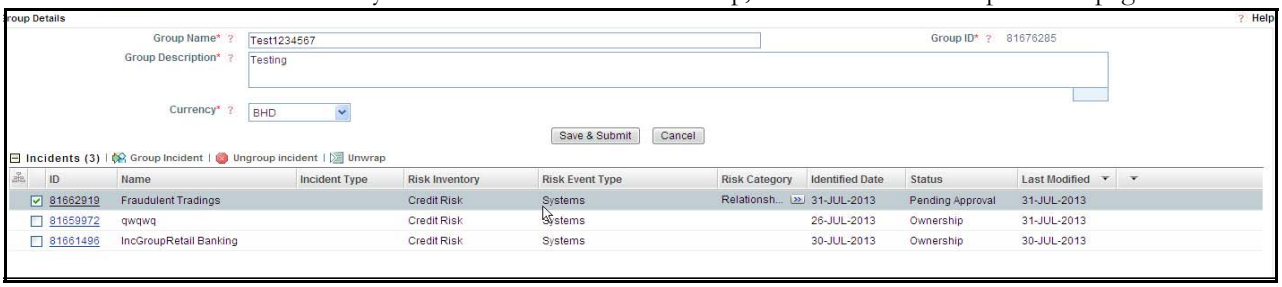



**Figure 141. Incident Group Details page**

5. Click **Ungroup Incident**. The following confirmation message is displayed: *Are you sure you want to delete this record.*
6. Click **OK**. The Incident will be removed from the Incident Group.

## Deleting the Incident Group

You can delete an Incident Group which may not be applicable for the business or organization.

**Note:** If an Incident is linked under a Group, it must be delinked before deleting the Incident Group

To delete an Incident Group, follow these steps:

1. Navigate to the Incident Group Search and List Page.

Select the Group ID from which you want to delete.

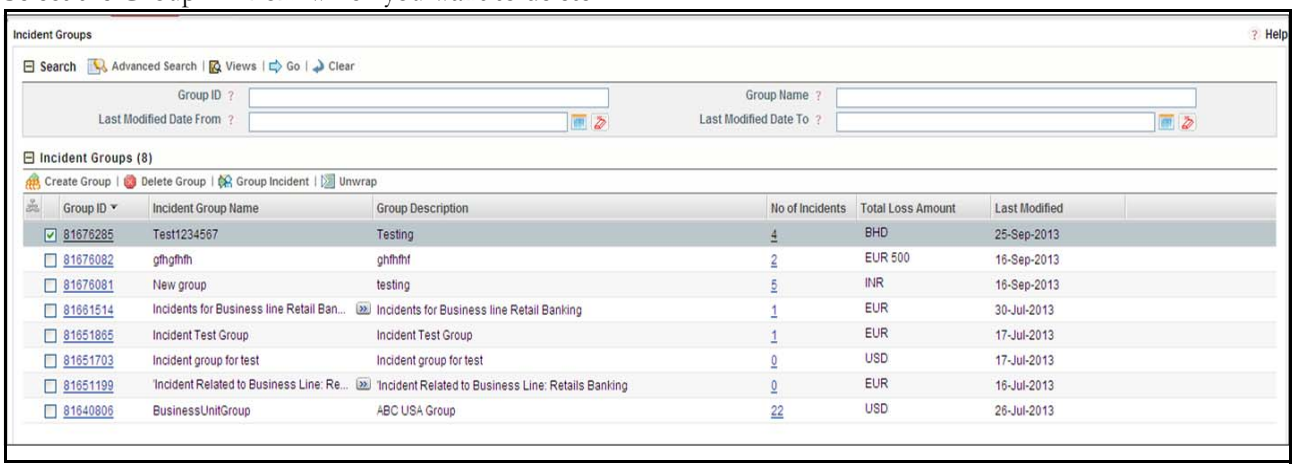



**Figure 142. Incident Group Search and List page**

2. Click **Delete Group**. The following confirmation message is displayed: *Are you sure you want to delete this record.*
3. Click **OK.**

# CHAPTER 7 Managing Key Indicator Library and Key Indicators

This chapter provides information about the Key Indicator Library and Key Indicator components in the Oracle Financial Services Operational Risk application and step-by-step instructions to use this module.

This chapter includes the following topics:

- Managing Key Indicator Library
- Managing Key Indicators

## Managing Key Indicator Library

This section provides details about the Key Indicator Library and provides step-by-step instructions for navigating through this sub-module.

This chapter includes the following topics:

- About Key Indicator Library
- User Roles and Actions
- Key Indicator Library Workflow
- Tasks and Notifications
- Accessing Key Indicator Library Menu
- Searching Key Indicator Library
- Creating a Key Indicator at Library
- Managing Library Key Indicator Details
- Managing Aggregation Details
- Closing Library Key Indicator
- Deleting Library Key Indicator
- Exporting Library Key Indicator List to Excel

## About Key Indicator Library

The Key Indicator Library is a repository of all controls created to mitigate various Key Indicators. The defining and monitoring of Key Indicators allows the identification of changes in the bank's Operational Risk profile at an early stage and helps to initiate counteractive measures by warning and escalation procedures. The Key Indicators identified for the risks, controls, or performance can be recorded and stored in a repository.

The Key Indicator Library helps to capture Key Indicators which are identified at a global level and can be later linked to a particular business line and location. These localized Key Indicators can be applied in their respective business units.

### Key Indicator Library Reports

The Key Indicator module generates the following reports

- Key Indicator Details
- Key Indicator by Business Line
- Key Indicator by Location
- Key Indicator By Risk Inventory
- Key Indicator by Risk Event Type
- Key indicator by source
- Key indicator by Nature
- Key Indicator by Frequency
- KI in Development
- Overdue Actions for Key Indicators by Business Line
- Actions Exceeding estimated cost for Key Indicator by Business Line
- Overdue Issues for Key Indicator by business Line
- Issues Exceeding estimated cost for Key Indicator
- KI Details
- Associated Entities
- Key Indicator High Risks and Total Losses
- Key Indicators associated with Incidents
- Key Indicators and Risks
- Key Indicators and Controls
- Key Indicators associated with Scenarios
- KI Metrics

### Salient features

The Key Indicator Library provides the following features to help organizations manage their operational risk:

- Ability to Create a library of Key Indicators at Organization level

- Key Indicators at library can be localized at different business units
- Key Indicators at enterprise level can be aggregated across applicable business units
- Facility to create KRIs, KCIs, KPIs and BEICFs
- Business Measures can be included for defining the Key Indicators
- The Measures outside of the application can also be introduced through a staging table
- Comprehensive way of defining a formula for generating the value of Key Indicator
- The Metrics are generated for Key Indicators on a periodic basis as per the scheduling
- The breach of Key Indicators, if any is notified to concerned stakeholders

## User Roles and Actions

This section explains the different user roles and actions they can perform in the Key Indicator Library module of the OFSOR/GCM application. This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user role is defined in the Key Indicator Library module of OFSOR/GCM:

- **Key Indicator Library Identifier**: This user identifies new Key Risk Indicators, Key Control Indicators, Key Performance Indicators, and Business Environment & Internal Control Factors applicable to the organization and adds them to the Library. Key Indicator Library records can be mapped to different Key Business Dimensions wherever it is applicable once is it entered in the Library. A Key Indicator Library Identifier can specify whether the Key Indicator Library is an Enterprise Key Indicator Library and add a few common attributes which will be applicable across all BUs where the Key Indicator Library is instantiated. A Key Indicator Library Identifier can also close their respective records.

### Actions

The Key Indicator Library records module allows Key Indicator Library Identifier users to perform the following actions:

- **Creating Key Indicator Library:** This action allows the user to create a new Key Indicator Library record. Users can link or delink the Business Line and Location combinations, define the formulas, add the threshold limits, and attach or delete the documents before or after submitting the Key Indicator Library.
- **Editing Key Indicator Library:** This action allows the user to edit and update the Key Indicator Library in Draft/Open status.
- **Closing Key Indicator Library:** This action allows the user to close the Key Indicator Library in Open status.
- **Deleting Key Indicator Library:** This action allows user to delete the Key Indicator Library in Draft status.

- **Exporting Key Indicator Library:** This action allows the user to export the list of Key Indicator Library records. The Exported Key Indicator Library function allows the organization to have a compiled list of all applicable Key Indicator Library records.

**Table 61. User Roles mapped to corresponding Actions**

| Function | KI Status | KI Identifier |
|---|---|---|
| Create KI at Library | New | X |
| Edit KI at Library | Draft | X |
| | Open | X |
| Delete KI at Library | Draft | X |
| Define Formula at Library | Draft | X |
| | Open | X |
| Close KI at Library | Open | X |
| Localize KI Library record | Open | X |
| Aggregate KI at Library | Open | X |
| Link Business units | Draft | |
| Add & Delete Documents (KI Library) | Draft | X |
| | Open | X |

## Key Indicator Library Workflow

The following figure describes the Key Indicator Library workflow:

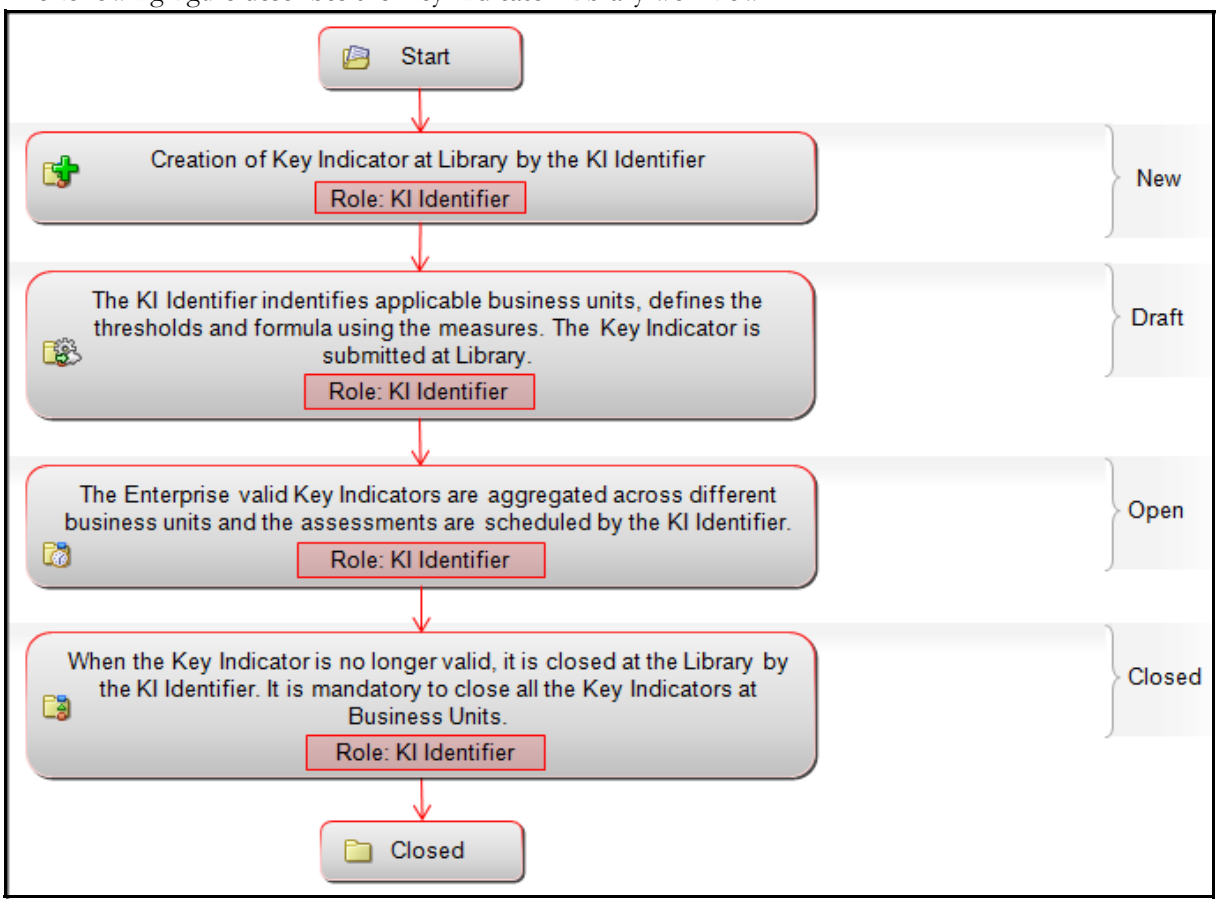



**Figure 143. Key Indicator Library Workflow**

## Tasks and Notifications

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 all tasks and notifications that each user role will receive in their Inbox menu on performing a particular action.

**Table 62. Task and Notifications**

| Action Performed | Task/Notification | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| On localizing KI at library | Notification | Notification should be sent to all users mapped to the role of KI Owner for the selected Business Unit. | KI Owner | Open |
| On updating formula at Key Indicator Library. | Notification | Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units. | KI Owner | Open |

**Table 62. Task and Notifications**

| Action Performed | Task/Notification | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| While aggregation (batch run/adhoc), if one or more business lines do not have values at respective business unit Key Indicators. | Notification | Notification should be sent to the user captured as KI Library Owner in the KI Library. | KI Library Owner | Open |
| While aggregation (batch run/adhoc), if one or more business lines do not have values at respective business unit Key Indicators. | Notification | Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units which do not have values. | KI Owner | Open |
| While aggregation (batch run/adhoc), if none of the business lines have any values at respective business unit Key Indicators. | Notification | Notification should be sent to the user captured as KI Library Owner in the KI Library. | KI Library Owner | Open |
| While aggregation (batch run/adhoc), if none of the business lines have any values at respective business unit Key Indicators. | Notification | Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units. | KI Owner | Open |
| While aggregation (batch run/adhoc), if no Business Units are linked. | Notification | Notification should be sent to the user captured as KI Library Owner in the KI Library. | KI Library Owner | Open |
| While aggregation (batch run/adhoc), if value generated is out of the thresholds range | Notification | Notification should be sent to the user captured as KI Library Owner in the KI Library. | KI Library Owner | Open |
| While aggregation (batch run/adhoc), if value generated is out of the thresholds range | Notification | Notification should be sent to all users captured as KI Owners for Key Indicators at respective Business Units. | KI Owner | Open |
| On Closing Key Indicator at Library | Notification | Notification should be sent to the user captured as KI Library Owner in the KI Library. | KI Library Owner | Closed |

## Accessing Key Indicator Library Menu

This section explains how to access the Key Indicator Library records module in Oracle Financial Services Operational Risk application.

To access the Key Indicator Library, follow these steps:

1. Login to the OFSOR/GCM. The OFSOR/GCM Home page is displayed.
2. Hover over the **Key Indicators** menu and click **Key Indicators Library**. The Key Indicators Library Search and List page is displayed.

## Searching Key Indicator Library

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

This section explains the following topics:

- Searching Library Key Indicator Using Basic Search
- Searching Library Key Indicator Using Advanced Search Criteria
- Searching Library Key Indicator Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Library Key Indicator Using Basic Search

This search is based on a limited set of search criteria and helps you to retrieve the relevant Key Indicator Library records.

To search for a Key Indicator Library using Basic Search, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.

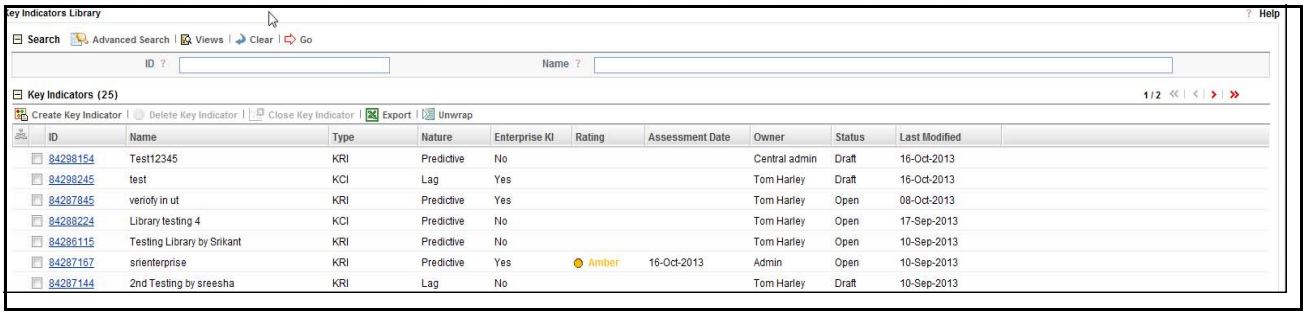



**Figure 144. Searching Key Indicator Library Using Basic Search**

**Note:** By default, the Key Indicator Library Search and List page displays all Key Indicator Library records.

2. Enter the following search criteria in the Basic Search fields to filter the Key Indicator Library list.

**Table 63. Basic Key Indicator Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracing Key Indicator Library number of the Key Indicator Library. This field allows you to enter a maximum of 8 numeric values. |
| Name | Enter the name of the Key Indicator Library. This field allows you to enter a maximum of 300 characters and supports wildcard search. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

**Note:** If there are no matched details with the given search criteria then the Alert pop-up window displays the following message: *No Data Found for the Search Criteria.*

### Searching Library Key Indicator Using Advanced Search Criteria

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 most of the Key Indicator Library details such as ID, Name, Status, and so on, then you can filter the Key Indicator Library records using the Advanced Search criteria. To search for a Key Indicator Library using Advanced Search, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields are displayed.

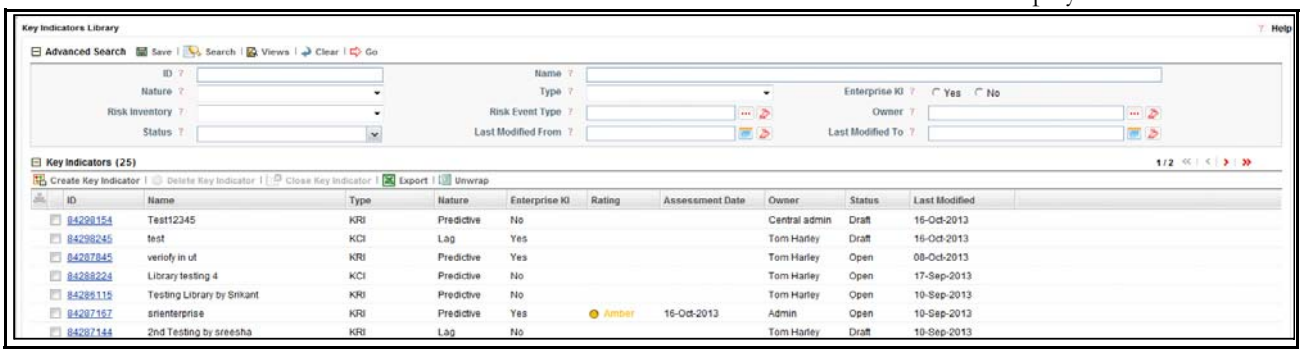



**Figure 145. Searching Key Indicator Library Using Advanced Search Criteria**

3. Enter the search criteria to filter the Key Indicator Library list.

**Table 64. Advanced Library Key Indicator Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracing Key Indicator Library number of the Key Indicator Library. This field allows you to enter a maximum of 8 numeric values. |
| Name | Enter the name of the Key Indicator Library. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Nature | Select the nature of the Key Indicator Library from drop-down list.<br>Following are the possible values for Key Indicator Library Nature drop-down list:<br>Predictive<br>Lag<br>Current |

**Table 64. Advanced Library Key Indicator Search Criteria**

| Criteria | Description |
|---|---|
| Type | Select the category to which the Key Indicator Library belongs, from the drop-down list.<br>Following are the possible values for Key Indicator Library Type drop-down list:<br>● KRI<br>● KCI<br>● KPI<br>● BEICF Indicator |
| Enterprise KI | Select the Enterprise KI type as Yes or No. Select this option as Yes to view the list of Enterprise KI records, which are valid across the Enterprise. |
| Risk Event Type | Select the Risk Event Type from the hierarchy browser. For example, the Risk Event Type can be Systems, and so on. |
| Risk Inventory | Select the Risk Inventory from the hierarchy browser. |
| Owner | Select the Key Indicator Library owner from the hierarchy browser. |
| Status | Select the Key Indicator Library status from the multi-select drop-down<br>Following are the possible values for Status drop-down list:<br>● Select All<br>● Draft<br>● Closed<br>● Open<br>**Note:** You can select more than one option at a time, from the drop-down list. |
| Last Modified From | Select the last modified date from the calendar to display Key Indicator Library records having a modified date greater than or equal to the specified date.<br>**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.* |
| Last Modified To | Select the last modified date from the calendar to display Key Indicator Library records having a modified date less than or equal to the specified date.<br>**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 Data Found for the 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 *Saving a Search*.

### Searching Library Key Indicator Using Pre-defined Views

Views Search represents pre-populated search criteria and helps you to filter the Key Indicator Library records based on pre-defined views.

To search for a Key Indicator Library using pre-defined views, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

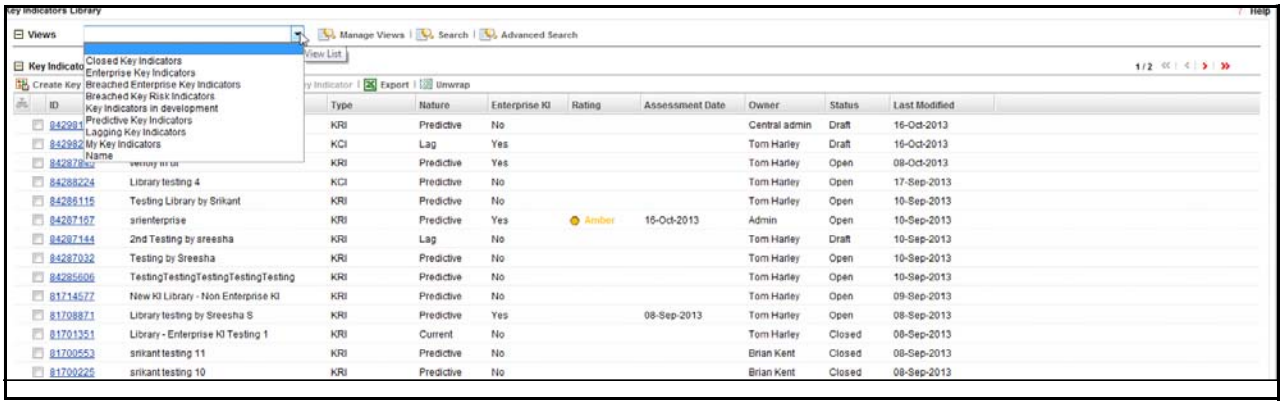



**Figure 146. Searching Key Indicator Library Using Views**

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

**Table 65. Key Indicator Library Views**

| View | Description |
|---|---|
| Closed Key Indicators | Select *Closed Key Indicators* from the Views drop-down list to display the Key Indicator Library records which are in Closed status in descending order of the last modified date. |
| Enterprise Key Indicators | Select *Enterprise Key Indicators* from the Views drop-down list to display Key Indicator Library records where Enterprise KI is set as Yes in descending order of the last modified date. |
| Breached Enterprise Key Indicators | Select *Breached Enterprise Key Indicators* from View drop-down list to display Key Indicator Library records where Enterprise Key Indicator Library is set as Yes and Rating is set to Red. |
| Breached Key Risk Indicators | Select *Breached Key Risk Indicators* from View drop-down list to display Key Indicator Library records where Type is KRI and Rating is set to Red. |
| Key Indicators in development | Displays the Key Indicator Library records which are in development. |
| Predictive Key Indicators | Select *Predictive Key Indicators* from the Views drop-down list to display the Key Indicator Library records which are marked as Predictive in nature. |
| Lagging Key Indicators | Select *Lagging Key Indicators* from the Views drop-down list to display the Key Indicator Library records which are marked as Lag in nature. |
| My Key Indicators | Select *My Key Indicators* from the Views drop-down list to display the Key Indicator Library records for which the logged in user is the Owner in descending order of the last modified date. |

**Note:** These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down.

## Creating a Key Indicator at Library

You can create a new Key Indicator at the Library when you want to capture a warning signal which has potential impact in the organization. These Key Indicator Library records expose institutions to different types of Key Indicator Library records. Key Indicator Library identification and categorization of the Key Indicator Library is a pre-requisite for close monitoring of the Key Indicator Library.

The Key Indicators Library Search and List page allows you to create a new Key Indicator Library.

To create a new Library Key Indicator, follow these steps:

1. Navigate to the Key Indicators Search and List page.
2. Click **Create Key Indicator**. The Key Indicator Library Details page is displayed.

   **Note:** The status of the Key Indicator Library is *New*.

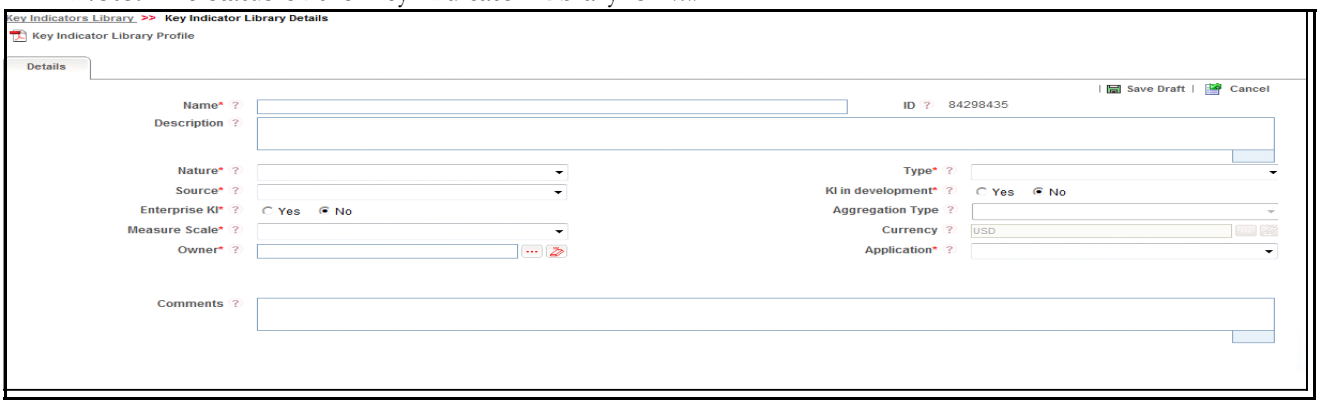



**Figure 147. Key Indicator Library Details Page**

3. Enter the following information in the Key Indicator Library Details page.

**Table 66. Fields of the Key Indicator Library Details Page**

| Fields | Description |
|---|---|
| Name | Enter the name of the Key Indicator Library. This field allows you to enter a maximum of 300 characters.<br><br>If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded.*<br>If you try to save the Key Indicator Library details without entering the name, the application displays the following message: *Please enter the Key Indicator Library Name.* |
| ID | Displays the sequential tracking number given to a Key Indicator Library. (This field is system generated.) |
| Description | Enter a brief description of the Key Indicator Library.<br>The description field in the Key Indicator Library Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |

**Table 66. Fields of the Key Indicator Library Details Page**

| Fields | Description |
|---|---|
| Nature | Select the nature of Key Indicator Library from the drop-down list.<br>The following values are possible for the Key Indicator Nature drop-down list:<br>● **Predictive**: when you can predict the impact of the Key Indicator for future.<br>● **Lag**: when the Key Indicator is based on past scenarios.<br>● **Current**: when the Key Indicator is based on the current conditions. |
| Type | Select the category to which the Key Indicator belongs, from the drop-down list.<br>The following values are possible for the Key Indicator Type drop-down list:<br>● **KRI**: The Key Risk Indicators are parameters that effectively measure the risks involved in a business procedure and activity and provides the firm with a prior notification of possible harmful consequences.<br>● **KCI**: The Key Control Indicators are used to define company-wide controls to monitor the achievement of the set objectives.<br>● **KPI**: A set of quantifiable measures that a company or industry uses to gauge or compare performance in terms of meeting their strategic and operational goals.<br>● **BEICF Indicator**: Business Environment and Internal Control Factors (BEICFs) are indicators of a bank's operational risk profile that reflect underlying business risk factors and an assessment of the effectiveness of the internal control environment. |
| Source | Select the source of the Key Indicator Library as External (when the Key Indicator Library is applicable only for outside the Organization) or Internal (when the Key Indicator Library is applicable only for inside the origination). |
| Key Indicator Library in Development | Select this option as Yes if Key Indicator is in development, otherwise select No. |
| Enterprise Key Indicator Library | Select the Enterprise Key Indicator Library as Yes or No. Select this option as Yes if the Key Indicator is valid across the Enterprise, otherwise select No. |
| Assessment Type | Select the Assessment Type from the drop-down list. This is the method of Aggregating the Key Indicators at different Business Units. This field is<br>enabled only if the record is an *Enterprise Key Indicator Library*.<br>The following values are possible for Aggregation Type drop-down list:<br>● Sum<br>● Average |
| Measure Scale | Select the Measurement Scale type in which the Thresholds will be defined.<br>The following values are possible for the Measure Scale drop-down list:<br>● Percentage<br>● Number<br>● Amount |
| Currency | Select the currency from the hierarchy browser for the Thresholds and Key Indicator Value. This field will be editable only if the Measure Scale type is selected as Amount. By default it is set to base currency. |
| Owner | Select the user who is responsible for the Key Indicator at an organizational level, from the hierarchy browser. It shows the list of all users mapped to the role of Key Indicator Identifier. |
| Application | Select the name of application from drop-down list for which Key Indicator is installed. For OR/GCM, this list displays Operational Risk. |

**Table 66. Fields of the Key Indicator Library Details Page**

| Fields | Description |
|---|---|
| Comments | Enter remarks if applicable.<br>If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*. |
| Risk Inventory | Select the Risk Inventory for which the Key Indicator Library is identified. For example, the Risk Inventory can be Credit Risk and so on. This field will be enabled only when you select the Application from the Application drop-down list. |
| Risk Category | Select the Risk Category from the hierarchy browser. For example, the Risk Category can be Fraud and so on. This field will be enabled only when you select the Application from the Application drop-down list. |
| Risk Event Type | Select the Risk Event Type under which the Key Indicator Library is identified, from the hierarchy browser. For example, the Risk Event Type can be Systems and so on. This field will be enabled only when you select the Application from the Application drop-down list. |

**Note:** If the Key Indicator is selected as *Enterprise*, another set of related fields are displayed.

The following table describes these fields.

**Table 67. Compliance Key Indicator Library Details**

| Field | Description |
|---|---|
| Assessment Frequency | Select the Assessment Frequency for the Key Indicator and Thresholds.<br>Based on the frequency schedule defined by the user, the Key Indicator assessments are generated at each Applicable Business Unit, and the values are aggregated at the organizational level.<br>The following values are possible from Assessment Frequency drop-down list:<br>Yearly<br>Half Yearly<br>Quarterly<br>Monthly<br>Weekly<br>Fortnightly<br>Daily |
| Start Date | Select the Starting Date of the Assessment from the calendar. |

4. Click **Save Draft**. A Confirmation dialog box is displayed.
5. Click **OK**, the Library Key Indicator is saved and the Key Indicator Library Details page is displayed. The status of Key Indicator is changed to *Draft*.

### Submitting Library Key Indicator in Draft Status

The Key Indicator Details page allows you to submit the Key Indicator Library.

To submit Library Key Indicator, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.

2. Select a Key Indicator **ID** in Draft status. The Key Indicator Library Details page is displayed.

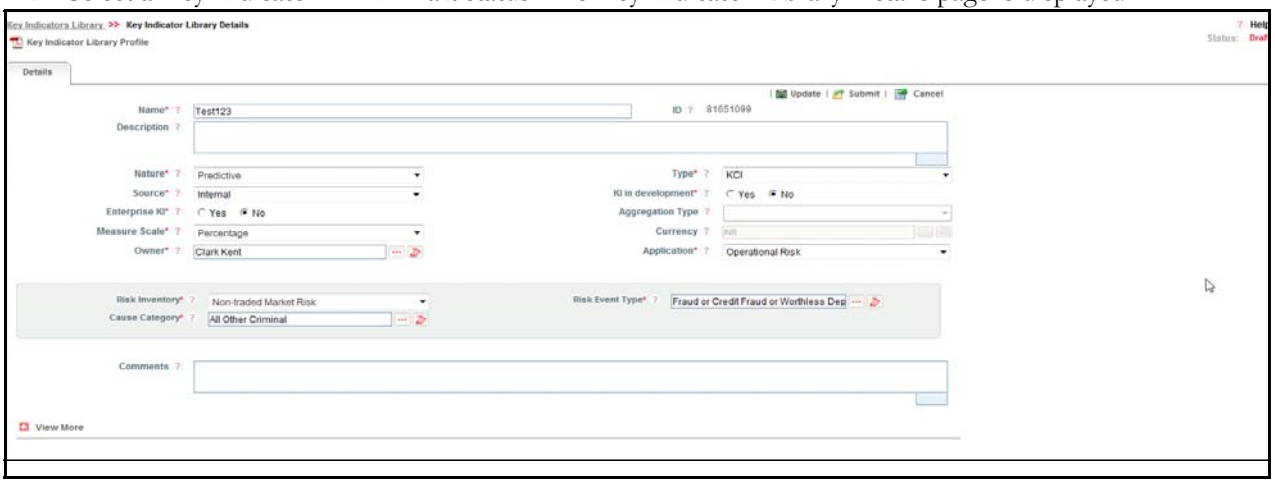



**Figure 148. Key Indicator Library Details Page**

The Key Indicator Library Details page allows you to perform the following tasks in Draft status:

- Editing Library Key Indicator
- Defining the Measures and Formula to Key Indicator
- Defining the Threshold limits
- Adding Applicable Business Units to Library Key Indicator
- Attaching and deleting documents related to Library Key Indicator
- Viewing Workflow History
- Deleting Library Key Indicator

For more information on these sections, refer to the *Managing Library Key Indicator Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit Library Key Indicator, all mandatory 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 Library Key Indicator to *Open*.

   The Key Indicator Library Details page allows you to perform the following tasks in Open status:

- Editing Library Key Indicator
- Editing of the Measures and Formula of Library Key Indicator
- Defining/Editing the Threshold Limits for Library Key Indicator
- Adding/Editing the Applicable Business Units
- Aggregating Business Units
- Attaching and deleting documents related to the Library Key Indicator
- Viewing Workflow History
- Closing Library Key Indicator
- Viewing Key Indicator Library Profile Report

For more information about each of these tasks, refer to section *Managing Library Key Indicator Details*.

## Managing Library Key Indicator Details

The Library Key Indicator Details page allows you to manage additional tasks and functionalities pertaining to the Key Indicator Library.

The section explains the following topics:

- Managing Details
- Managing Measure and Formulas
- Managing Threshold Limits
- Localizing Business Units

**Note:** Only the Key Indicator Identifier can edit Library Key Indicator details.

### Managing Details

This page displays information about the Library Key Indicator.

This section allows you to perform the following tasks:

- Editing Key Indicator Library
- Attaching and Deleting Documents
- Viewing Workflow History

#### *Editing Key Indicator Library*

This section describes how to edit and update the existing Key Indicator Library. You can edit a Key Indicator when it is in Draft or Open status.

To edit a Key Indicator Library, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Select a Key Indicator Library ID from the Key Indicator Library Search and List page. The Key Indicator Library Details page is displayed.

3. Click **Edit**. The editable fields are enabled in the Key Indicator Details page.

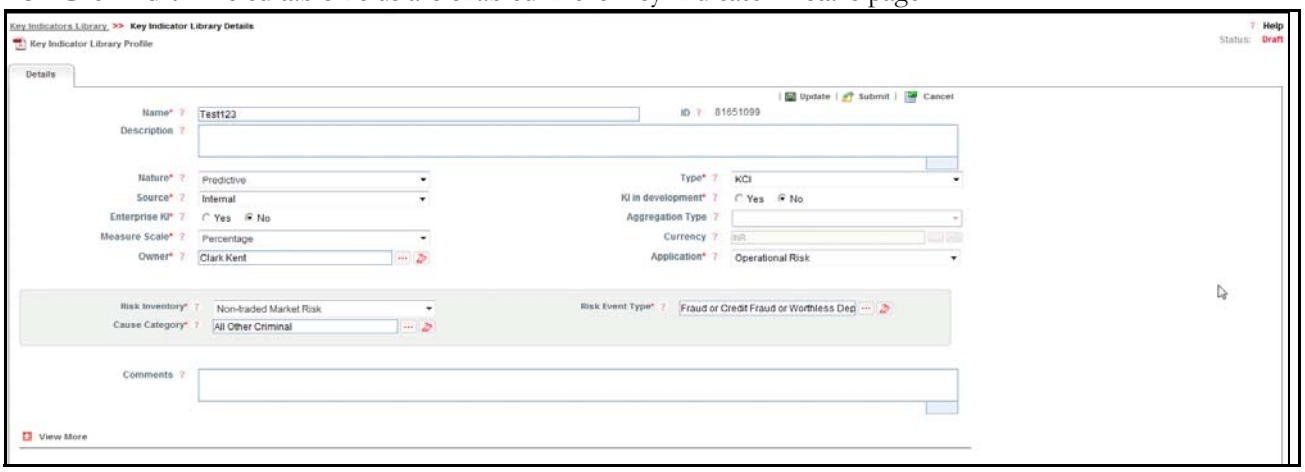



**Figure 149. Editing of a Key Indicator Library in Draft Status**

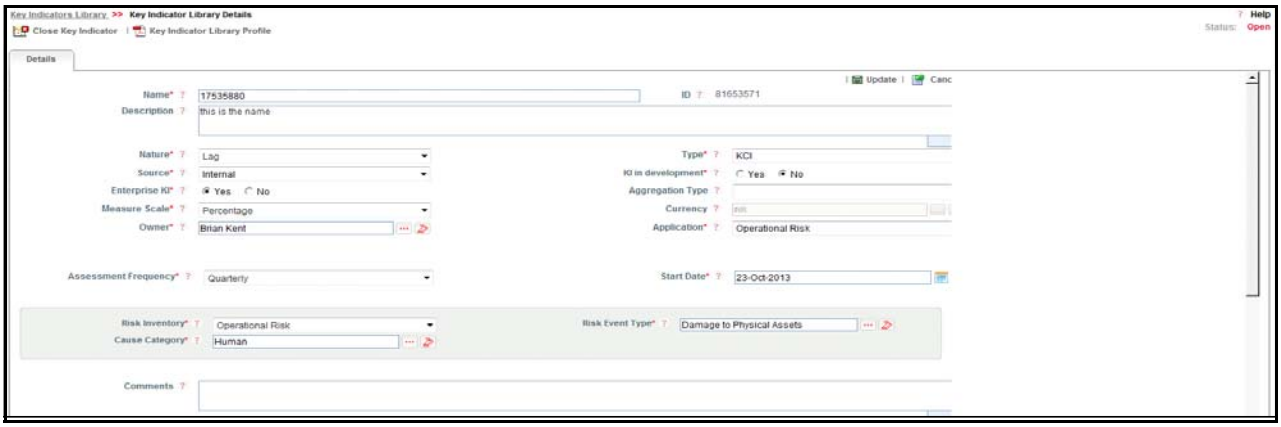



**Figure 150. Editing of a Key Indicator Library in Open Status**

4. Modify the necessary information. For more information about the Key Indicator Library Details page, refer to *Table 66*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*.
6. Click **OK** to confirm the changes. The updated Key Indicator Details page is displayed.

### *Attaching and Deleting Documents*

The Key Indicator Library Details page allows you to attach or delete documents related to a Key Indicator Library. Users mapped to the role of Key Indicator Identifier can attach and delete documents related to the Key Indicator Library.

For more details on attaching and deleting documents, refer to *Managing Documents*.

### *Viewing Workflow History*

The Workflow History section shows the audit trail of changes made to the Key Indicator Library details. Users mapped to the role of Key Indicator Identifier can view the workflow history.

For more details, refer to *Viewing Workflow History*.

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

**Table 68. Audit Entry in Workflow History section**

| Pre-action Status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| New | Draft | Save Key Indicator | Key Indicator Identifier | Key Indicator Library Created |
| Draft | Draft | Save Draft Key Indicator | Key Indicator Identifier | Key Indicator Library details updated |
| Draft | Open | Submit | Key Indicator Identifier | Key Indicator Library Submitted |
| Open | Close | Close | Key Indicator Identifier | Key Indicator Library closed |
| Open | Open | Update | Key Indicator Identifier | Key Indicator Library details updated |
| Draft | Delete | Delete | Key Indicator Identifier | Key Indicator Library Deleted |

### Managing Measure and Formulas

For Enterprise-valid Key Indicators, the values are generated at each Applicable Business Unit and the values are rolled up and aggregated at the organizational level. For generating the values at the Business Units, a formula is needed. The formula can be defined with the help of Measures - predefined value sets which can be borrowed from other Components like Risks, Controls, Incidents and not limiting to other applications installed in the same Information Domain. Measures can be sourced from outside the Information Domain using a staging table.

The Key Indicator Library Details page allows you to update the Measure and Formula details. Users mapped to the role of Key Indicator Identifier can update this details in Draft or Open status.

To update aggregation details, the Key Indicator Library must be localized to at least one or more Business Unit Locations.

**Note:** It is mandatory to have at least one Measure for a Key Indicator Library before submitting it.

This section covers the following topics:

- Adding Measures to Formula
- Creating Measures
- Updating Measures in Formula

#### *Adding Measures to Formula*

To add the Measures to a Formula for a Key Indicator Library, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator **ID**. The Key Indicator Library Details page is displayed.
3. Expand the **View more** section. The Measure and Formula section is enabled.

4. Under the Measure and Formula section, click **Edit**. The Measure and Formula page is displayed.

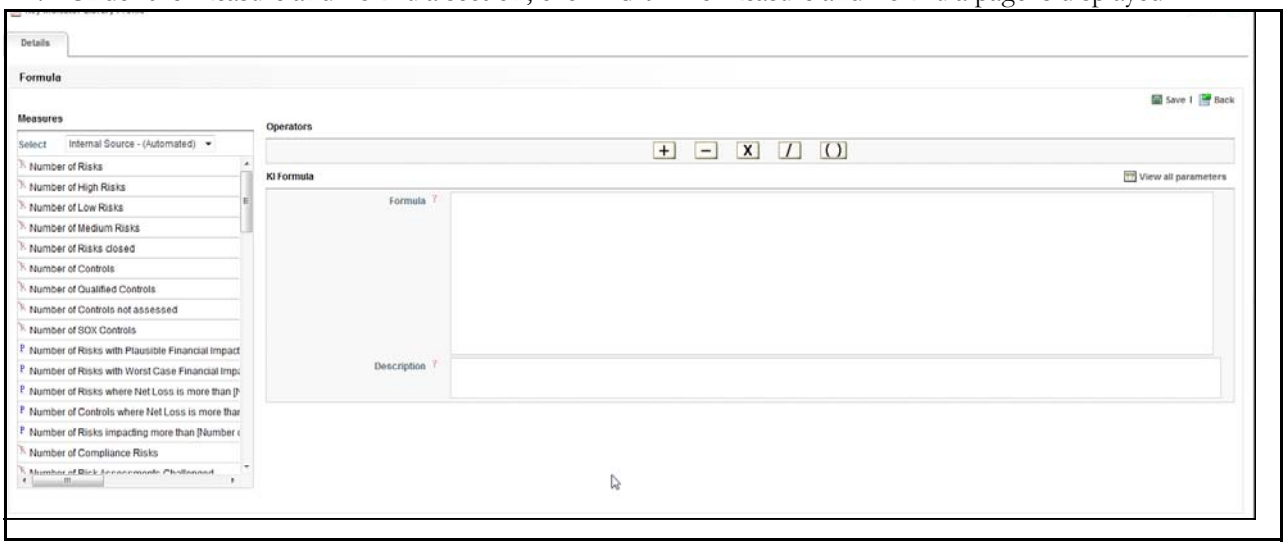



**Figure 151. Measures and Formula Page**

5. This page is divided into the following three sections:

- **Measures**: Measures are classified as Manual or Automatic. This includes the list of parameters (Measure Names) and pre-defined filters (to enter the conditions), which you can use for Formula calculation. To use a measure in a formula, double-click on the corresponding measure. If the measure has parameters associated with it, a pop-up window is displayed to accept the filter values for the seletced measure. You can view all the associated parameters of a measure using **View all Parameters**.
- **Operators**: This section includes the Plus, Minus, Multiply, Divide, and Bracket operators to perform the calculation.
- **KI Formula**: This the placeholder to define the formula.

6. Select the type of Measure from the **Select** drop-down list.

- Internal Source - Manual
- External Source - Manual
- Internal Source - Automatic
- External Source - Automatic

7. Double-click the Measure Name to add it to the Formula. Use Filters for the Measure, if applicable.

   **Note:** You can erase the defined measure values for Filter.

8. Use the required operators to frame the formula.
9. Click **Save**. A confirmation message is displayed: *Add Operation Successful.*
10. Click **OK**. Click **Back** to go back to the Key Indicator Library Details page to view the Formula.

### *Creating Measures*

The seeded measures are populated in the measure list of Measure and Formula page.

To create the manual measures, follow the steps given below:

1. Enter the values in following columns of DIM_KI_MEASURE table (available in atomic schema):

**Table 69. Columns of DIM_KI_MEASURE table**

| Column | Description |
|---|---|
| N_MEASURE_KEY | This is the primary key. Enter a unique key number. |
| V_MEASURE_CODE | Enter the measure code. This should be same as of N_MEASURE_KEY. |
| V_MEASURE_NAME | Allows you to enter the name of measure which is not available in existing list. For example, number of customers, number or complaints and so on. You can enter a maximum 300 characters in this column. |
| N_MEASURE_TYPE | Enter the type of measure. The type is entered as Number as you have defined it for status. Following are the types of measure<br>● 1 - Internal Source - (Automated)<br>● 2 - External Source - (Automated)<br>● 3 - Internal Source - (Manual)<br>● 4 - External Source - (Manual) |
| N_MEASURE_STATUS | Enter the status of measure as 1 (active) or 2 (Inactive). Only active measures will be displayed in measure list of Measure and Formula page. |
| N_ENTITY_KEY | Enter the entity key value. For example, if you want to create a measure based on Risk module, enter the entity value of that module in this field. The Entity Key values are available in SETUP_COMPONENTS table. |
| N_APP_KEY | Enter the name of application. Following are the values for Application key:<br>● 1 - Operational Risk<br>● 3 - Governance compliance management<br>● 4 - Enterprise Risk Assessment<br>The Application Key values are available in DIM_APP_INFO table. |

2. DIM_KI_MEASURE_MLS table is used to store the names of the measure in different languages as available or installed. Enter the values in following fields of DIM_KI_MEASURE_MLS table:

**Table 70. Columns of DIM_KI_MEASURE_MLS table**

| Column | Description |
|---|---|
| N_MEASURE_KEY | This is the primary key. Enter the unique key number. This value should be same as defined in DIM_KI_MEASURE table. |
| V_MEASURE_NAME | Allows you to enter the name of measure which is not available in existing list. For example, number of customers, number or complaints and so on. This value should be same as defined in DIM_KI_MEASURE table. |
| DESCLOCALE | Enter the locale details of measure. For example, en_US and so on. |

3. After populating these values in table, the created measures (if status is active) will be displayed in KI screen when defining the formula.

### *Updating Measures in Formula*

To update a Formula, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click Key Indicator **ID**. The Key Indicator Library Details page is displayed.

3. Expand the **View more** section.
4. Under the Measure and Formula section, click **Edit**. The Measure and Formula page is enabled.
5. Edit the Formula as required.
6. Click **Save**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**.

**Note:** To delete a measure from the Formula, select the measure and press the **Delete**.

*List of Seeded Measures*

**Table 71. Measures for Risk**

| Measure | Description |
|---|---|
| Number of Risks | Total number of risks where status = Open |
| Number of High Risks | Total number of risks where status = Open and latest assessment rating = High |
| Number of Low Risks | Total number of risks where status = Open and latest assessment rating = Low |
| Number of Medium Risks | Total number of risks where status = Open and latest assessment rating = Medium |
| Number of Risks breaching threshold | Total number of risks where status = Open and Plausible Financial Impact as per the latest assessment is greater than the threshold defined in Financial Impact Scales |
| Number of Risks not assessed | Number of risks where status = Open and are not assessed for a period (time period filter condition will come from KI) |
| Number of SOX Risks | Number of risks where status = Open and SOX Risk ? = Yes |
| Number of Risks closed | Number of risks which were closed during a particular period (time period filter condition will come from KI) |
| Number of Controls | Total number of Controls where status = Open |
| Number of Effective Controls | Total number of Controls where status = Open and latest assessment rating = High |
| Number of Qualified Controls | Total number of Controls where status = Open and latest assessment rating = Low |
| Number of Ineffective Controls | Total number of Controls where status = Open and latest assessment rating = Medium |
| Number of Controls not assessed | Number of Controls where status = Open and are not assessed for a period (time period filter condition will come from KI) |
| Number of SOX Controls | Number of Controls where status = Open and SOX Control ? = Yes |
| Number of Controls closed | Number of Controls which were closed during a particular period (time period filter condition will come from KI) |
| Number of Controls attested | Number of control where status = Open and the control is attested during a particular period (time period filter condition will come from KI) |
| Number of Risks with Plausible Financial Impact more than x amount | Number of risks where status = Open and Plausible Financial Impact as per the latest assessment is greater than X. 'X' should be configurable as part of measure definition. |
| Number of Risks with Worst Case Financial Impact more than x amount | Number of risks where status = Open and Plausible Financial Impact as per the latest assessment is greater than X. 'X' should be configurable as part of measure definition. |
| Number of Controls with Cost more than x amount | Number of controls where status = Open and Cost is greater than X. 'X' should be configurable as part of measure definition. |

**Table 71. Measures for Risk**

| Measure | Description |
|---|---|
| Number of Risks where Gross Loss is more than X amount | Number of risks where status = Open and sum of gross loss of all the linked Internla Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Risks where Net Loss is more than X amount | Number of risks where status = Open and sum of Net Loss of all the linked Internla Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Controls where Gross Loss is more than X amount | Number of Controls where status = Open and sum of gross loss of all the linked Internla Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Controls where Net Loss is more than X amount | Number of Controls where status = Open and sum of Net Loss of all the linked Internla Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Risks impacting more than X Business Lines | Number of library risks where status = Open and number of Applicable Business Units is greater than X. 'X' should be configurable as part of measure definition. |
| Number of Controls impacting more than X Business Lines | Number of library controls where status = Open and number of Applicable Business Unit is greater than X. 'X' should be configurable as part of measure definition. |
| Number of Risks with KI breaches | Number of risks where status = Open and the latest rating for linked KI = Red for a period. Time period filter condition will come from KI. Based on the time period condition, only KI rated during that period should be considered. |
| Number of Risks with Scenario Impacts more than X amount | Number of risks where status = Open and in the latest assessment of the linked Scenario, Total Financial Impact is greater than X amount for a period. Time period filter condition will come from KI. Based on the time period condition, only Scenarios assessed during that period should be considered. |
| Number of Compliance Risks | Number of risks where status = Open and at least one regulation is likned to the Risk. |
| Number of Risk Assessments Challenged | Number of risks where status = Open and the assessment is challenged (challenge in any status) in time period. Time period filter will come from KI. |
| Number of Control Assessments Challenged | Number of controls where status = Open and the assessment is challenged (challenge in any status) in time period. Time period filter will come from KI. |

**Table 72. Measures for Processes**

| Measure | Description |
|---|---|
| Number of Processes | Total number of Processes where status = Open |
| Number of 'High' Risk Processes | Total number of Processes where status = Open and latest Overall Risk Assessment rating = High |
| Number of 'Low' Risk Processes | Total number of Processes where status = Open and latest Overall Risk Assessment rating = Low |
| Number of 'Medium' Risk Processes | Total number of Processes where status = Open and latest Overall Risk Assessment rating = Medium |
| Number of Attested Processes | Total number of Processes where status = Open where 'Requires Attestation' = 'Yes'. |
| Number of Critical Processes | Total number of Processes where status = Open where 'Critical' = 'Yes'. |
| Number of Processes with High Cost of Controls | Number of Processes where Status = Open, the Linked Controls Status = Open and Control Cost of the linked Controls is more than 'X'. 'X' should be configurable as part of measure definition. |
| Number of Processes where Gross Loss is more than X amount | Number of Processes where status = Open and sum of gross loss of all the linked Internal Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Processes where Net Loss is more than X amount | Number of Processes where status = Open and sum of Net Loss of all the linked Internal Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |

**Table 73. Measures for Compliance**

| Measure | Description |
|---|---|
| Number of Policies | Total number of Regulations/Policies where status = Open and Type = 'Policy'. |
| Number of Regulations | Total number of Regulations/Policies where status = Open and Type = 'Regulations'. |

**Table 73. Measures for Compliance**

| Measure | Description |
|---|---|
| Regulations/Policies which are effective between time period | Number of Regulations/Policies where status = Open and which are effective from 'X' date to 'Y' date. 'X' and 'Y' should be configurable |
| Number of Compliant Regulations | All the Regulations/Policies whose status = Open and Type = 'Regulation' and latest assessment rating is 'Compliant'. |
| Number of Partially Compliant Regulations | All the Regulations/Policies whose status = Open and Type = 'Regulation' and latest assessment rating is 'Partially Compliant'. |
| Number of Non-Compliant Regulations | All the Regulations/Policies whose status = Open and Type = 'Regulation' and latest assessment rating is 'Non-Compliant'. |
| Number of Policies which are Compliant | All the Regulations/Policies whose status = Open and Type = 'Policy' and latest assessment rating is 'Compliant'. |
| Number of Partially Compliant Policies | All the Regulations/Policies whose status = Open and Type = 'Policy' and latest assessment rating is 'Partially Compliant'. |
| Number of Non- Compliant Policies | All the Regulations/Policies whose status = Open and Type = 'Policy' and latest assessment rating is 'Non-Compliant'. |
| Number of Obligations | Total number of Obligations where status = Open. |
| Number of Compliant Obligations | All the Obligations whose status = Open and latest assessment rating is 'Compliant'. |
| Number of Partially Compliant Obligations | All the Obligations whose status = Open and latest assessment rating is 'Partially Compliant'. |
| Number of Non- Compliant Obligations | All the Obligations whose status = Open and latest assessment rating is 'Non-Compliant'. |

**Table 73. Measures for Compliance**

| Measure | Description |
|---|---|
| Number of Obligations where Gross Loss is more than X amount | Number of Obligations where status = Open and sum of gross loss of all the linked Internal Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Obligations where Net Loss is more than X amount | Number of Obligations where status = Open and sum of Net Loss of all the linked Internal Incidents is greater than X for a given period of time. 'X' should be configurable as part of measure definition. Time period filter condition will come from KI. Based on the time period condition, only incidents with identification date in the time period should be considered. |
| Number of Compliance Plans | For the selected KBD, Total number of Compliance Plans where status = Open. |
| Number of Attested Compliance Plans | For the selected KBD, Total number of Compliance Plans where status = Open and Requires Attestation = 'Yes'. |

**Table 74. Measures for Incidents**

| Measure | Description |
|---|---|
| Number of Incidents | Number of Incidents in all statuses other than closed |
| Number of Compliance Incidents | Number of Compliance Incidents in all statuses other than Closed |
| Number of Legal Incidents | Number of Legal Incidents in all statuses other than Closed |
| Number of Confidential Incidents | Number of Confidential Incidents in all statuses other than Closed |
| Number of Incidents logged by guest users | Number of Incidents which are captured by guest users and in all statuses other than closed |
| Number Incidents identified in the past 1 year | Number of Incidents in all statuses other than closed identified in the past 1 year from the current date |

**Table 74. Measures for Incidents**

| Measure | Description |
|---|---|
| Number Incidents occurred in the past 1 year | Number of Incidents in all statuses other than closed Occurred in the past 1 year from the current date. Refer to Occurrence start date |
| Number of Incidents which are Operational Risk | Number of Incidents in all statuses other than closed, which are from Operational Risk |
| Number of Incidents which are Operational Risk/Credit Risk | Number of Incidents in all statuses other than closed, which are from Credit Risk related Operational Risk |
| Number of Incidents which are Operational Risk/Market Risk | Number of Incidents in all statuses other than closed, which are from Market Risk related Operational Risk |
| Number of Incidents impacting multiple Business Units | Number of Incidents in all statuses other than closed, where the Impacted Business unit is other than the primary Business line and Location captured in Incident Details. Refer Impacted Businesses grid in Incident Details. |
| Number of Incidents where there is more than one cause | Number of Incidents in all statuses other than closed, where the causes are more than 1 including the primary cause |
| Number of Incidents having Bulk Losses | Number of Incidents in all statuses other than closed-where in any one of the Impacts from Actual loss is "Bulk Loss" |
| Number of Incidents which are due to Control Failure | Number of Incidents in all statuses other than closed which are associated with Controls |
| Number of Incidents requiring Action Creation | Numbers of Incidents in all statuses other than closed for which Actions are created |
| Number of Incidents where the Gross Loss is greater than XXXX amount | Numbers of Incidents in all statuses other than closed where the Gross loss is greater than the specified amount |
| Number of Incidents where the Net Loss is greater than XXXX amount | Numbers of Incidents in all statuses other than closed where the net loss is greater than the specified amount |
| Number of Incidents where the Gross Loss is greater than the Potential Finacial Impact | Numbers of Incidents in all statuses other than closed where the Gross loss is greater than the potential Financial Impact |
| Number of Incidents which are recovered from Insurance cover | Numbers of Incidents in all statuses other than closed where any one of the Impact type which is recovery is of recovery type "Insurance" |
| Number of Incidents which did not have Insurance Cover | Numbers of Incidents in all statuses other than closed where none of the Impact type is of recovery type "Insurance" |
| Number of Incidents where the Risks are rated as High | Numbers of Incidents in all statuses other than closed where the linked Risks are rated High as per the latest submitted assessment |
| Number of Incidents where associated Controls are Ineffective | Numbers of Incidents in all statuses other than closed where the linked Controls are rated Ineffective as per the latest submitted assessment |

**Table 74. Measures for Incidents**

| Measure | Description |
|---|---|
| Number of Incidents where associated Key Indicatore are in Red Zone | Numbers of Incidents in all statuses other than closed where the linked Controls are rated Ineffective as per the latest submitted assessment |
| Number of Incidents which are Linked to Obligations which are rated as Non Compliant | Number of Incidents in all statuses other than closed which are Linked to Obligations which are rated as Non Compliant as per the latest submitted assessment |
| Number of Incidents which are due to Change Initiatives | Number of Incidents in all statuses other than closed which are associated to Change Initiatives |
| Number of Incidents with Scenario Impacts more than X amount | Number of Incidents in all statuses other than closed where the latest assessment of the linked Scenario, Total Financial Impact is greater than X amount for a period. Time period filter condition will come from KI. Based on the time period condition, only Scenarios assessed during that period should be considered. |
| Total Gross Loss for the BU | Total Amount of Gross Loss for a BU in base currency |
| Total Net Losses for the BU | Total Amount of net Loss for a BU in base currency |
| Total Recoveries for the BU | Total Amount of recoveries for a BU in base currency |
| Total Recoveries from Insurances | Total Amount of recoveries where the recovery type is Insurance for a BU in base currency |
| Number of Internal Fraud Incidents | Number of Incidents in all statuses other than closed where the RET is Internal Fraud or its child nodes |
| Number of External Fraud Incidents | Number of Incidents in all statuses other than closed where the RET is External Fraud or its child nodes |

**Table 75. Measures for Change Intiatives**

| Measures | Description |
|---|---|
| Number of Change Initiatives completed in past 1 year | Number of Change Initiatives completed in past 1 year where the status of the CI has changed to completed in past 1 year from the current date |
| Number of Change Initiatives Started in past 1 year | Number of Change Initiatives Started in past 1 year where the CI has been created in past 1 year from the current date |
| Number of Change initiatives which are High DRA | Number of Change initiatives where the Change Impact of any of the Risks is rated as High Impact in the latest assessment |
| Number of Change initiatives which are Medium DRA | Number of Change initiatives where the Change Impact of any of the Risks is rated as Medium Impact in the latest assessment |
| Number of Change initiatives which are Low DRA | Number of Change initiatives where the Change Impact of any of the Risks is rated as Low Impact in the latest assessment |
| Number of Change Initiatives which are Closed | Number of Change Initiatives which are in Closed status i.e. force closed |

**Table 75. Measures for Change Intiatives**

| Measures | Description |
|---|---|
| Number of Change Initiatives which are completed within Time | Number of Change Initiatives where the status of the Change initiative is changed to completed with the Target Completion date in all statuses other than closed |
| Number of Change Initiatives which are completed after the Target date | Number of Change Initiatives where the status of the Change initiative is changed to completed after the Target Completion date in all statuses other than closed |
| Number of Change Initiatives which exceeds the estimated costs | Number of Change Initiatives where the actual costs exceeds the estimated costs, in all statuses other than closed |
| Number of Change Initiatives which are within the estimated costs | Number of Change Initiatives where the actual costs is less than or equal to the estimated costs, in all statuses other than closed |
| Number of Change Initiative where the Controls Linked to it are rated as Requires Improvement | Number of Change Initiative where the Controls Linked to it are rated as Requires Improvement, in all statuses other than closed |
| Number of Change Intiatives which are High materiality | Number of Change Intiatives which are rated as High materiality in all statuses other than Draft and Closed |
| Number of Change Intiatives which are medium materiality | Number of Change Intiatives which are rated as Medium materiality in all statuses other than Draft and Closed |
| Number of Change Intiatives which are low materiality | Number of Change Intiatives which are rated as Low materiality in all statuses other than Draft and Closed |
| Number of Change Intiatives having Issues | Number of Change Intiatives having Issues in all statuses other than Draft and Closed |
| Number of Change Intiatives having Actions | Number of Change Intiatives having Actions in all statuses other than Draft and Closed |
| Number of Change Intiatives due to Regulations | Number of Change Intiatives which are linked to regulations, in all statuses other than Draft and Closed |
| Total Number of Change Intiatives | Total Number of Change Intiatives in all statuses |
| Total Number of Completed Change Intiatives | Total Number of Change Intiatives which are in completed status |
| Total Number of Ongoing Change Intiatives | Total Number of Change Intiatives which are in Open status |
| Total Number of Change Intiatives where the estimated Costs is greater than X amount | Numbers of Change Intiatives in all statuses other than draft and closed where the estimated Cost is greater than the specified amount |
| Total Number of Change Intiatives where the Actual Costs is greater than X amount | Numbers of Change Intiatives in all statuses other than draft and closed where the actual Cost is greater than the specified amount |

**Table 75. Measures for Change Intiatives**

| Measures | Description |
|---|---|
| Number of Change Intitiatives requiring PIRR | Number of Change Intitiatives requiring PIRR in all statuses other than draft and closed |
| Number of Change Initiatives which are rejected by any one of the approvers | Number of Change Initiatives which are rejected by any one of the approvers, in all statuses other than draft and closed |

**Table 76. Measures for BCP**

| Measure | Description |
|---|---|
| Number of BCPs which are active | Number of BCPs in all statuses other than Draft and Closed |
| Total Number of BCPs | Total Number of BCPs |
| Number of BCPs where Maximum Tolerable Disruption Period is X period | Number of BCPs where Maximum Tolerable Disruption Period is X period, in all statuses other than Draft and Closed |
| Number of BCPs where BRP is Good | Number of BCPs where BRP is Good, in all statuses other than Draft and Closed |
| Number of BCPs where BRP is Medium | Number of BCPs where BRP is Medium in all statuses other than Draft and Closed |
| Number of BCPs where BRP is Poor | Number of BCPs where BRP is Low in all statuses other than Draft and Closed |
| Number of BCPs where Overall Assessment is Good | Number of BCPs where Overall Assessment is Good, in all statuses other than Draft and Closed |
| Number of BCPs where Overall Assessment is Medium | Number of BCPs where Overall Assessment is Medium in all statuses other than Draft and Closed |
| Number of BCPs where Overall Assessment is Poor | Number of BCPs where Overall Assessment is Low in all statuses other than Draft and Closed |
| Business Continuity Plans which are linked to Risks | Number of BCPs which are linked to Risks, in all statuses other than Draft and Closed |
| Business Continuity Plans which are linked to Risks which are rated High | Number of BCPs which are linked to Risks which are rated High in Latest submitted assessment, in all statuses other than Draft and Closed |
| Business Continuity Plans which are covered with Insurance Policy | Business Continuity Plans which are linked to Insurance Policy in all statuses other than Draft and Closed |
| Business Continuity Plans which are associated with Scenarios | Business Continuity Plans which are associated with Scenarios in all statuses other than Draft and Closed |
| Number of BCPs having Issues | Number of BCPs having Issues in all statuses other than Draft and Closed |
| Number of BCPs having Actions | Number of BCPs having Actions in all statuses other than Draft and Closed |

**Table 76. Measures for BCP**

| Measure | Description |
|---|---|
| Number of BCPs having more than X number of Dependencies | Number of BCPs having more than X number of Dependencies. X denotes the user entered number. in all statuses other than Draft and Closed |
| Number of BCPs having only 1 recovery Plan | Number of BCPs having only 1 recovery Plan, in all statuses other than Draft and Closed |
| Number of BCPs having Incidents in Past XX years | Number of BCPs having Incidents in Past XX years. XX is specified by the end user. BCP in all statuses other than draft and Closed |
| Number of BCPs having Incidents with Net Loss of XXXX Amount | Number of BCPs having Incidents with Net Loss of XXXX Amount. XXXX is specified by the end user. BCP in all statuses other than draft and Closed. The amount should be in USD. Currency conversion should be considered if the KI has a different Currency |

**Table 77. Measures for Information Libraries**

| Measure | Description |
|---|---|
| Number of Information Libraries | Total number of Information Libraries where status = Open |
| Information Libraries of type Financial Models | Total number of Information Libraries where status = Open and type = Financial Models |
| Information Libraries of type End User Computing | Total number of Information Libraries where status = Open and type = End User Computing |
| Information Libraries of type Internal IT systems | Total number of Information Libraries where status = Open and type = Internal IT systems |
| Information Libraries of type Peers | Total number of Information Libraries where status = Open and type = Peers |
| Information Libraries of type Regulatory Bodies | Total number of Information Libraries where status = Open and type = Regulatory Bodies |
| Information Libraries of type Vendors | Total number of Information Libraries where status = Open and type = Vendors |
| Information Libraries of type Applications | Total number of Information Libraries where status = Open and type = Applications |

**Table 77. Measures for Information Libraries**

| Measure | Description |
|---|---|
| Information Libraries of type Projects | Total number of Information Libraries where status = Open and type = Projects |
| Information Libraries of type Risk Drivers | Total number of Information Libraries where status = Open and type = Risk Drivers |
| Information Libraries of type Miscellaneous | Total number of Information Libraries where status = Open and type = Miscellaneous |
| Number of Information Libraries audited | Number of Information Libraries whose Audit Assessment status = Submitted. |
| Number of Information Libraries with High Risks | Number of Information Libraries where status = Open & which are linked to Risks whose lastest Inherent Risk Rating = High |
| Number of Information Libraries with Medium Risks | Number of Information Libraries where status = Open & which are linked to Risks whose lastest Inherent Risk Rating = Medium |
| Number of Information Libraries with Low Risks | Number of Information Libraries where status = Open & which are linked to Risks whose lastest Inherent Risk Rating = Low |
| Number of Information Libraries with Effective Controls | Number of Information Libraries where status = Open & which are linked to Risks whose lastest Overall Control Rating = Effective |
| Number of Information Libraries with Qualified Controls | Number of Information Libraries where status = Open & which are linked to Risks whose lastest Overall Control Rating = Qualified |
| Number of Information Libraries with Ineffective Controls | Number of Information Libraries where status = Open & which are linked to Risks whose lastest Overall Control Rating = Ineffective |
| Number of Information Libraries with BCPs | Number of Information Libraries where status = Open & which are linked to BCPs |

**Table 77. Measures for Information Libraries**

| Measure | Description |
|---|---|
| Number of Information Libraries rejected | Number of Information libraries which were rejected (status = Rejected). |
| Number of Information Libraries closed | Number of Information libraries which were closed (status = Closed) |
| Number of Information Libraries with Scenarios | Number of Information Libraries where status = Open & which are linked to Scenarios |

**Table 78. Measures for Insurance**

| Measure | Description |
|---|---|
| Number of Insurance Policies | Total number of Insurance policies where status = Open |
| Number of Fidelity Guarantee Insurance Policies | Total number of Insurance Policies where status = Open & Type = Fidelity Guarantee Insurance |
| Number of Third Party Liablility Insurance Policies | Total number of Insurance Policies where status = Open & Type = Third Party Liability |
| Number of Products Lialibility Insurance Policies | Total number of Insurance Policies where status = Open & Type = Products Lialibility Insurance |
| Number of Professional Indemnity Insurance Policies | Total number of Insurance Policies where status = Open & Type = Professional Indemnity Insurance |
| Number of Machinery Breakdown Insurance Policies | Total number of Insurance Policies where status = Open & Type = Machinery Breakdown Insurance |
| Number of Bankers Blanket Insurance Policies | Total number of Insurance Policies where status = Open & Type = Bankers Blanket Insurance |
| Number of Directors and Officers Liability Insurance Policies | Total number of Insurance Policies where status = Open & Type = Directors and Officers Liability Insurance |
| Number of Fire Insurance Policies | Total number of Insurance Policies where status = Open & Type = Fire Insurance |

**Table 78. Measures for Insurance**

| Measure | Description |
|---|---|
| Number of Workmen's Compensation Insurance Policies | Total number of Insurance Policies where status = Open & Type = Workmen's Compensation Insurance |
| Number of Insurance Policies expired | Total number of Insurance Policies where status = Closed |
| Number of Insurance Policies renewed | Total number of Insurance Policies which were renewed |
| Insurance Policies where Cover Amount is between X and Y | Total number of all the Insurance Policies in Open status where Cover Amount falls in the specified range. X & Y should be configurable at Measure level. |
| Insurance Policies where Premium Amount is between X and Y | Total number of all the Insurance Policies where Premium Amount falls in the specified range. X & Y should be configurable at Measure level. |
| Total Cover Amount | Sum of the cover amounts of all the Insurance Policies in Open status. |
| Total Premium Amount | Sum of Premium amounts of all the Insurance Policies in Open status. |
| Number of Policy Issuers | Count of total number of Issuers of Insurance Policies in Open status. |
| Number of Policy Brokers | Count of total number of Brokers of Insurance Policies in Open status. |
| Total Number of Claims | Total number of claims linked to the Insurance policies in Open status |
| Total Claimed Amount | Sum total of the Claim Amount of all the Claims linked to Open status Insurance Policies |
| Total Recovered Amount | Sum total of the Recovered Amount of all the Claims linked to Open status Insurance Policies |
| Number of Insurance Policies for Risks | Total number of Insurance Policies in Open status & linked to Risks |
| Number of Insurance Policies for Scenarios | Total number of Insurance Policies in Open status & linked to Senarios |
| Number of Insurance Policies for Business Continuity Plans | Total number of Insurance Policies in Open status & linked to Business Continuity Plans |

**Table 79. Measures for Issues and Actions**

| Measure | Description |
|---|---|
| Total Open Issues | Total number of Issues where status = Open. System generated Issues to be ignored. |
| Total Number of Issues | Total number of Issues where status = Open |
| Total Open Actions | Total number of Actions where status = Open. System generated Issues to be ignored. |
| Total Number of Actions | Total number of Actions where status = Open |
| Number of High Priority Issues | Total number of Issues in Open status where Priority = High. System generated Issues to be ignored. |
| Number of Medium Priority Issues | Total number of Issues in Open status where Priority = Medium. System generated Issues to be ignored. |
| Number of Low Priority Issues | Total number of Issues in Open status where Priority = Low. System generated Issues to be ignored. |
| Number of High Criticality Issues | Total number of Issues in Open status where Criticality = High. System generated Issues to be ignored. |
| Number of Medium Criticality Issues | Total number of Issues in Open status where Criticality = Medium. System generated Issues to be ignored. |
| Number of Low Criticality Issues | Total number of Issues in Open status where Criticality = Low. System generated Issues to be ignored. |
| Number of External Category Issues | Total number of Issues in Open status where Category = External. System generated Issues to be ignored. |
| Number of Design Deficiency Issues | Total number of Issues in Open status where Category = Design Deficiency. System generated Issues to be ignored. |
| Number of Human Resource Issues | Total number of Issues in Open status where Category = Human Resource. System generated Issues to be ignored. |
| Number of Finance Issues | Total number of Issues in Open status where Category = Finance. System generated Issues to be ignored. |
| Number of Administration Issues | Total number of Issues in Open status where Category = Administration. System generated Issues to be ignored. |
| Number of Security Issues | Total number of Issues in Open status where Category = Security. System generated Issues to be ignored. |
| Number of Non-Compliance Issues | Total number of Issues in Open status where Category = Non- Compliance. System generated Issues to be ignored. |
| Number of Issues for Risks | Total number of Issues in Open status created and linked to Risks. System generated Issues to be ignored. |

**Table 79. Measures for Issues and Actions**

| Measure | Description |
|---|---|
| Number of Issues for Controls | Total number of Issues in Open status created and linked to Controls. System generated Issues to be ignored. |
| Number of Issues for Incidents | Total number of Issues in Open status created and linked to Incidents. System generated Issues to be ignored. |
| Number of Issues for Compliance Plans | Total number of Issues in Open status created and linked to Compliance Plans. System generated Issues to be ignored. |
| Number of Issues for Obligations | Total number of Issues in Open status created and linked to Obligations. System generated Issues to be ignored. |
| Number of Issues for Change Management | Total number of Issues in Open status created and linked to Change Management. System generated Issues to be ignored. |
| Number of Issues for Business Continuity Plans | Total number of Issues in Open status created and linked to Business Continuity Plans. System generated Issues to be ignored. |
| Number of Issues for Scenarios | Total number of Issues in Open status created and linked to Scenarios. System generated Issues to be ignored. |
| Number of Audit Issues | Total number of Issues where Component = Audit Tasks and Audit Assessments. System generated Issues to be ignored. |
| Number of Issues for Audit Tasks | Total number of Issues in Open status and linked to Audit Tasks. System generated Issues to be ignored. |
| Number of Issues for Audit Assessments | Total number of Issues in Open status and linked to Audit Assessments. System generated Issues to be ignored. |
| Number of re-opened issues | Total number of re-opened. System generated Issues to be ignored. |
| Number of closed issues | Total number of closed Issues (Status = Closed). System generated Issues to be ignored. |
| Issues where Action Cost is between X and Y | Total number of all the Issues in Open status where Action Cost falls in the specified range. X & Y should be configurable at Measure level. System generated Issues to be ignored. |

**Table 79. Measures for Issues and Actions**

| Measure | Description |
|---|---|
| Issues where Actual Cost is between X and Y | Total number of all the Issues in Open status where Actual Cost falls in the specified range. X & Y should be configurable at Measure level. System generated Issues to be ignored. |
| Total Cost of all Issues | Sum total of Actual Cost of all the Issues in Open status. System generated Issues to be ignored. |
| Number of High Criticality Actions | Total number of Actions in Open status where Criticality = High |
| Number of Medium Criticality Actions | Total number of Actions in Open status where Criticality = Medium |
| Number of Low Criticality Actions | Total number of Actions in Open status where Criticality = Low |
| Number of Actions for Risks | Total number of Actions in Open status and linked to Risks |
| Number of Actions for Controls | Total number of Actions in Open status and linked to Controls |
| Number of Actions for Incidents | Total number of Actions in Open status and linked to Incidents |
| Number of Actions for Compliance Plans | Total number of Actions in Open status and linked to Compliance Plans |
| Number of Actions for Obligations | Total number of Actions in Open status and linked to Obligations |
| Number of Actions for Change Management | Total number of Actions in Open status and linked to Change Management |
| Number of Actions for Business Continuity Plans | Total number of Actions in Open status and linked to Business Continuity Plans |
| Number of Actions for Scenarios | Total number of Actions in Open status and linked to Scenarios |
| Number of Actions for Audit Tasks | Total number of Actions in Open status and linked to Audit Tasks |
| Number of Actions for Audit Assessments | Total number of Actions in Open status and linked to Audit Assessments |
| Number of re-opened Actions | Total number of re-opened Actions |
| Number of closed Actions | Total number of closed Actions (Status = Closed) |
| Actions where Action Cost is between X and Y | Total number of all the Actions in Open status where Action Cost falls in the specified range. X & Y should be configurable at Measure level. |
| Actions where Progress is between X and Y | Total number of all the Actions in Open status where Progress falls in the specified range. X & Y should be configurable at Measure level. |

**Table 79. Measures for Issues and Actions**

| Measure | Description |
|---|---|
| Number of Overdue Issues | Total number of Issues in Open status where current date > Completion Date. |
| Number of Overdue Actions | Total number of Actions in Open status where current date > Completion Date. |

**Table 80. Measures for Audit**

| Measure | Description |
|---|---|
| Number of High Priority Audit Plans | Total number of Audit Plans which are in Open status & Priority = High |
| Number of Low Priority Audit Plans | Total number of Audit Plans which are in Open status & Priority = Low |
| Number of Medium Priority Audit Plans | Total number of Audit Plans which are in Open status & Priority = Medium |
| Number of Tasks | Total Number of Tasks in Open status |
| Number of Completed Tasks | Total Number of Tasks in Completed status |
| Number of Overdue Tasks | Total number of Tasks in Open status and whose End Date > Current Date |
| Number of Strong Audit Tasks | Total number of Audit Tasks (except Completed status) whose Rating = Strong |
| Number of Fair Audit Tasks | Total number of Audit Tasks (except Completed status) whose Rating = Fair |
| Number of Satisfactory Audit Tasks | Total number of Audit Tasks (except Completed status) whose Rating = Satisfactory |
| Number of Unacceptable Audit Tasks | Total number of Audit Tasks (except Completed status) whose Rating = Unacceptable |
| Number of Audit Tasks created | Total number of Audit Tasks in Open status created |
| Number of Audit Risks | Total Number of Audit Assessments for the Risks attached as Workpapers |
| Number of Audit Controls | Total Number of Audit Assessments for the Controls attached as Workpapers |
| Number of Audit Incidents | Total Number of Audit Assessments for the Incidents attached as Workpapers |
| Number of Audit Processes | Total Number of Audit Assessments for the Processes attached as Workpapers |
| Number of Audit Compliance Plans | Total Number of Audit Assessments for the Compliance Plans attached as Workpapers |

**Table 80. Measures for Audit**

| Measure | Description |
|---|---|
| Number of Audit Obligations | Total Number of Audit Assessments for the Obligations attached as Workpapers |
| Number of Audit Information Libraries | Total Number of Audit Assessments for the Information Libraries attached as Workpapers |

**Table 81. Measures for Scenarios**

| Measure | Description |
|---|---|
| Scenarios with Financial Impact more than x and less than z | It should give the list of Such open status scenarios along with their latest assessments where Total Financial Impact >x && Total Financial Impact <z. x & z are configurable at Measures level |
| Scenarios with High Net Non Financial Impact | Open status Scenarios which have been rated as 'Net Non Finanncial Assessment = High' in their latest assessment. |
| Scenarios with Medium Net Non Financial Impact | Open status Scenarios which have been rated as 'Net Non Finanncial Assessment = Medium' in their latest assessment. |
| Scenarios with Low Net Non Financial Impact | Open status Scenarios which have been rated as 'Net Non Finanncial Assessment = Low' in their latest assessment. |
| Scenarios with Net Non financial Rating as NA | Open status Scenarios which have been rated as 'Net Non Finanncial Assessment = NA' in their latest assessment or which have not been rated. |
| Scenarios more than x Risks | Open status Scenarios linked to x no. of Risks. No. of Risks Linked > x. x should be configurable at Measure level |

### Managing Threshold Limits

This section enables the Key Indicator Identifier to define the thresholds for which the Key Indicator is being created. The thresholds can be defined for Numbers, Percentages, and Amounts as captured in the details. The values generated at each Business Unit as per the assessments/aggregations will compare the values against the thresholds defined here and generate a rating correspondingly.

**Note:** You must select a value in the Enterprise KI field.

This section covers the following topics:

- Adding Limits

- Editing Limits
- Deleting a Threshold Limit
- Viewing Rating Scale

### *Adding Limits*

To add a Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a **Key Indicator Library ID**. The KI Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Click **Define Limits**. A new row will be added with Lower Limit, Upper Limit and Score columns.

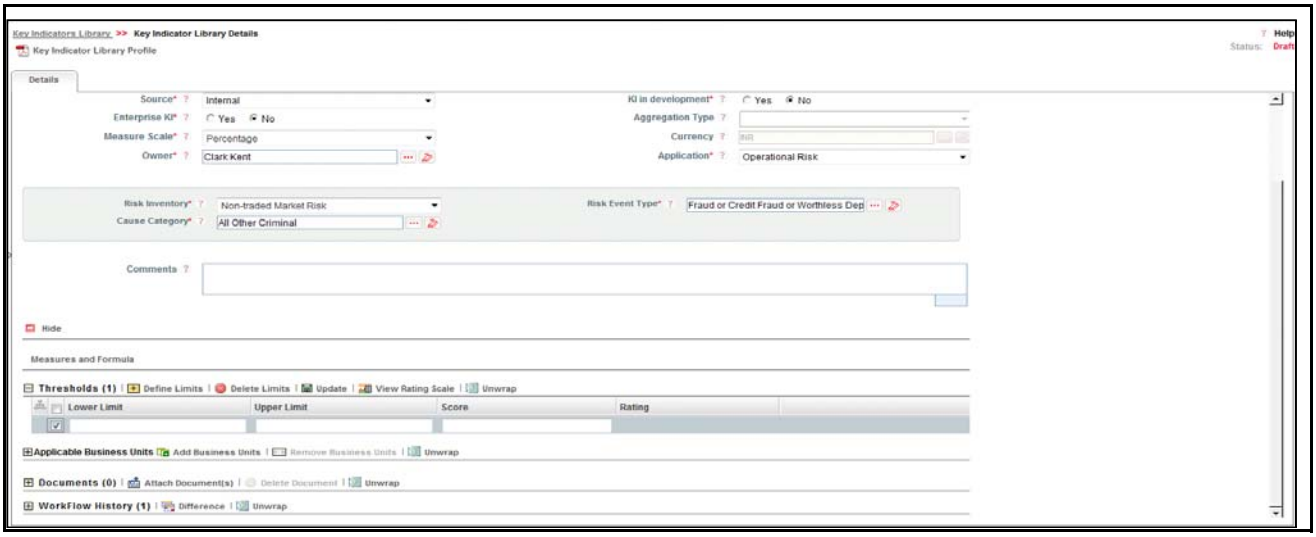



**Figure 152. Defining Threshold Limits**

**Note:** The Lower and Upper Limit columns accept only numeric inputs without decimals. You can enter a maximum of 15 digits. The Score field accepts the range (numeric values) as defined in KI Admin window.

5. After entering details, click **Update** to save the details. A confirmation message is displayed: *Update Operation Successful.*
6. Click **Ok**.

**Note:** If you are trying to submit a Key Indicator Library without defining the Threshold Limits, the following message is displayed: *Lower Limit, Upper Limit and Score are mandatory to save the Thresholds.* The Lower Limit should not be equal to the Upper Limit, or the following error message is displayed: *Overlapping ranges are not permitted.*

### *Editing Limits*

To edit the Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a **Key Indicator Library ID**. The KI Details page is displayed.

3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Select the limit using the corresponding check-box.
5. Edit the details as required and click **Update** to save the details.
6. A confirmation message is displayed: *Update Operation Successful.*
7. Click **OK**.

### *Deleting a Threshold Limit*

You can delete Threshold Limits which may not be applicable for the Enterprise KI. To delete a Threshold Limit, follow these steps:

1. Select a Key Indicator ID from the Key Indicator Library Search and List page. The Key Indicator Library Details page is displayed.
2. Select the required Threshold Limit. You can select more than one Threshold Limit at a time for deletion.
3. Click **Delete Limit**. The following confirmation 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**.

### *Viewing Rating Scale*

1. Select a Key Indicator ID from the Key Indicator Library Search and List page. The Key Indicator Library Details page is displayed.
2. Select the required Threshold Limit.
3. Click **View Rating Scale**. The Rating Scale window will display. This shows the relationship between the Rating and corresponding Score as defined in the Admin window.

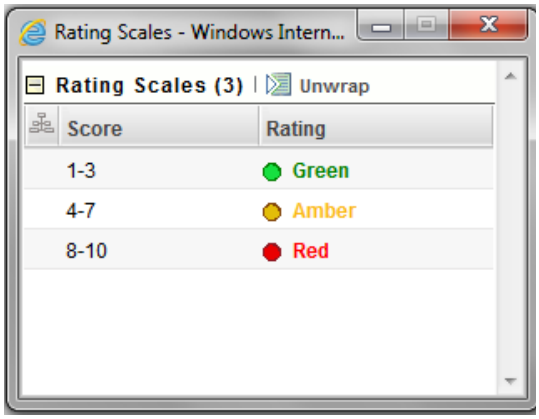



**Figure 153. Viewing Rating Scales**

## Localizing Business Units

This section enables the localization of the Key Indicator across all applicable business units to aggregate the values derived during assessment. If any other application is using this, the fields must be configured manually. This section also enables the KI Identifier to add Applicable Businesses for a Key Indicator. This also allows you to look at the latest values and ratings at each applicable Business Unit.

You can edit this section in both *Draft* and *Open* status.

**Note:** For a Non-Enterprise KI, this section will be different.

- **Localizing KI Library for Enterprise KI**- If the Enterprise KI is selected as Yes, the defined Formula and Threshold Limits will be applicable to the defined applicable Business Units of Enterprise.

  **Note:** The Formula and measures can not be edited at the respective business units if the Enterprise KI is set as Yes.

- **Localizing KI Library for Non Enterprise KI**- If the Enterprise KI is selected as No, the defined Formula and Threshold Limits will be applicable but are editable at the respective business units. If a new Business Unit is linked, then the formula and Threshold Limits will be applicable to the linked Business Unit.

The Applicable Businesses section allows you to identify the business line and location combination to which this Key Indicator is applicable. This creates Key Indicators in *Draft* status at the selected business line and location combination.

**Note:** The Applicable Business units can be added only when the Key Indicator's status is Draft or Open status.

Users mapped to the role of Key Indicator Identifier can localize Key Indicators to different Business Units (business line and location combinations), when the Key Indicator is in *Draft* or *Open* status.

To localize a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator Library ID. The KI Details page is displayed.
3. Expand the **View more** section. The Applicable Business Units section is displayed.
4. Click **Add Business Units**. The list of Applicable Businesses units is displayed.

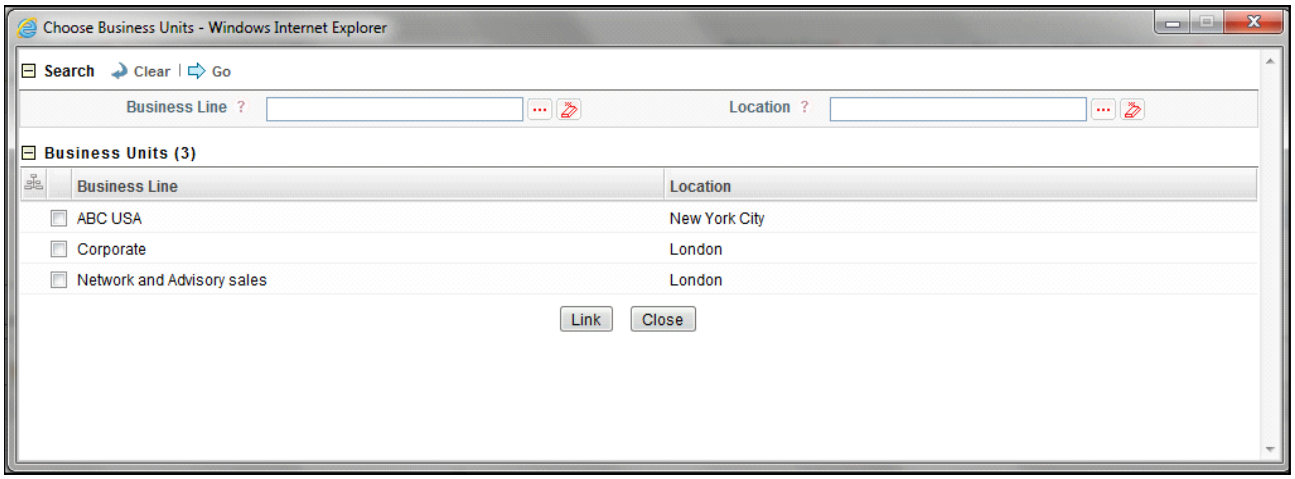



**Figure 154. Applicable Business Units**

5. The Applicable Business Units page is displayed which has a list of valid combination of Business Lines and Locations mapped to the user.
6. Select the required Business Line and Location combination and click **Link**.
7. Click **OK**. The following message is displayed: *Add Operation Successful.*
8. Click **OK**. The Choose Business Units page is displayed.
9. Click **Close**. The newly added Business Unit is listed under the Applicable Business Units section.

10. Select the linked Business Unit. The Key Indicators applicable for that Business Line and Location are listed under the Applicable Business Units section.

## Managing Aggregation Details

The Key Indicator Library Details page allows you to aggregate across applicable business units. This section is visible only if the Key Indicator at the library is defined as an Enterprise KI. Users mapped to the role of Key Indicator Identifier can aggregate details in *Open* status. To aggregate across business units, the Key Indicator at Library must be localized to at least one or more business unit.

There are following two ways to aggregate the values for all the applicable Business Units:

- Automatic Aggregation (Scheduled by Frequency)
- Manual Aggregation (Ad-hoc Aggregation)

To aggregate across business units, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator Library ID. The KI Details page is displayed.
3. Expand the **View more** section. The Aggregation Details section is displayed. The Aggregation Details section lists all the aggregations performed for the Key Indicator at the library.

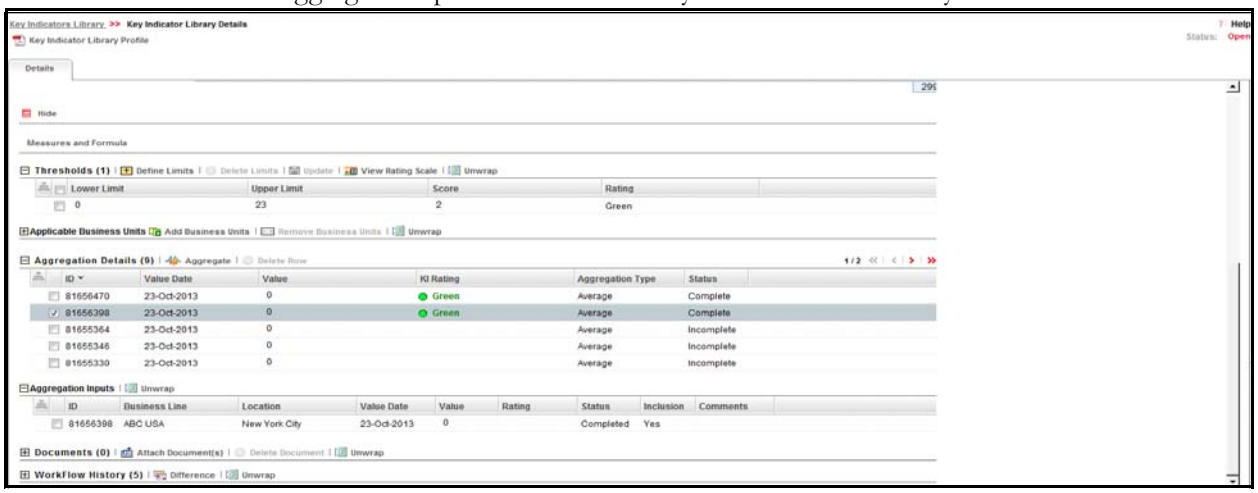



**Figure 155. Updating Aggregation Details**

4. Click **Aggregate**. The **Include Business Units for Aggregation** window is displayed.

**Note:** Before clicking **Aggregate** you should check that at least one Applicable Business Unit has been linked to the KI Library record, or the following message is displayed: *Please identify at least one applicable business unit prior to aggregation*. If the aggregation is automatic, you need to run the batch. Based on the batch run frequency and start date, the aggregation at library and KI metrics at business units will be automatically generated.

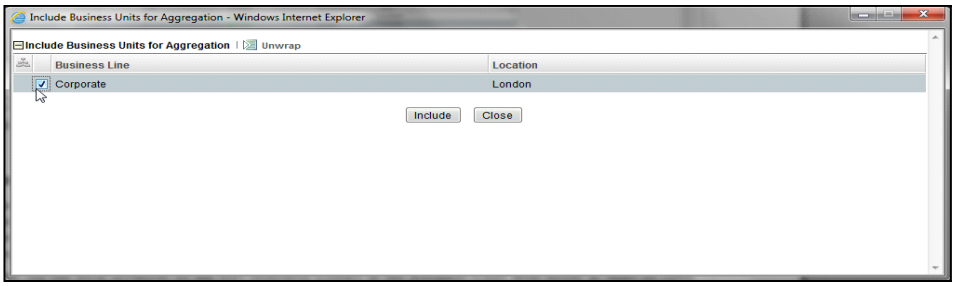



**Figure 156. Including Business Units for Aggregation**

5. Select the Business Line and Location combination. The aggregation will be performed only for the selected business units, which are included. Other applicable business units if available, will be ignored from aggrregation. Click **Include** to generate KI metrics at included business units for assessment.
6. Click **Close**. You will be directed back to the Key Indicator Library Details page.

## Closing Library Key Indicator

If the Key Indicator Library in Open status is no longer required, it can be closed. Users mapped to the role of Key Indicator Identifier can close Key Indicator Library records. You can close a Key Indicator Library either from Key Indicator Library Search and List page or from the Details page. Once the Key Indicator Library is closed, its status changes from Open to Closed.

**Note:** All local instances of the Key Indicator Library at the Business Units level in *Draft* or *Open* status should be closed, or the following message is displayed: *Close all Impacted Business Units to close Library level Key Indicator.*

To close a Key Indicator Library at repository, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Click a Key Indicator Library ID in Open status that you want to close. The Key Indicator Library Details page is displayed. From the Details page, click **Close Key Indicator**.

   Or:

   From the Key Indicator Library List, select the required Key Indicator Library ID in *Open* status that you want to close and click **Close Key Indicator**.

   The Close Key Indicator Library pop-up window is displayed.

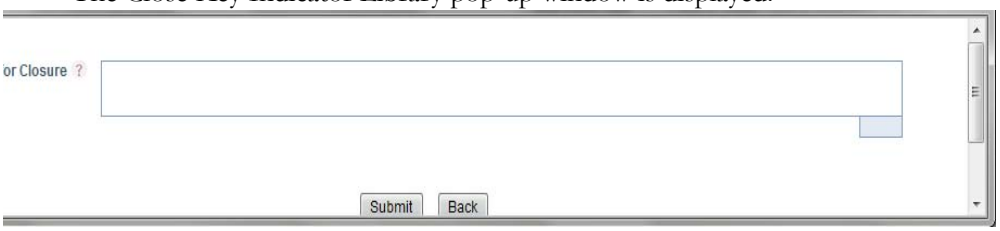



**Figure 157. Closing Key Indicator Library**

3. Enter the reason for closure. You can enter text up to 3000 characters.

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

   **Note:** If you click **Submit** without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure*

5. Click **Back** on the Close Key Indicator pop-up window. The system refreshes and displays the Key Indicator Library in *Closed* status either in the Key Indicator Library List or in Key Indicator Library Details page depending upon from where the closure was performed.

## Deleting Library Key Indicator

Key Indicators in Draft status which are not in use can be deleted. The Key Indicator Library Search and List page allows you to delete a Key Indicator record at the repository. Users mapped to the role of Key Indicator Identifier can delete a Key Indicator in Draft status.

To delete a Key Indicator at the repository, follow these steps:

1. Navigate to the Key Indicator Library Search and List page.
2. Select the Key Indicator Library ID you want to delete.
3. Click **Delete Key Indicator**. 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 Key Indicator is deleted and the updated Key Indicator Library Search and List page is displayed.

## Exporting Library Key Indicator List to Excel

Exporting the Key Indicators allows you to view a compiled list of all the Key Indicator Library records.

The Key Indicator Library Search and List page allows you to export the Key Indicator list into an Excel template. The Key Indicator Library details can be exported to a PDF for offline use.

For more details on Exporting Key Indicators, refer to *Chapter 3: General Features* General Features.

# Managing Key Indicators

This section provides details of the Key Indicators module in the Oracle Financial Services Operational Risk application and step-by-step instructions to use this module.

This chapter includes the following topics:

- About Key Indicators
- User Roles and Actions
- Tasks and Notifications
- Key Indicator Workflow
- Accessing Key Indicator Menu
- Searching Key Indicators
- Creating a Key Indicator
- Managing Key Indicator Details
- Reviewing Key Indicator
- Deleting Key Indicator
- Exporting Key Indicator List into Excel
- Viewing Internal Key Indicator Profile

## About Key Indicators

The Key Indicator Component gives the flexibility to capture Key Indicators which can either be Risk Indicators, Control Indicators, Performance Indicators or BEICF Indicators.

Key Indicators are metrics, often financial, which provide insight into a bank's or organization's risk position. These indicators are reviewed on a periodic basis to alert banks to changes that may be indicative of risk concerns. Such indicators may include the number of unsuccessful and failed trades, staff turnover rates and the frequency or severity of errors and omissions.

OFSOR Key Indicators module provides an early-warning system to identify potential costly operational hazards including fraud, legal and technology risks. The use of Key Indicators is one of the BIS (Bank of International Settelments) recommendations for sound Operational Risk Management, and thus an essential component of Basel II and Sarbanes-Oxley laws.

## User Roles and Actions

This section explains the different user roles and actions they can perform in the Key Indicator module of the OFSOR application. This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Key Indicator module of OFSOR:

- **Key Indicator Owner**: Users mapped to this role can add more details to the Key Indicator Definitions which are specific to the selected Business Unit. It is also possible to create a new Key Indicator for a Business Unit and map it to the Key Indicator at the library level. The Key Indicator Owner can also delete a Key Indicator which is in Draft status. The Key Indicator Owner can assign each Key Indicator to a Value Capturer and define the frequency at which Metrics will be generated and can close their respective Key Indicators.
- **Value Capturer**: Users mapped to this role monitor the Key Indicator records assigned and record the Metrics periodically against a specific date. A Value Capturer can also delete Metrics which are in *Draft* status. This user can create an Issue for the Key Indicator if the Metrics breaches the defined thresholds. This user provides the values for manual measures as applicable in a formula.
- **Reviewer:** This role is applicable only if activating the review process for Key Indicators in the Workflow Manager Component. If the Review Required field is set to Yes, then this user can review the Key Indicator Metrics updated by the Value Capturer. The reviwer can accept or reject the values provided by the Value Cpaturer and create an Issue for the Key Indicator if the Metrics breaches the defined thresholds.

### Actions

The Key Indicator records module allows users to perform the following actions:

- **Creating Key Indicator:** This action allows the user to create a new Key Indicator record. Users can link or delink the components, define the formulas, Threshold limits, and defining the KI Metrics, and attach or delete the documents before or after submitting the Key Indicator.
- **Editing Key Indicator:** This action allows the user to edit and update the Key Indicators in Draft or Review status.
- **Reviewing Key Indicator:** This action allows the user to review the key Indicators in Open status. The Key Owner reviews the Key Indicator and KI Reviewer accepts or rejects the KI Metrics (if the KI metrics are in Pending Approval status.)
- **Closing Key Indicator:** This action allows the user to close the Key Indicators in Open status.
- **Deleting Key Indicator:** This action allows the user to delete the Key Indicators in Draft Status.
- **Exporting Key Indicator:** This action allows the user to export the list of Key Indicator records. The Exported Key Indicator function allows the organization to have a compiled list of all applicable Key Indicator records.

**Table 82. User Roles mapped to corresponding Actions**

| Function | KI Status | Metrics Status | KI Identifier | KI Owner | Value Capturer | KI Reviewer |
|---|---|---|---|---|---|---|
| Create KI | New | | X | | | |
| Edit KI | Draft | | X | | | |
| | Open | | X | | | |
| Delete KI | Draft | | X | | | |
| Define Formula | Draft | | X | | | |
| | Open | | X | | | |
| Close KI | Open | | X | | | |
| Localize KI record | Open | | X | | | |
| Create KI at Business Unit | New | | | X | | |

**Table 82. User Roles mapped to corresponding Actions**

| Function | KI Status | Metrics Status | KI Identifier | KI Owner | Value Capturer | KI Reviewer |
|---|---|---|---|---|---|---|
| Edit KI at Business Unit | Draft | | | X | | |
| | In Review | | | X | | |
| Delete KI at Business Unit | Draft | | | X | | |
| Define Formula at Business Unit | Draft | | | X | | |
| | Open | | | X | | |
| Request In Review of KI | Open | | | X | | |
| Submit KI at Business Unit | In Review | | | X | | |
| Close KI at Business Unit | Open | | | X | | |
| Generate Metrics at Business Unit | Open | New | | | X | |
| Edit KI Metrics at Business Unit | Open | Draft | | | X | |
| | | Rejected | | | X | |
| Review KI Metrics | Open | Pending Approval | | | | X |
| Delete KI Metrics | Open | Draft | | | X | |
| Close Key Indicator at Business Unit | Open | | X | | | |
| Create Issues/Actions at Business Unit | Open | | | X | X | X |
| Link Issues/Actions at Business Unit | Open | | | X | X | |
| Add & Delete Documents (KI) | Draft | | X | | | |
| | Open | | X | | | |
| Add & Delete Documents (KI Local) | Draft | | | X | | |
| | Open | | | X | | |
| | In Review | | | X | | |

## Tasks and Notifications

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 all tasks and notifications that each user role will receive in their Inbox menu on performing a particular action.

**Table 83. Tasks and Notifications**

| Action Performed | Task/Notification | Task/Notification Description | Sent to | Status |
|---|---|---|---|---|
| On Submit, If user submitting the KI at Business Unit is different from the user captured as KI Owner. | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | Open |
| While Reviewing the KI, If the user who pushed the KI into In Review status is not the user captured as KI Owner. | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | In Review |
| On KI Metrics generation, if the value generated is out of the Thresholds range | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | Open |
| When KI Metrics is generated in Draft status | Task | Task should be sent to the user who is captured as 'Value Capturer' in the Key Indicator | Value Capturer | Open |
| When KI Metrics is generated in Pending Approval status | Task | Task should be sent to all the users mapped to the role of KI Reviewer for the selected KBD/Business Unit. | KI Reviewer | Open |
| When KI Metrics moves to Submitted status | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | Open |
| When KI Metrics is rejected by the KI Reviewer | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | Open |
| When KI Metrics is rejected by the KI Reviewer | Task | Task should be sent to the user who is captured as 'Value Capturer' in the Key Indicator | Value Capturer | Open |
| When KI at Business Unit is closed and If the user who closed is different from the KI owner captured | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | Closed |
| On metrics generation, if KI Rating = Amber | Notification | Notification should be sent to the user captured as Caution User for Key Indicators at respective Business Units. | Caution User | Open |
| On metrics generation, if KI Rating = Red | Notification | Notification should be sent to the user captured as Critical User for Key Indicators at respective Business Units. | Critical User | Open |
| On metrics generation, if KI Rating = Red | Notification | Notification should be sent to the user captured as KI Owner in the KI Libraries for the respective Business Unit KIs. | KI Owner | Open |

**Table 83. Tasks and Notifications**

| Action Performed | Task/Notification | Task/Notification Description | Sent to | Status |
|---|---|---|---|---|
| On metrics generation, if KI Rating = Red | Notification | Notification should be sent to the user captured as KI Owner for Key Indicators at respective Business Units. | KI Owner | Open |
| On metrics generation, if KI Rating = Red & Scenarios are linked | Notification | Notification should be sent to the user captured as 'Scenario Owner' for all the linked Scenarios | Scenario Owner | Open |
| On metrics generation, if KI Rating = Red & Risks are linked | Notification | Notification should be sent to the user captured as 'Risk Owner' for all the linked Risks | Risk Owner | Open |
| On metrics generation, if KI Rating = Red & Controls are linked | Notification | Notification should be sent to the user captured as 'Control Owner' for all the linked Controls | Control Owner | Open |
| On metrics generation, if KI Rating = Red | Notification | Notification should be sent to all the users with the role 'Business Risk Owner' for the selected KBD/Business Unit. | Business Risk Owner | Open |

## Key Indicator Workflow

The following figure describes the Key Indicator workflow:

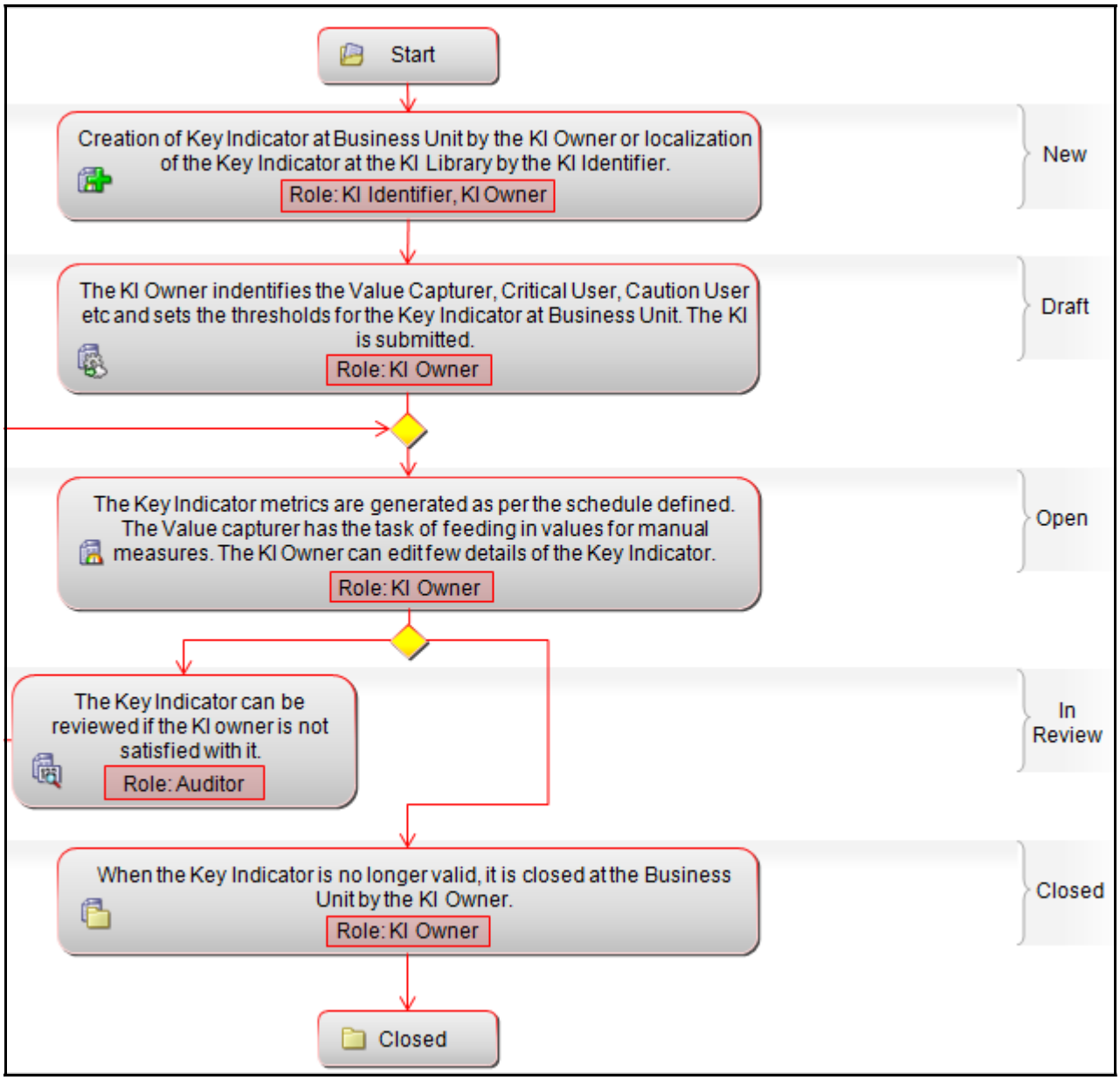



**Figure 158. Key Indicator Workflow**

## Accessing Key Indicator Menu

This section explains how to access the Key Indicators module in Oracle Financial Services Operational Risk application.

Users mapped to the role of Key Indicator Owner, Key Indicator Reviewer, or Value Capturer can access the Key Indicator module.

To access the Key Indicator, follow these steps:

1. Login to the OFSOR/GCM application. The OFSOR/GCM Home page is displayed.

2. Hover over the **Key Indicators** menu and click **Key Indicators.** The Key Indicators Search and List page displays.

## Searching Key Indicators

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

This section explains the following topics:

- Searching Key Indicators Using Basic Search
- Searching Key Indicator Using Advanced Search Criteria
- Searching Key Indicator Using Pre-defined Views

### Searching Key Indicators Using Basic Search

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

To search for a Key Indicator using Basic Search, follow these steps:

1. Navigate to the Key Indicator Search and List page.

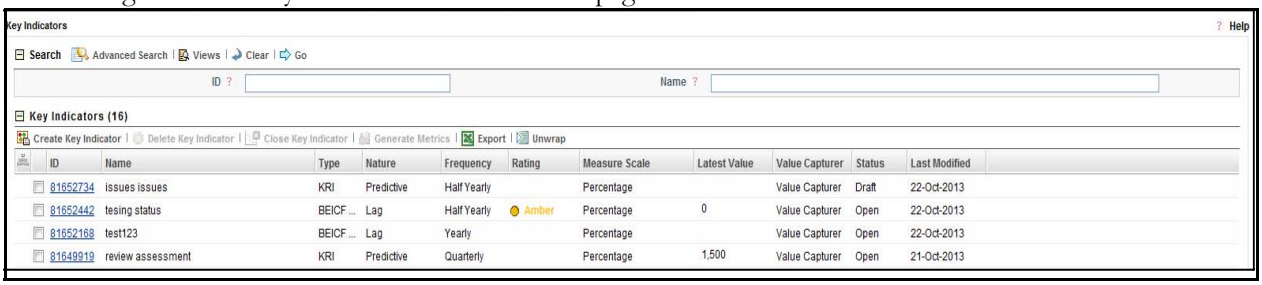



**Figure 159. Searching Key Indicator Using Basic Search**

**Note:** By default, the Key Indicator Search and List page displays all the Key Indicator records.

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

The following table provides a list of the search criteria that display in the Key Indicator Search section:

**Table 84. Basic Key Indicator Search Criteria**

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

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

**Note:** You can click **Clear** to reset the search fields.

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

### Searching Key Indicator Using Advanced Search Criteria

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 most of the Key Indicator details such as ID, Name, Status, and so on, then you can filter the Key Indicator using the Advanced Search criteria.To search for Key Indicators using Advanced Search, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields display.

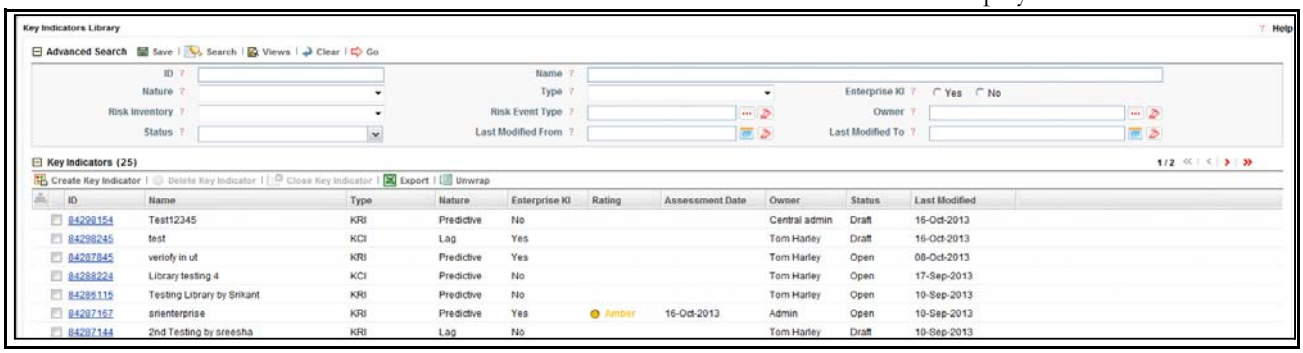



**Figure 160. Searching Key Indicators Using Advanced Search Criteria**

3. Enter the search criteria to filter the Key Indicator list.

   The following table provides a list of search criteria that displays in the Key Indicator Advanced Search section.

**Table 85. Advanced Key Indicator Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking Key Indicator number of the Key Indicator. This field allows you to enter a maximum of 8 numeric values. |
| Name | Enter the name of the Key Indicator. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Application | • Select the Application Name in which the Key Indicator is installed, from drop-down list.<br>• The following values are possible for Application drop-down list:<br>• OR/GCM<br>• Based on the selected Application name, additional fields will be displayed. If the Application Name is selected as **Operational Risk**, then Business Line and Location fields will be added.<br>• **Business Line:** Select the Business Line for which the Key Indicator has been localized, from the Hierarchy browser. For example, the Business Line can be Retail Banking, Corporate, and so on.<br>• **Location:** Select the Location for which the Key Indicator has been localized, from the Hierarchy browser. For example, the Location can be London, and so on. |

**Table 85. Advanced Key Indicator Search Criteria**

| Criteria | Description |
|---|---|
| Type | Select the category to which the Key Indicator belongs, from the drop-down list.<br>The following are the possible values for the Key Indicator Type drop-down list:<br>● **KRI**: The Key Risk Indicators are parameters that effectively measure the risks involved in a business procedure and activity and provides the firm with a prior notification of possible harmful consequences.<br>● **KCI**: The Key Control Indicators are used to define company-wide controls to monitor the achievement of the set objectives.<br>● **KPI**: A set of quantifiable measures that a company or industry uses to gauge or compare performance in terms of meeting their strategic and operational goals.<br>● **BEICF Indicator**: Business Environment and Internal Control Factors (BEICFs) are indicators of a bank's operational risk profile that reflect underlying business risk factors and an assessment of the effectiveness of the internal control environment. |
| Nature | Select the nature of the Key Indicator from drop-down list.<br>Following are the possible values for the Nature drop-down list:<br>● **Predictive**: when you can predict the impact of the Key Indicator for future.<br>● **Lag**: when the Key Indicator is based on past scenarios.<br>● **Current**: when the Key Indicator is based on the current conditions. |
| Frequency | Use the Frequency drop-down list to search Key Indicators with the selected Frequency.<br>Following are the possible values for the Frequency drop-down list:<br>● Yearly<br>● Half Yearly<br>● Quarterly<br>● Monthly<br>● Forthrightly<br>● Weekly<br>● Daily |
| Rating | Select a value from the drop-down list to filter the Key Indicator list by its assessment rating.<br>Following are the possible values for the Rating drop-down list:<br>● Green<br>● Amber<br>● Red |
| Measure Scale | Select the Measure Scale from the drop-down list to search the Key Indicators for specific Measure Scale.<br>Following are the possible values for the Measure Scale drop-down:<br>● Percentage<br>● Number<br>● Amount |

**Table 85. Advanced Key Indicator Search Criteria**

| Criteria | Description |
|---|---|
| Status | Select the Key Indicator status from the drop-down list.<br>Following are the possible values for the Status drop-down list:<br>● Select All<br>● Draft<br>● Closed<br>● Open<br>● In Review<br>You can select more than one option at a time from the drop-down list. |
| Last Modified From | Select the last modified date from the calendar to display Key Indicator records having a modified date greater than or equal to the specified date.<br>**Validations**:<br>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.* |
| Last Modified To | Select the last modified date from the calendar to display Key Indicator records having a modified date less than or equal to the specified date.<br>**Validations**:<br>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, refer to *Saving a Search*.

### Searching Key Indicator Using Pre-defined Views

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

To search for a Key Indicator using pre-defined views, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

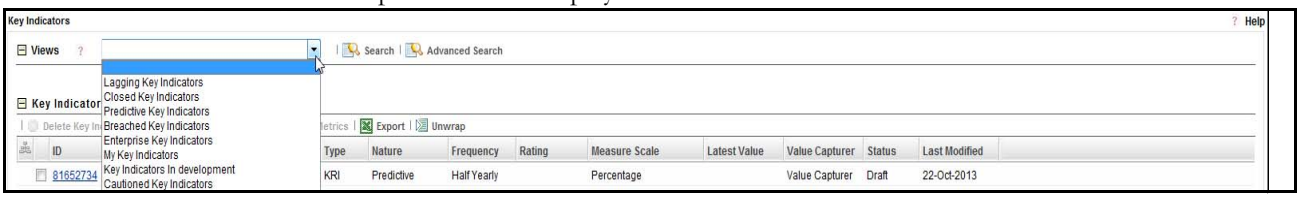



**Figure 161. Searching Key Indicators Using Views**

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

The following table explains the default types of pre-defined views available.

**Table 86. Key Indicator Views**

| View | Description |
|---|---|
| Lagging Key Indicators | Select *Lagging Key Indicators* from the Views drop-down list to display the Key Indicator records which are marked as Lag in nature. |
| Closed Key Indicators | Select *Closed Key Indicators* from the Views drop-down list to display the Key Indicator records which are in Closed status in descending order of the last modified date. |
| Predictive Key Indicators | Select *Predictive Key Indicators* from the Views drop-down list to display the Key Indicator records which are marked as Predictive in nature. |
| Breached Key Risk Indicators | Select *Breached Key Indicators* from View drop-down list to display Key Indicator records where the Rating is marked as Red and the Type is KRI. |
| Enterprise Key Indicators | Select *Enterprise Key Indicators* from the Views drop-down list to display Key Indicator records where the Enterprise Key Indicator is set as **Yes** in descending order of the last modified date. |
| My Key Indicators | Select *My Key Indicators* from the Views drop-down list to display the Key Indicator records for which the logged in user is the Owner in descending order of the last modified date. |
| Key Indicators in development | Displays Key Indicators which are in development (where the **KI in Development** field is set to Yes). |
| Cautioned Key Indicator | Select *Cautioned Key Indicators* from the Views drop-down list to display the Key Indicator records where the Rating is set as Amber. |

**Note:** These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down.

## Creating a Key Indicator

You can create a new Key Indicator, when you identify a warning signal which has potential impact in the organization. The Key Indicator Search and List page allows you to create a new Key Indicator.

**Note:** Users mapped to the role of Key Indicator Owner can create a Key Indicator.

To create a new Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click **Create Key Indicator**. The Key Indicator Details page is displayed.

   **Note:** The status of the Key Indicator is *New*.

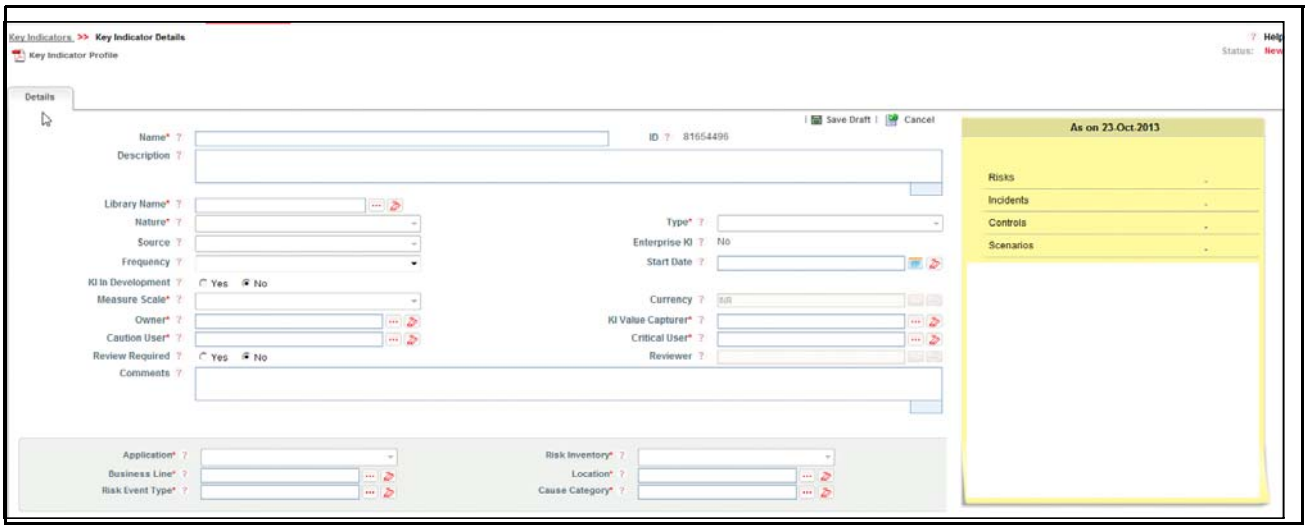



**Figure 162. Key Indicator Details Page**

3. Enter the following information in the Key Indicator Details page.

**Table 87. Components of the Key Indicator Details Page**

| Fields | Description |
|---|---|
| Name | Enter the name of the Key Indicator. This field allows you to enter a maximum of 300 characters.<br>If you try to enter more than 300 characters, the application displays the following message: *Number of characters exceeded*.<br>**Note:** If you try to save the Key Indicator details without entering the name, the application displays the following message: *Please enter the Key Indicator Name.* |
| ID | Displays the sequential tracking number given to a Key Indicator. (system generated) |
| Description | Enter a brief description of the Key Indicator.<br>The description field in the Key Indicator Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Library Name | Select the Library name for the Key Indicator to which the Localized Key Indicator will be linked, from the hierarchy browser. This list includes the Library Names where the Enterprise KI is set to No. |

**Table 87. Components of the Key Indicator Details Page**

| Fields | Description |
|---|---|
| Nature | Shows the nature of the Key Indicator as Predictive, Lag, or Current, which is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field.<br>• **Predictive:** when you can predict the impact of Key Indicator for the future.<br>• **Lag:** when the key Indicators are based on past scenarios.<br>• **Current:** when the key Indicators are based on current scenarios. |
| Type | Shows the category to which the Key Indicator belongs. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field.<br>• **KRI**: The Key Risk Indicators are parameters that effectively measure the risks involved in a business procedure and activity and provides the firm with a prior notification of possible harmful consequences.<br>• **KCI**: The Key Control Indicators are used to define company-wide controls to monitor the achievement of the set objectives.<br>• **KPI**: A set of quantifiable measures that a company or industry uses to gauge or compare performance in terms of meeting their strategic and operational goals.<br>• **BEICF Indicator**: Business Environment and Internal Control Factors (BEICFs) are indicators of a bank's operational risk profile that reflect underlying business risk factors and an assessment of the effectiveness of the internal control environment. |
| Source | Shows the source of the Key Indicator as External (when the Key Indicator is applicable only outside the Organization) or Internal (when the Key Indicator is applicable only inside the Organization). This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. |
| Enterprise KI | Shows the Enterprise KI as Yes or No. If this option is displayed as Yes, then the Key Indicator will be valid across the Enterprise.This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. |

**Table 87. Components of the Key Indicator Details Page**

| Fields | Description |
|---|---|
| Frequency | Select the frequency of generation of Metrics for the Key Indicator.<br>The following values are possible from the Frequency drop-down list:<br>• Yearly<br>• Half Yearly<br>• Quarterly<br>• Monthly<br>• Weekly<br>• Fortnightly<br>• Daily<br>This field is auto-populated from the Key Indicator Library record. You cannot edit this field, if Enterprise KI is set to Yes. |
| Start Date | Select the Start Date from the calendar that is, when the Threshold levels are applicable for KI Metrics generation.<br>This field is auto-populated from the Key Indicator Library record. You cannot edit this field, if the Enterprise KI is set to Yes. |
| Key Indicator in Development | Shows this option as Yes if the Key Indicator is in development, otherwise it displays as No. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. |
| Measure Scale | Shows the measurement Scale type (Percentage, Number, or Amount) in which the Thresholds will be defined.<br>This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. |
| Currency | Shows the selected currency for the Thresholds and Key Indicator Value. This field is auto-populated after selecting the Key Indicator Library Name. You cannot edit this field. The currency field will be applicable only if the Measure Scale is set to Amount. |
| Owner | Select the User who is responsible for the Key Indicator at an organizational level, from the hierarchy browser. The hierarchy browser shows the list of users mapped to Key Indicator Owner role. |
| KI Value Capturer | Select the User who generates the KI metrics and enters the values for manual Measures, from the hierarchy browser. The hierarchy browser shows the list of users mapped to KI Value Capturer Owner role. |
| Caution User | Select the Caution User from hierarchy browser. The Caution User is the user who is notified if the Key Indicator Value breaches to caution level, that is the Key Indicator Rating is Amber. |
| Critical User | Select the Critical user from the hierarchy browser. The Critical User is the user who is notified in case the Key Indicator Value breaches to critical level, that is the Key Indicator Rating is Red. |
| Review Required | Select this option as Yes if the review of manual measure is required. Otherwise, select this option as No. |
| Reviewer | Select the Reviewer name from hierarchy browser. The Reviewer field will be enabled only if the Review Required field is set to Yes. |

**Table 87. Components of the Key Indicator Details Page**

| Fields | Description |
|---|---|
| Comments | Enter remarks if applicable.<br>**Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*. |
| Application | Select the name of the application from drop-down list in which Key Indicator is installed from drop-down list. By default for OR/GCM, this list displays 'Operational Risk'. |
| Risk Inventory | Shows the Risk Inventory for which the Key Indicator is identified. For example, the Risk Inventory can be Credit Risk, and so on. This field is auto-populated after selecting the Library Name field. You cannot edit the Risk Inventory field. |
| Business Line | Select the Business Line for which the Key Indicator has been created, from the hierarchy browser. For example, the Business Line can be Corporate, Advisory Services, and so on. This field will be auto-populated after selecting the Key Indicator Library record. You cannot edit this field if Enterprise KI is set to Yes. |
| Location | Select the Location for which the Key Indicator has been created, from the hierarchy browser.This field will be auto-populated after selecting the Key Indicator Library record. You cannot edit this field if Enterprise KI is set to Yes. |
| Risk Event Type | Shows the Risk Event Type under which the Key Indicator is identified. For example, the Risk Event Type can be Systems, and so on. This field is auto-populated after selecting the Library Name field. You can edit the Risk Event Type field using the corresponding hierarchy browser, if required. |
| Cause Category | Shows the Cause Category under which the Key Indicator is identified. For example, the Cause Category can be Fraud, and so on. This field is auto-populated after selecting the Library Name field. You can edit the Cause Category field using the corresponding hierarchy browser, if required. |

4. Click **Save Draft**. A Confirmation dialog box is displayed. If you click **OK**, the Key Indicator is saved and the Key Indicator Details page is displayed. The status of key Indicator is changed to *Draft*.

### Submitting a Key Indicator in Draft Status

Users mapped to the role of Key Indicator Owner can submit a Key Indicator. The Key Indicator Details page allows you to submit the Key Indicator.

To submit a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.

2. Select a Key Indicator **ID** in *Draft* status. The Key Indicator Details page is displayed.

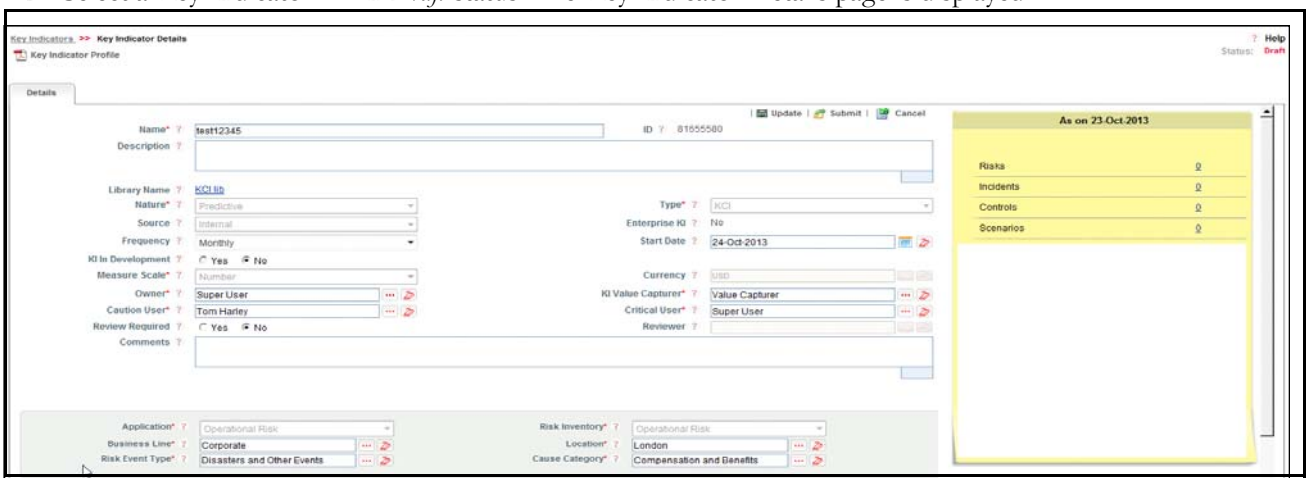



**Figure 163. Key Indicator Details Page**

The Key Indicator Details page allows you to perform the following tasks in *Draft* status:

- Editing Key Indicator
- Editing the Measures and Formula to Key Indicator (if **Enterprise KI** is set to No)
- Defining the Threshold limits
- Attaching and deleting documents related to Key Indicator
- Deleting Key Indicator
- Viewing Workflow History

For more information on these sections, refer to the *Managing Key Indicator Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit a Key Indicator, all mandatory 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 Key Indicator changes to *Open*.

The Key Indicator Details page allows you to perform the following tasks in *Open* status:

- Linking and delinking Risk, Controls, Incidents, Scenarios, and Processes to the Key Indicator
- Creating Issues and Actions
- Attaching and deleting documents related to the Key Indicator
- Viewing Key Indicator Profile Report
- Closing Key Indicator
- Viewing Workflow History

The Key Indicator Details page allows you to perform the following tasks in *In Review* status:

- Editing Key Indicator
- Editing of the Measures and Formula of Key Indicator
- Defining/Editing the Threshold Limits for Key Indicator

- Linking and delinking Risk, Controls, Incidents, Scenarios, and Processes to the Key Indicator
- Creating Issues and Actions
- Viewing Key Indicator Profile Report
- Viewing Workflow History

For more information on each of these tabs, refer to section *Managing Key Indicator Details*.

## Managing Key Indicator Details

The Key Indicator Details page allows you to manage additional tasks and functionalities pertaining to the Key Indicator.

The section explains the following topics:

- Managing Details
- Managing Measure and Formulas
- Managing Threshold Limits
- Managing KI Metrics
- Managing Linkages
- Managing Issues and Actions

**Note:** Only a Key Indicator Owner can edit the Key Indicator details.

### Managing Details

This tab displays the detailed information about the Key Indicator.

This section allows you to perform the following tasks:

- Editing Key Indicator
- Viewing Additional Information
- Attaching and Deleting Documents
- Viewing Workflow History

#### *Editing Key Indicator*

This section describes how to edit and update the existing Key Indicator. You can edit a Key Indicator when it is in *Draft* or *In Review* status.

You can edit the following fields in Draft or In Review status:

Name, Description, Frequency, Start Date, Owner, KI Value Capturer, Caution User, Critical User, Review Required, Reviewer, Comments, Business Line, Location, Risk Event Type, Cause Category, and Comments.

To edit a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID from the Key Indicator Search and List page. The Key Indicator Details page is displayed.

3. Click **Edit**. The editable fields are enabled in the Key Indicator Details page.

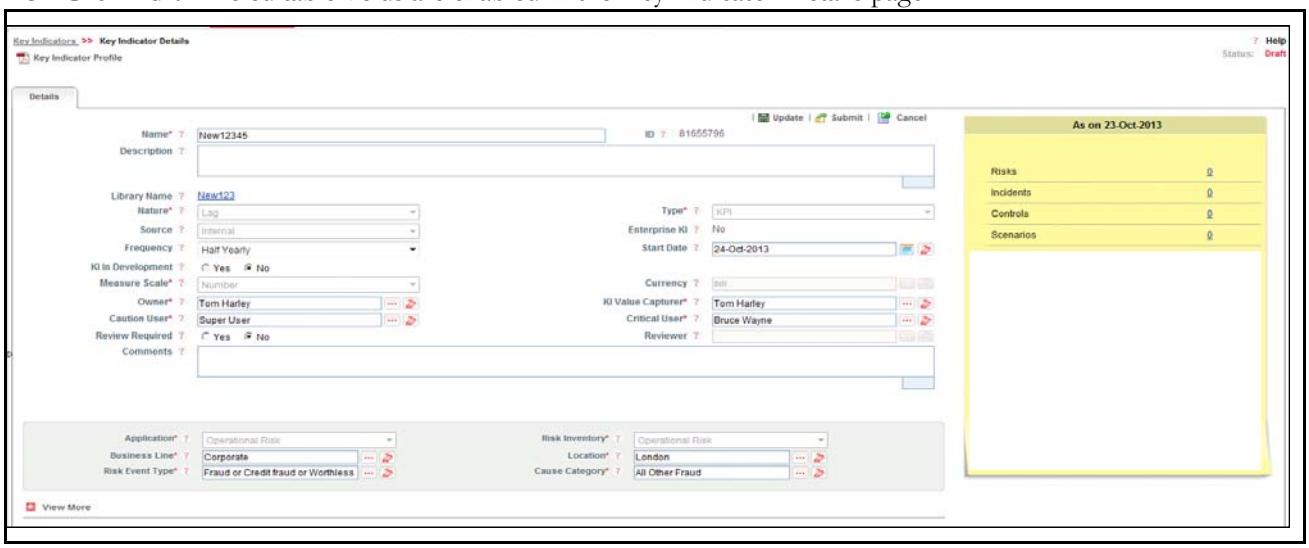



**Figure 164. Editing of a Key Indicator**

4. Modify the necessary information. For more information about the Key Indicator Details page, refer *Table 66*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Key Indicator Details page is displayed.

### *Viewing Additional Information*

The Additional Information section allows you to view the general details of components linked to a particular Key Indicator Library .

To view a Key Indicator's additional information, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select the required Key Indicator ID. The Key Indicator Details page is displayed with the Additional Information section.

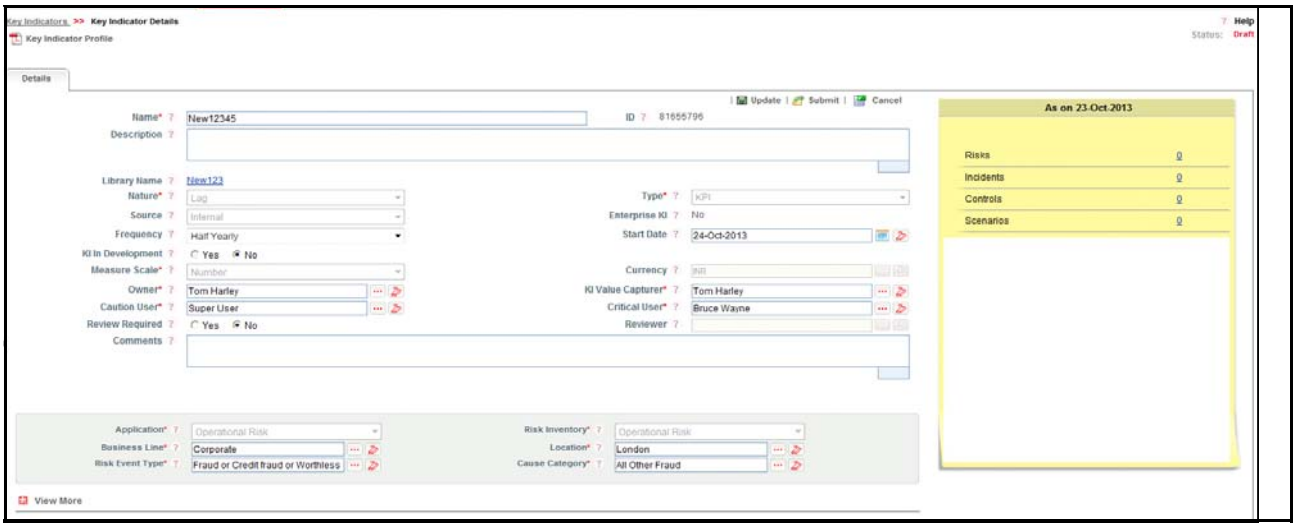



**Figure 165. Additional Information and Metrics section**

The following table describes the fields of Metrics section.

**Table 88. Fields of Metrics**

| Name | Description |
|---|---|
| Risks | Count of risks attached to the Key Indicator |
| Controls | Count of controls attached to the Key Indicator |
| Incidents | Count of incidents (Internal and External) attached to the Key Indicator |
| Scenarios | Count of scenarios attached to the Key Indicator |

### *Attaching and Deleting Documents*

The Key Indicator Details page allows you to attach or delete documents related to a Key Indicator. Users mapped to the role of Key Indicator Owner can attach and delete documents related to the Key Indicator.

For more details on attaching and deleting documents, refer to *Managing Documents*.

### *Viewing Workflow History*

The Workflow History section shows the audit trail of all changes made to Key Indicator details. Users mapped to the role of Key Indicator Owner can view the workflow history.

For more details, refer to section *Viewing Workflow History*.

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

**Table 89. Audit Entry in Workflow History section**

| Pre-action Status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| New | Draft | Save Key Indicator | Key Indicator Identifier/ Key Indicator Owner | Key Indicator Created |
| Draft | Draft | Save Draft Key Indicator | Key Indicator Owner | Key Indicator details updated |

**Table 89. Audit Entry in Workflow History section**

| Pre-action Status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| Draft | Open | Submit | Key Indicator Owner | Key Indicator Submitted |
| Open | In Review | Review | Key Indicator Owner | Key Indicator submitted for review |
| In Review | Open | Submit | Key Indicator Reviewer | Key Indicator details reviewed. |
| Open | Close | Close | Key Indicator Owner | Key Indicator closed |

## Managing Measure and Formulas

The Key Indicator Details page allows you to update the Measure and Formula details. This option is enable only if the Key Indicator Library's Enterprise KI field is set as No. Users mapped to the role of Key Indicator Owner can update Measure details in *Draft or In Review* status.

**Note:** It is mandatory to have at least one Measure for a Key Indicator.

### *Updating Measures in Formula*

To update the Measure in the Formula for a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click the Key Indicator ID. The Key Indicator Details page is displayed.
3. Expand the **View more** section.
4. Click **Measures and Formula**. The Measures and Formula section is enabled.
5. Under the Measure and Formula section, click **Edit**. The Measure and Formula page is displayed.

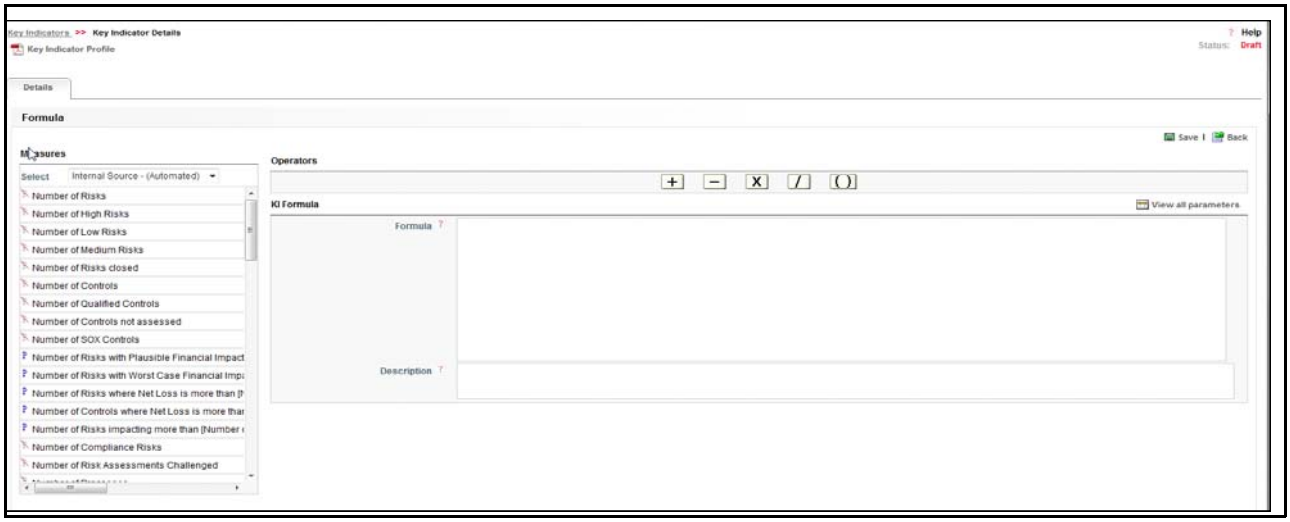



**Figure 166. Measures and Formula Page**

6. This page is divided into following three sections:

- **Measures**: Measures are classified as Manual or Automatic. This includes the list of Measure Names and pre-defined filters (to enter the conditions), which you can use for Formula calculation. To use a measure in the formula, double click on the corresponding measure. If the measure has parameters associated with it, a window is displayed to accept the filter values for the selected measure. You can view the associated parameters of all measures using the **View all Parameter**. You can also enter numbers in the formula if required.
- **Opeartors**: This section includes the Plus, Minus, Multiply, Divide, and Bracket operators to perform the calculation.
- **KI Formula**: This the placeholder to define the formula.

7. Select the type of Measure from Select drop-down list (Internal Source - Manual, External Source - Manual, Internal Source - Automatic, or External Source - Automatic).
8. Double-click the Measure Name to add it to the Formula. Use Filters for the Measure, if applicable.

   **Note:** You can erase the defined measure values for the Filter.
9. Use the required operator to frame the formula.
10. Click **Save**. A confirmation message is displayed: *Add Operation Successful.*
11. Click **Ok**. Click **Back** to go back to the Key Indicator Details Page to view the Formula.

**Note:** To delete a measure from the Formula, select the measure and press **Delete** from the Keyborad. You can move the measures in the KI Formula section (using mouse, and Cut, Copy, or Paste).

### Managing Threshold Limits

This section enables the Key Indicator Owner to define the thresholds for which the Key Indicator is being created. The thresholds can be defined for Numbers, Percentages, and Amounts as captured in the details. The values generated at each Business Unit as per the assessments/aggregations will compare the values against the thresholds defined here and generate a rating correspondingly.

This section covers the following topics:

- Adding Limits
- Editing Limits
- Deleting a Threshold Limit
- Viewing Rating Scale

#### *Adding Limits*

To add a Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The Key Indicator Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Click **Define Limits**.

5. A new row will be added with the Lower Limit, Upper Limit and Score columns.

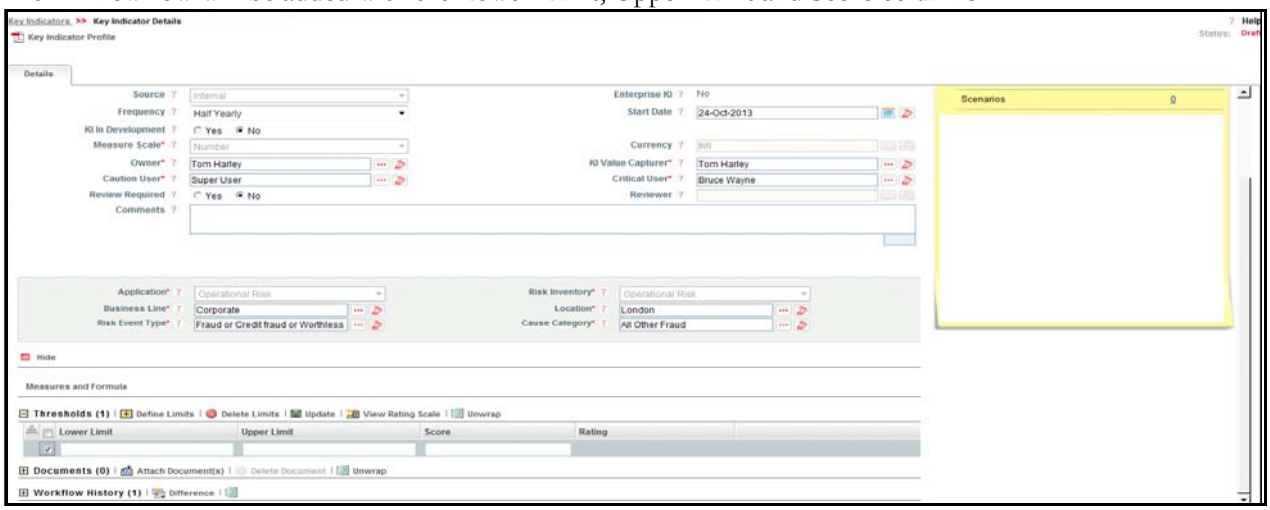



**Figure 167. Defining Threshold Limits**

**Note:** The Lower and Upper Limits accept only numeric inputs without decimals. You can enter a maximum of 15 digits. The Score field accepts the range (numeric values) as defined in the KI Admin window.

6. After entering details, click **Update** to save the details.
7. A confirmation message is displayed: *Update Operation Successful.*
8. Click **OK**.

**Note:** If you are trying to submit a Key Indicator without defining the Threshold Limits, the following message is displayed: *Lower Limit, Upper Limit and Score are mandatory to save the Thresholds.* The Lower Limit should not be equal to Upper Limit, or the following error message is displayed: *Overlapping ranges are not permitted.*

### *Editing Limits*

To edit the Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The KI Details page is displayed.
3. Expand **View more** section.
4. The Threshold Limit section is displayed.
5. Select the limit using the corresponding check box.
6. Edit the details as required and click **Update** to save the details.
7. A confirmation message is displayed: *Update Operation Successful.*
8. Click **OK**.

### *Deleting Threshold Limit*

To delete a Threshold Limit, follow these steps:

1. Navigate to the Key Indicator Search and List page.

2. Click a Key Indicator ID. The KI Details page is displayed.
3. Expand the **View more** section. The Threshold Limit section is displayed.
4. Select the limit using the corresponding check box. You can select more than one Threshold Limit at a time for deletion.
5. Click **Delete Limit**. The following the confirmation message is displayed*: Are you sure you want to delete this record?*
6. Click **OK**. The following message is displayed: *Delete Operation Successful.*
7. Click **OK**.

### *Viewing Rating Scale*

1. Navigate to the Key Indicator Search and List page.
2. Click a Key Indicator ID. The KI Details page is displayed.
3. Expand the **View more** section.
4. The Threshold Limit section is displayed.
5. Click **View Rating Scale**. The Rating Scale window will display. This shows the relationship between the Rating and corresponding Score as defined in the Admin window.

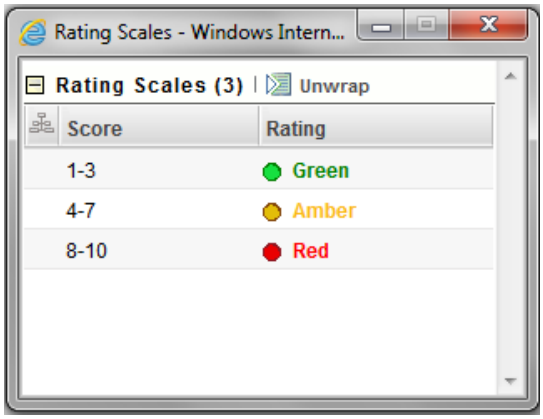



**Figure 168. Viewing Rating Scales**

## Managing KI Metrics

The KI Metrics page allows users to create and generate the Key Indicator metrics for a Business Unit. Only user mapped to the Value Capturer role can access this page in *Open* status.

The KI Metrics generated for the Key Indicator at the selected Business Line and Location are displayed in the Key Indicator Metrics section. By default, the Key Indicator Metrics shows the summary of all KI Metrics created for the Key Indicator record, but you can view maximum five records at a time.

This section covers the following topics:

- Creating KI Metrics
- Editing KI Metrics

- Reviewing KI Metrics
- Deleting KI Metrics

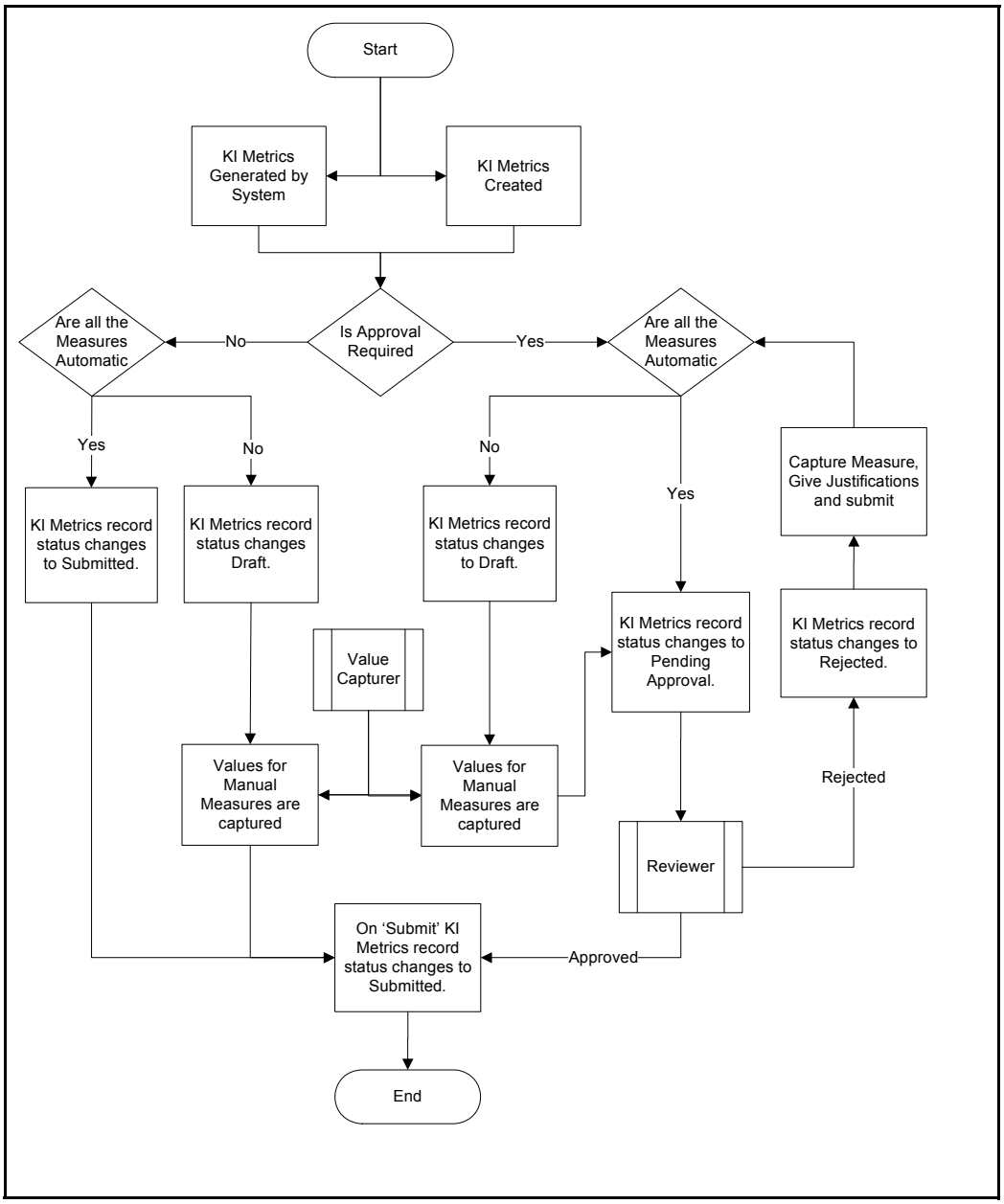



**Figure 169. KI Metrics Workflow**

The KI Metrics page is divided into the following two sections:

- Key Indicator Metrics
- Measure

The following columns are available in the Key Indicator Metrics.

- **Value Date**: shows the value date of the KI Metrics record.

- **Value**: shows the aggregated value of the KI Metrics record.
- **KI Rating**: shows the rating of the KI Metrics record.
- **Status**: shows the status of the KI Metrics record.
- **Comments**: shows the comments for the KI Metrics record.
- **Thresholds**: shows the thresholds captured as per the day the metrics generated.

When you select KI Metrics, all the measures used in the assessment are populated. The Measure section displays all the measures used in the formula with the corresponding value for each measure.

The Measures section will have the following columns for Automatic and Manual Measure. A Value Capturer cannot edit the value. For an Automatic measure, this field will display the value as per assessment. The Value Capturer can enter the value for Manual measure.

- **Value Description**: shows the description of the measure filter value.
- **Value**: shows the value of the filter applied for generating the selected KI Metrics
- **Computation Status**: shows whether the computation of an automatic measure has been a Successful or not. For an automatic measure, the status displays either success or failure.

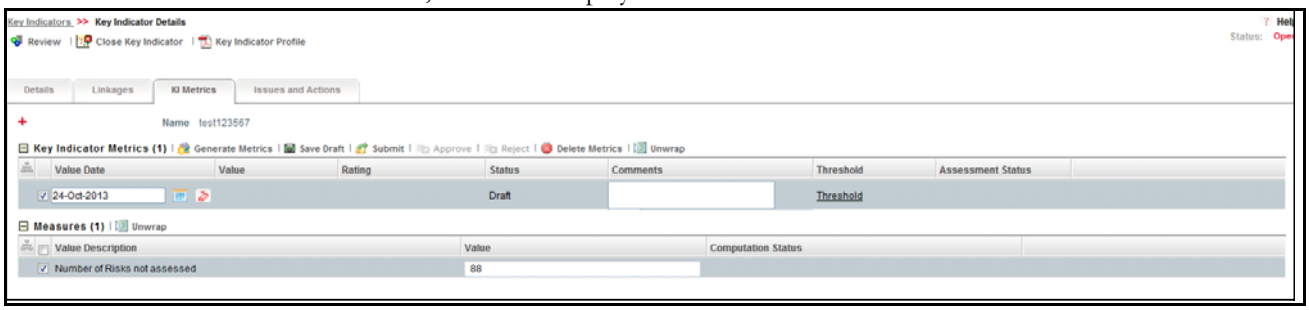



**Figure 170. KI Metrics for Manual Measure**

### *Creating KI Metrics*

The KI Metrics page allows users to create Key Indicator metrics for a Business Unit. Only user mapped to the Value Capturer role can generate KI Metrics in *Open* status.

To create KI Metrics, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.

4. Click **Generate Metrics**. A message is displayed: *Update Operation Successful*. Click **Ok**. A new row will be added in the Key Indicator Metrics section.

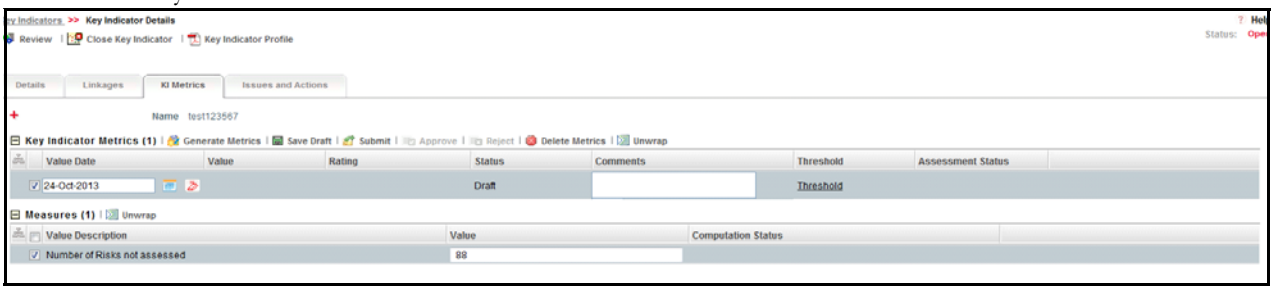



**Figure 171. Creating Metrics**

5. Edit the following columns in the **Key Indicator Metrics** section:

**Table 90. Components of Key Indicator Metrics Page**

| Fields | Description |
|---|---|
| Value Date | Select the Value date from calendar. |
| Comments | Enter the comment, if applicable. You can enter maximum 3000 characters in this field. |

**Note:**

- The Value Date should be greater than the Start Date of KI or a message is displayed: *Value date should be greater than the KI Start date.*
- The Value Date should be less than the Current Date or a message is displayed: *Value date cannot be greater than today.*
- The Value Date should not be blank or a message is displayed: *Please select a Value date on which the metrics need to be generated.*
- If you trying to submit KI Metrics without entering the value in the Value field (under the Measure section for Manual Measures), then a message is displayed: *Please enter a value for the manual measures defined in the formula.*
- If you have defined the formula as A/B and the value for Measure B is blank, then a message is displayed: *The denominator of the formula cannot be a null value.* Enter the value in the **Value** field under the **Measure** section for the Manual Measure.

6. Click **Submit**.

### *Editing KI Metrics*

You can edit the details of KI Metrics in Draft or Rejected status. Users mapped to the Value Capturer role can access this page.

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Select the KI Metrics and edit the details as required.
5. Click **Submit**, if you want to submit the KI Metrics for Review. Or click **Save Draft** to save the KI Metrics details. The Key Indicator goes for review, if it is selected as *Review required.*

For more information, refer to *Creating KI Metrics* section.

### *Reviewing KI Metrics*

KI Metrics are in Pending Approval status (Key Indicator's status is Open) can be reviewed by a Key Indicator Reviewer.

To review a KI Metrics, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Enter your comments and click **Approve** or **Reject**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**.

   **Note:** If the reviewer approves the KI Metrics, its status is set to *Completed*. If not, the status is set to *Rejected* after rejection.

### *Deleting KI Metrics*

KI Metrics are in Draft status (Key Indicator's status is Open) can be deleted by a Value Capturer. Only the Value Capturer of the Business Line and Location combination can delete KI Metrics in Draft status.

**Note:** You cannot delete KI Metrics records which are generated by system.

To delete KI Metrics, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a **Key Indicator ID**. The Key Indicator Details page is displayed.
3. Click **KI Metrics**. The KI Metrics page is displayed.
4. Select the KI Metrics, which you want to delete.
5. Click **Delete Metrics**. A confirmation message is displayed: *Are you sure you want to delete the selected record?*
6. Click **OK**. The following message is displayed: *Delete Operation Successful.*
7. Click **OK**.

## Managing Linkages

The Linkages tab allows you to link or delink the different entities to Key Indicator records. In *Open* or *In Review* status, you can link or delink the linkages.

Users mapped to the role of Key Indicator Owner can access the Linkages tab.

The Linkages tab displays the following sections:

- **Risks**: Allows you to link or delink the risk that is asscoicated to the Key Indicator.
- **Controls**: Allows you to link or delink the control with the Key Indicator
- **Incidents:** Allows you to link or delink Incident with the Key Indicator.
- **Scenarios:** Allows you to link or delink a Scenario with the Key Indicator.

- **Process:** Allows you to link or delink a Process with the Key Indicator.

**Note:** The columns in each of the sections are the same as available in the respective Search and List page.

To link or delink Risks, Controls, Incidents, Scenarios, or Processes, follow these steps:

1. Navigate to the Key Indicator Details page.
2. Click **Linkages**. The Linkages page is displayed.

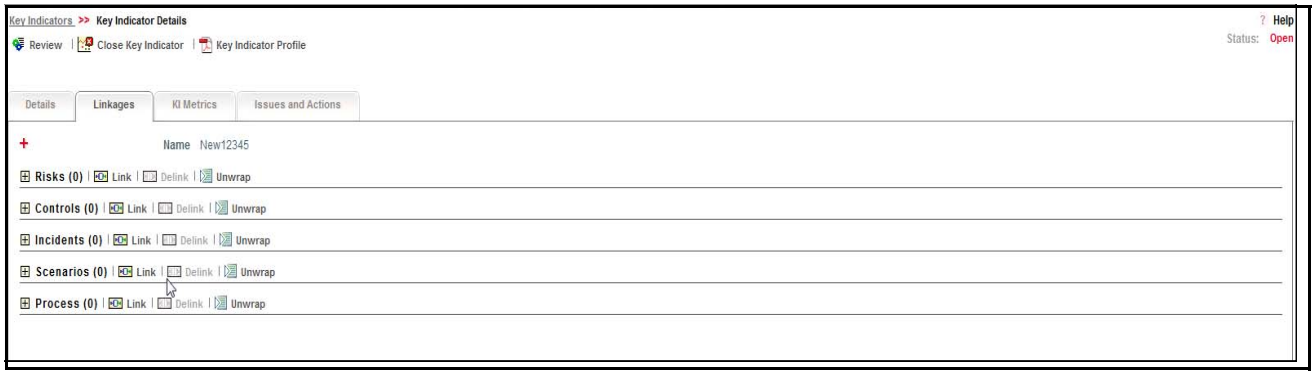



**Figure 172. Linkage Tab**

**Note:** For more information on linking or delinking, refer to *Managing Linkages*.

### Managing Issues and Actions

An issue is a problem statement and actions are plans or activities taken up to resolve those issues. You can create, link and delilnk, and delete issues and actions associated to the Key Indicators.

This section covers the following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Action
- Closing Issues and Actions

#### *Creating Issues*

When you identify a particular issue or a problem statement that poses as an operational risk to an organization, you can create issues and subsequently create necessary action plans to resolve or address those issues.

Users mapped to the role of Key Indicator Owner can create issues from the Key Indicator module.

**Note:** The Key Indicator must be in *Open or Draft* status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click Key Indicator ID. The Key Indicator Details page is displayed.

3. Click **Create Issue.** The Issue Details page is displayed.

For more information on fields in the Issue Details page, refer to *Managing Issue Details*.

If an issue is initiated from the Key Indicator section, the Component field in the Issue Details page displays as Key Indicator and the Primary Source field displays the Key Indicator Name.

### *Creating Actions through 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 Key Indicator Owner can create issues from the Key Indicator module.

**Note:** The Key Indicator must be in Open or Draft status to create Issues.

For more information on Creating Actions through Issues, refer to *Creating Actions from Issues*.

### *Creating Actions Directly*

You can directly create Actions if Issue Creation is turned off. This feature is configured during the installation of the OFSOR application or can be configured later.

Users mapped to the role of Key Indicator Owner can create actions from the Key Indicator module.

**Note:** To create actions directly, the Key Indicator must be in Open status.

To create actions directly, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click Key Indicator ID. The Key Indicator Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

   For more information, refer to *Creating Actions*.

   If an Action is initiated from the Key Indicator section, the Component and Primary Source fields in the Actions Details page display as Key Indicator and Key Indicator Name respectively.

### *Linking and Delinking Issues and Actions*

The Issues and Actions tab allows you to link and delink issues and actions to Key Indicators. You can link existing issues or actions to the Key Indicator. If the issue or action is created from the Key Indicator module, the issue or action will be automatically shown in the issue or action list of the Key Indicator.

Users mapped to the role of Key Indicator Owner can create issues from the Key Indicator module.

**Note:** The Key Indicator must be in *Draft or Open* status to link or delink the Issues.

If Issue creation is turned off, then Actions can be linked directly to a Key Indicator.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Click Key Indicator ID. The Key Indicator Details page is displayed.

3. Click **Issues and Action** tab. The Issues and Actions section is displayed.




**Figure 173. Issues and Actions Tab**

For more information on linking and delinking Issues and Actions, refer to *Managing Linkages*.

### *Deleting an Issue*

Users mapped to the role of Key Indicator Owner can delete issues in Open or Draft status if they are not applicable to the business or an organization.

### *Deleting an Action*

The Key Indicator section allows you to delete action plans in *Open or Draft* status. Users mapped to the role of Key Indicator Owner can delete Actions in Draft status if Issue Creation is turned on.

If Issue Creation is turned off, users mapped to the role of Key Indicator Owner can delete *Open or Draft* Actions linked to Key Indicators.

For more information, refer to *Managing Actions*.

### *Closing Issues and Actions*

Actions can be closed once they are complete. If all the actions for an Issue is addressed, then Issues can be closed. If an Action is abandoned mid-way, it can be force closed. Once all the actions are closed, Issue can be closed. Only users mapped to the role of Action Owner can close or force close actions. Only an Issue Owner can close Issues.

For more information, refer to *Completing the Progress of Actions*.

## Reviewing Key Indicator

A Key Indicator in In Review status can be reviewed by a Key Indicator Owner. Only the Key Indicator Owner of the Business Line and Location combination can review Key Indicator in In Review status.

**Note:** The user mapped to the role of Key Indicator Owner can review the Key Indicators, and edit the following fields:

Name, Description, Owner, KI Value Capturer, Critical User, Caution User, Comments, Business Line, Location, Risk Event Type, Casue Category, Threshold Limits, Measures and Formula.

To review a Key Indicator, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select a Key Indicator in In Review status. Alternatively it can also be selected from the Inbox. The Key Indicator Details page is displayed.

   **Note:**

- You can create or link Issues for the Key Indicators.

- You can edit the Key Indicator's editable fields.
- You can update the KI Metrics.
- You can attach the documents through the Documents tab.

3. Click **Review**.

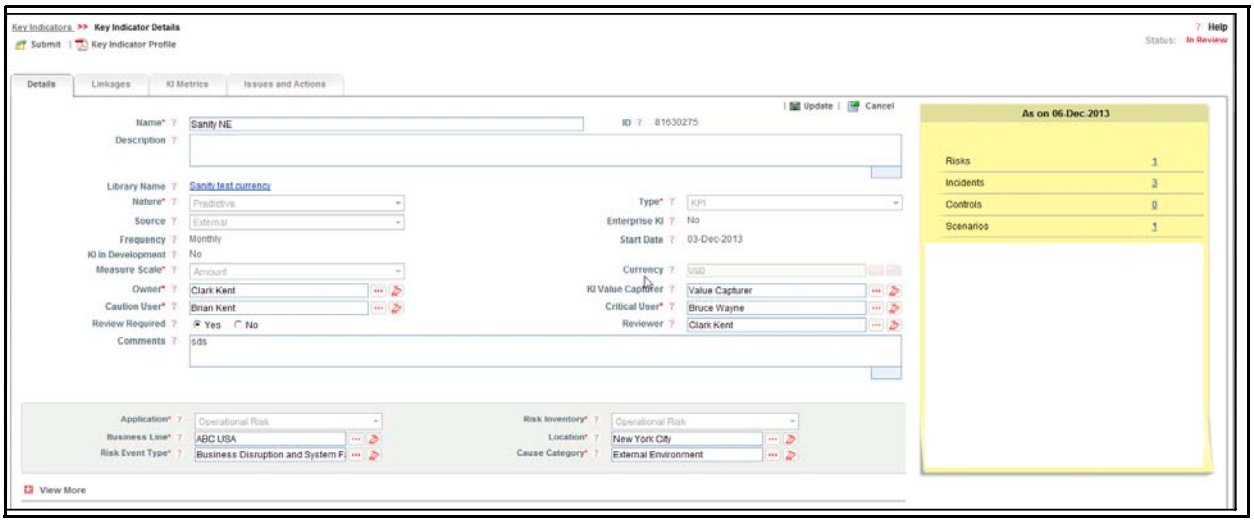



**Figure 174. Reviewing the Key Indicator**

4. Enter your comments and click **Submit.** The following message is displayed: *Update Operation Successful.*
5. Click **OK**.
6. Click **Back** to go back to the Key Indicator Details page.

**Note:** If the reviewer accepts the review of the Key Indicator, its status is set to *Open*.

## Deleting Key Indicator

Allows you to delete Key Indicator records at the Business Unit. Users mapped to the role of Key Indicator Owner can delete a Key Indicator in *Draft* status.

To delete a Key Indicator at the Business Unit, follow these steps:

1. Navigate to the Key Indicator Search and List page.
2. Select the Key Indicator ID you want to delete.
3. Click **Delete Key Indicator**. 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 Key Indicator is deleted and the updated Key Indicator Library Search and List page is displayed.

## Exporting Key Indicator List into Excel

Exporting Key Indicator details allows you to view a compiled list of all the Key Indicator records.

The Key Indicator Search and List page allows you to export the Key Indicator list into an Excel, Word or template. The Key Indicator details can be exported to a PDF for offline use.

For more details on exporting Key Indicators, refer *Exporting Records*.

## Viewing Internal Key Indicator Profile

You can view Key Indicator details in a PDF.

To view the Key Indicator details in a PDF, follow these steps:

1. Navigate to Key Indicator Search and List page.
2. Select a Key Indicator ID to view the KI Details page.
3. Click **Key Indicator Profile** in the Action section. A File Download Box is displayed.

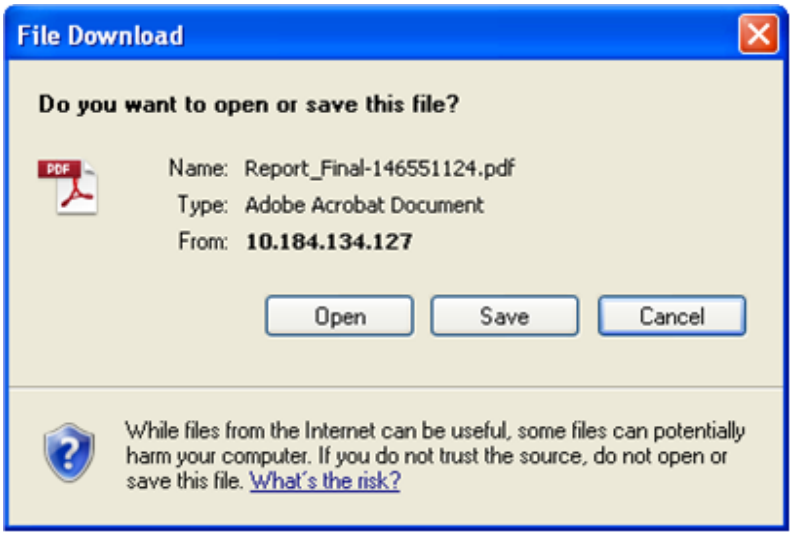



**Figure 175. File Download Box**

4. Click **Open** in the File Download Box. A PDF report opens displaying the Key Indicator details.
5. Click **Save** in the File Download Box to save the PDF report generated in your local system.

# CHAPTER 8 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 OFSOR/GCM 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 OFSOR/GCM such as RCSA, Incident Management, Key Indicators 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 OFSOR/GCM. 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 OFSOR/GCM 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. For example, if a Risk Owner user in the RCSA module is mapped to the role of Issue Creator role, then that particular user can create an issue on a risk from the RCSA module.

You can create issues either manually or automatically from the following modules in the application:

- Risks
- Controls
- Incidents
- Key Indicators
- Compliance Plans
- Obligations
- Processes
- Change Management
- Business Continuity Management
- Scenarios
- Audit Tasks
- Audit Assessments

## 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:

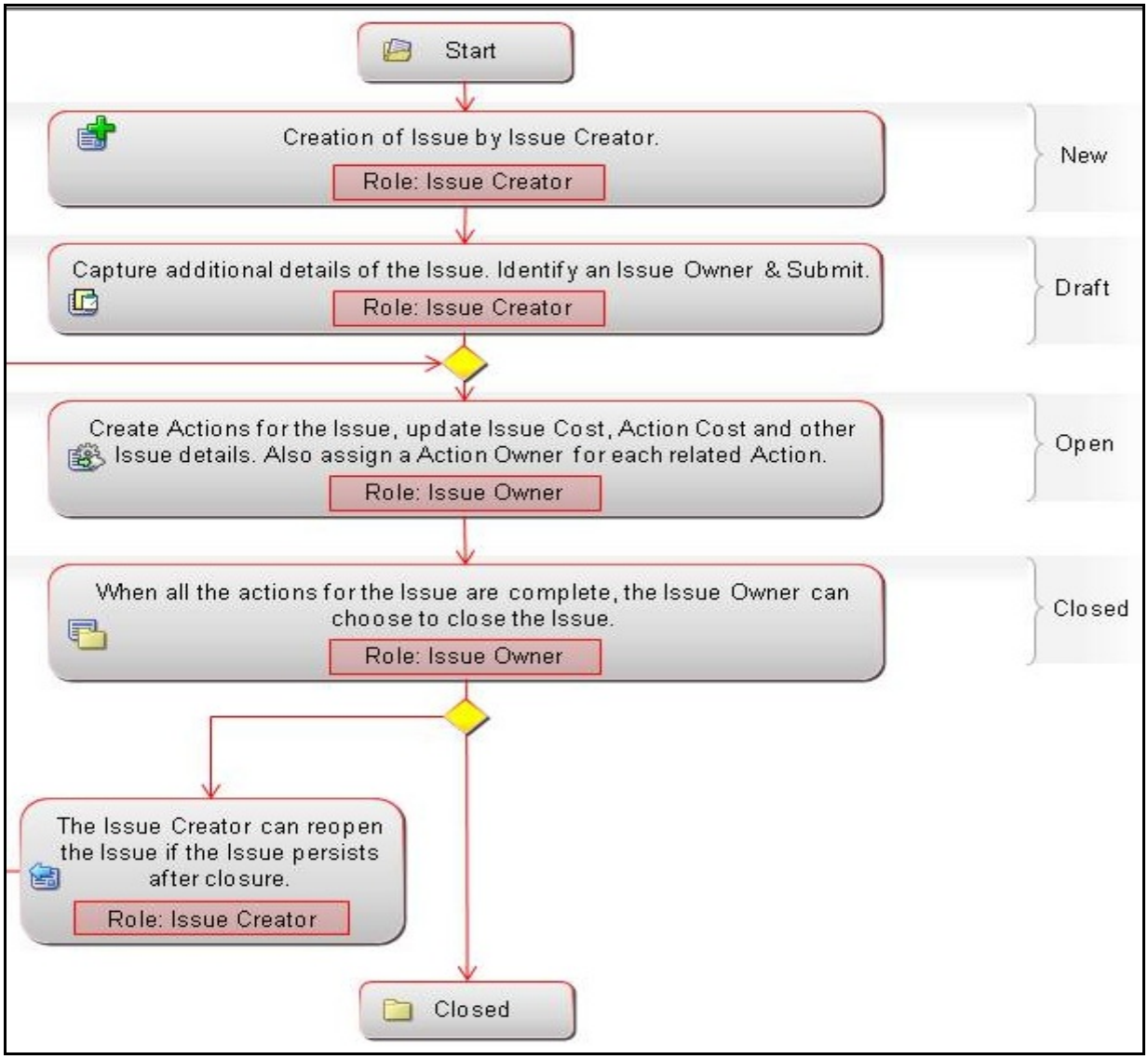



**Figure 176. Issues Workflow**

## 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 91. 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 OFSOR/GCM 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 OFSOR/GCM 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.

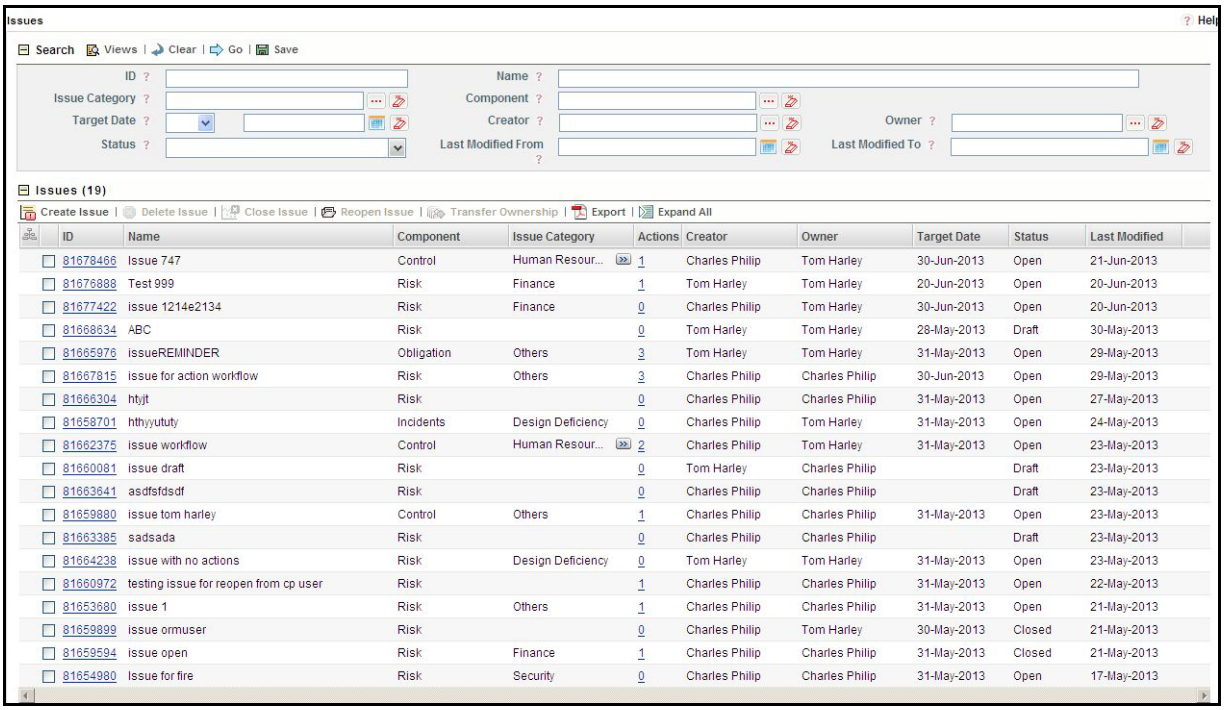



**Figure 177. Searching Issues with Basic Search**

2. Enter the following search criteria to filter the Issues list.

**Table 92. 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.<br><br>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.<br><br>**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. |

**Table 92. Basic Search (Continued)**

| Criteria | Description |
|---|---|
| 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:<br>● High<br>● Medium<br>● Low |
| 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:<br>● High<br>● Medium<br>● Low |
| Creator | Select an Issue Creator user from the hierarchy browser to display the list of issues created by the selected user.<br><br>**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.<br><br>**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.<br>Select the required operator from the following drop-down list to filter the list of issues:<br>● <<br>● <=<br>● =<br>● ><br>● >= |
| 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.<br><br>**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.<br><br>**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:<br>● Select All<br>● Draft<br>● Open<br>● Closed |

**Note:** The Business Line, Location, and Component fields are specific to the OFSOR/GCM 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.

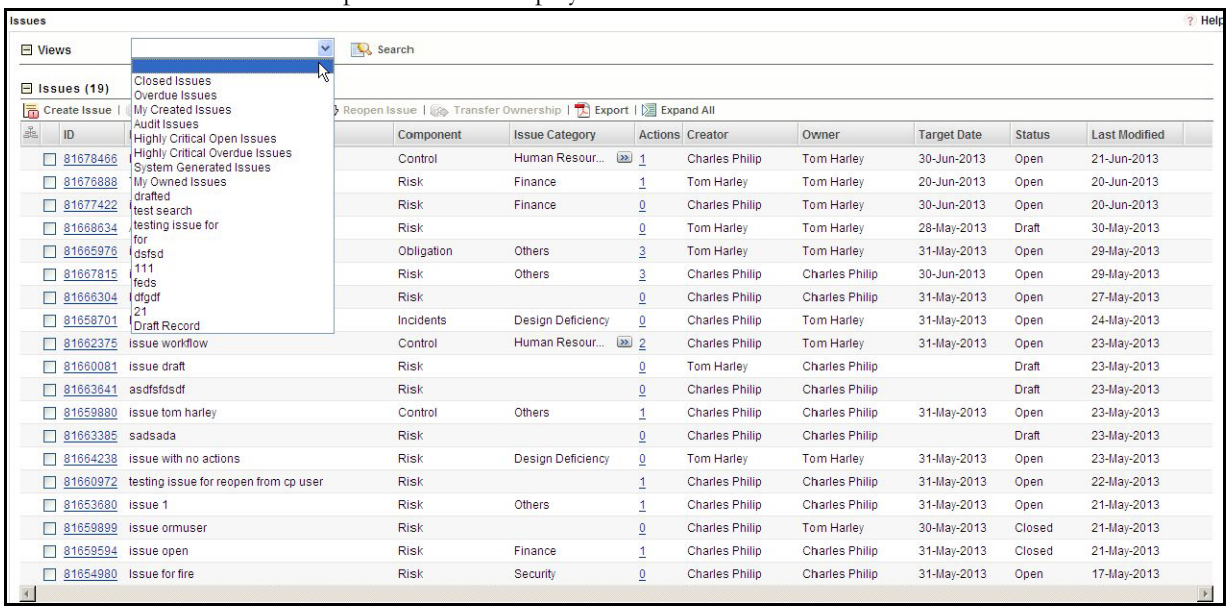



**Figure 178. Searching Issues with Pre-defined Views**

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 93. 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. |
| Audit Issues | Select **Audit Issues** from the drop-down list to display the complete list of issues created from the **Audit** module.<br><br>**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 OFSOR/GCM application, navigate to the respective details page and click **Create Issue**. The Issues Definition page is displayed.

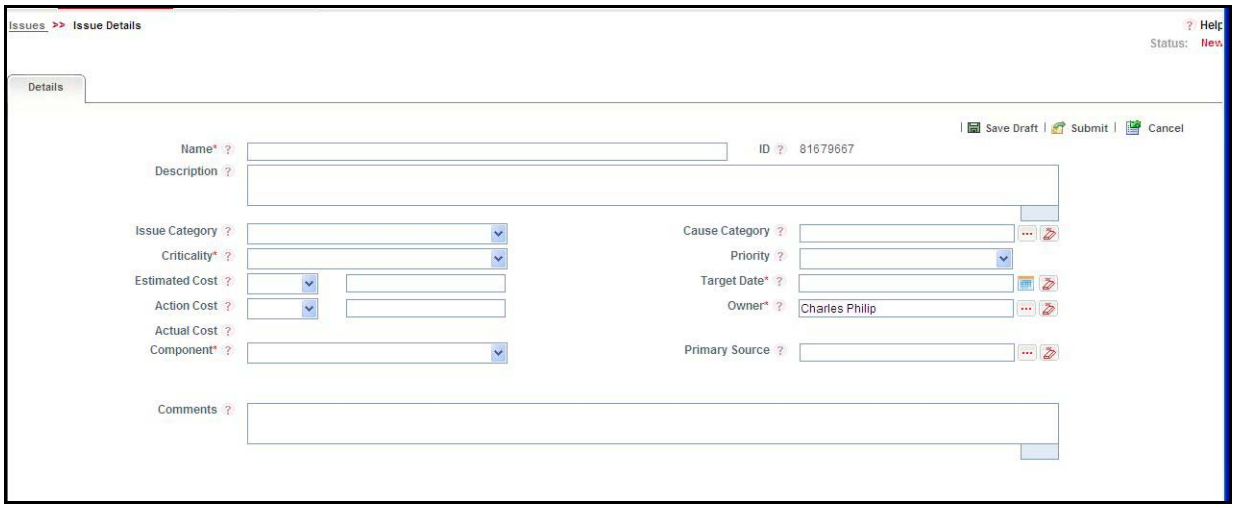



**Figure 179. Issues Definition Page**

2. Enter the following information in the Issues Definition page.

**Table 94. Fields of Issues Definition Page**

| Field Name | Description |
|---|---|
| Name | Enter the name of the issue.<br>This field allows you to enter a maximum of 300 characters.<br><br>**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. |
| Description | Enter a brief description of the issue.<br>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.<br><br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*. |
| Issue Category | Select a category from the drop-down list for classifying the new issue. An issue can be classified under factors. For example, External, Finance, Administration, Security and so on |
| Cause Category | Select a cause category from the hierarchy browser for the issue. |
| Criticality | Select a criticality level from the drop-down list specifying how critical the issue is to the organization. For example, Low, Medium, High and so on. |
| Priority | Select a priority level from the drop-down list indicating the priority for mitigation of the issue. For example, Low, Medium, High and so on. |
| Estimated Cost | Enter an estimated cost to be incurred for mitigating the issue in the text field. From the drop-down list, select the required base currency in which you want to calculate your estimated cost.<br><br>**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. |
| Action Cost | Enter the probable cost of mitigating the issue. From the drop-down list, select the required currency in which you want to calculate your action cost. |

**Table 94. Fields of Issues Definition Page (Continued)**

| Field Name | Description |
|---|---|
| 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.<br><br>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.<br><br>**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.<br><br>The drop-down list displays the following options:<br>● Risk<br>● Control<br>● Incidents<br>● Change Management<br>● Key Indicators<br>● Scenario<br>● Process<br>● Compliance Plan<br>● Obligation<br>● Audit Assessment<br>● Business Continuity Plan<br>● Audit Tasks<br><br>**Note:** You can view all these fields only if you have installed both OFSOR/GCM application.<br><br>**Note:** When you create an issue from different modules, this field will automatically populate the respective module's name in a non-editable mode. If you are creating an issue from the Issues and Actions module, the Issue Creator user should manually select the a component from the drop-down list. |
| Primary Source | Select a primary source from the hierarchy browser.<br><br>A primary source is the name of the component records such as risk, control and so on.<br><br>**Note:** If you are creating an issue from different modules in the application, the value in this field is auto-populated and cannot be edited. If you are creating from the Issues and Actions module, an Issue Creator can select a primary source for the respective component from the hierarchy browser. |
| Business Line | Select a business line from the hierarchy browser to which the issue is related to. |
| Location | Select the location from the hierarchy browser for which the issue is created. |
| Risk Inventory | Select a risk inventory from the hierarchy browser applicable to the issue. |
| Risk Category | Select a risk category from the hierarchy browser associated with the issue. For more information, refer *Chapter 18, Managing Admin Tasks,Managing Reference Data* section. |

**Table 94. Fields of Issues Definition Page (Continued)**

| Field Name | Description |
|---|---|
| Risk Event Type | Select a risk event type from the hierarchy browser to classify the issue according to the risk event type. |
| Product | Select a product from the hierarchy browser for which the issue is created. |
| Process | Select a process from the hierarchy browser for which the issue is created. |
| Legal Entity | Select a legal entity from the hierarchy browser in which your organization is operating. |
| 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.

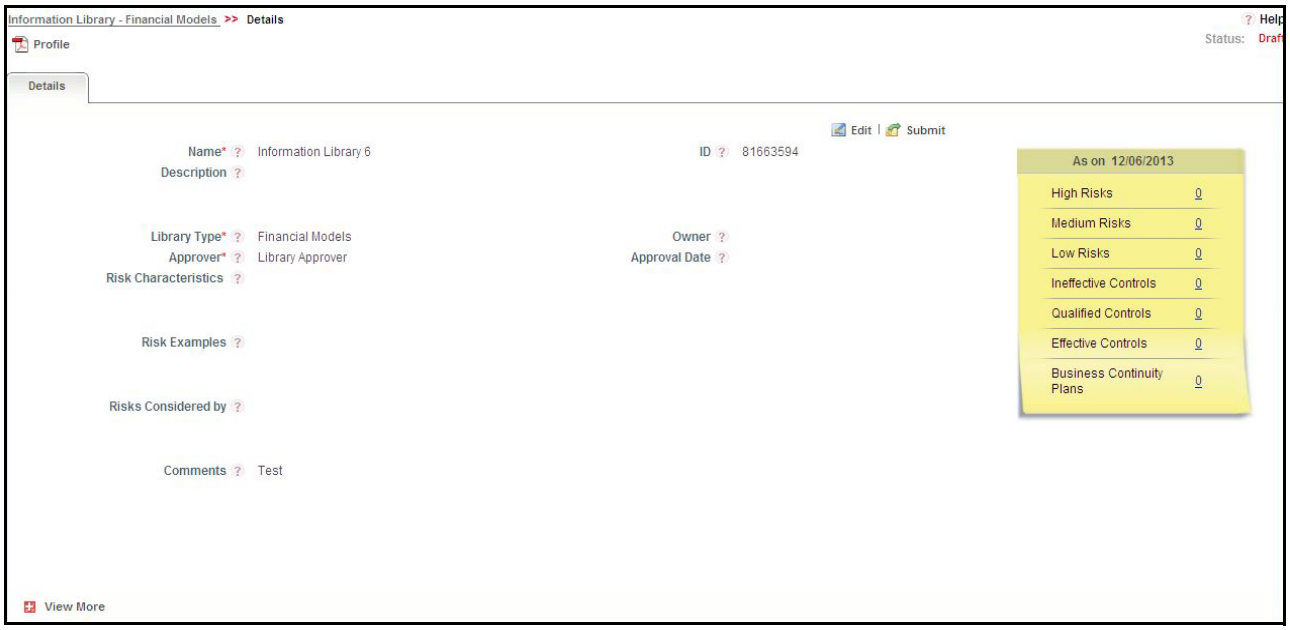



**Figure 180. Issues Details Page**

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 94*.
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 94*.

**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 95. 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. |

**Table 95. Columns in Workflow History section**

| Column Name | Description |
|---|---|
| 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 *Chapter 3: General Features, 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 Risks, Controls, Incidents, Key Indicators 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. The following table displays the statuses of records that you can link to each entity:

**Table 96. Status of Entity Records Available for Linking**

| Entity Name | Status of Records |
|---|---|
| Risks | Open |
| Controls | Open |
| Incidents | All statuses except Closed |
| Key Indicators | Open |
| Obligations | Open |
| Processes | Open |
| Scenarios | Open |
| Change Management | Open, In Review |
| Compliance Plans | Open |
| BCP | In Review, Pending Approval |
| Audit Tasks | Open, Pending Approval, Approved |
| Audit Assessments | Submitted |

**Note**: Compliance Plans, BCP, Audit Tasks, and Audit Assessments are available only for OFSGCM application.

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**:

- If you try to link records of other KBDs different from that in which the issue is captured, the following message is displayed: *Records of other KBDs are being linked. Do you want to continue?*
- For Incidents section, an Issue Owner can link Confidential Incidents and/or Legal Incidents only if they are mapped to the role of Confidential user. When you link a Confidential Incidents and/or Legal Incident to an issue, the similar information is also updated for the particular record in the Incidents module.
- 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.

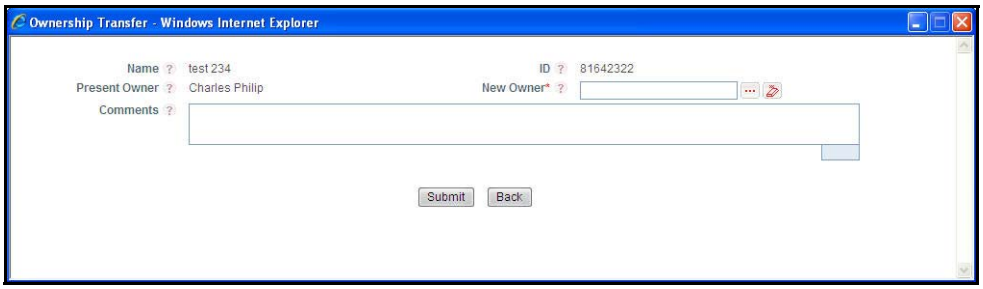



**Figure 181. Transfer Ownership Window**

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 182. 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.

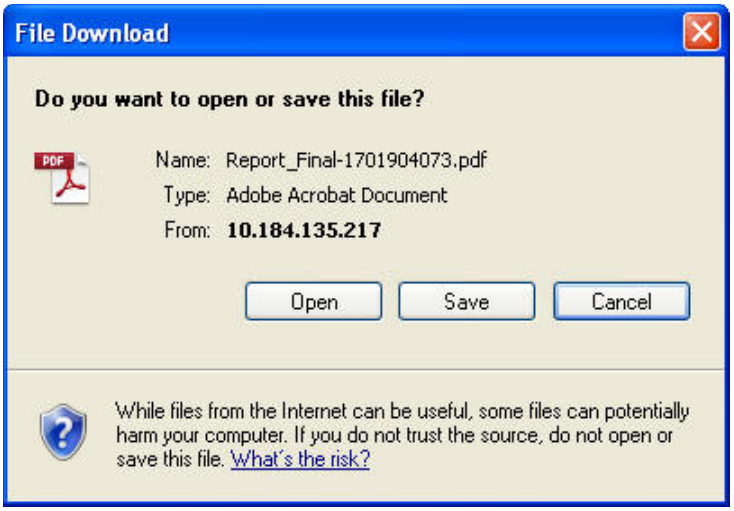
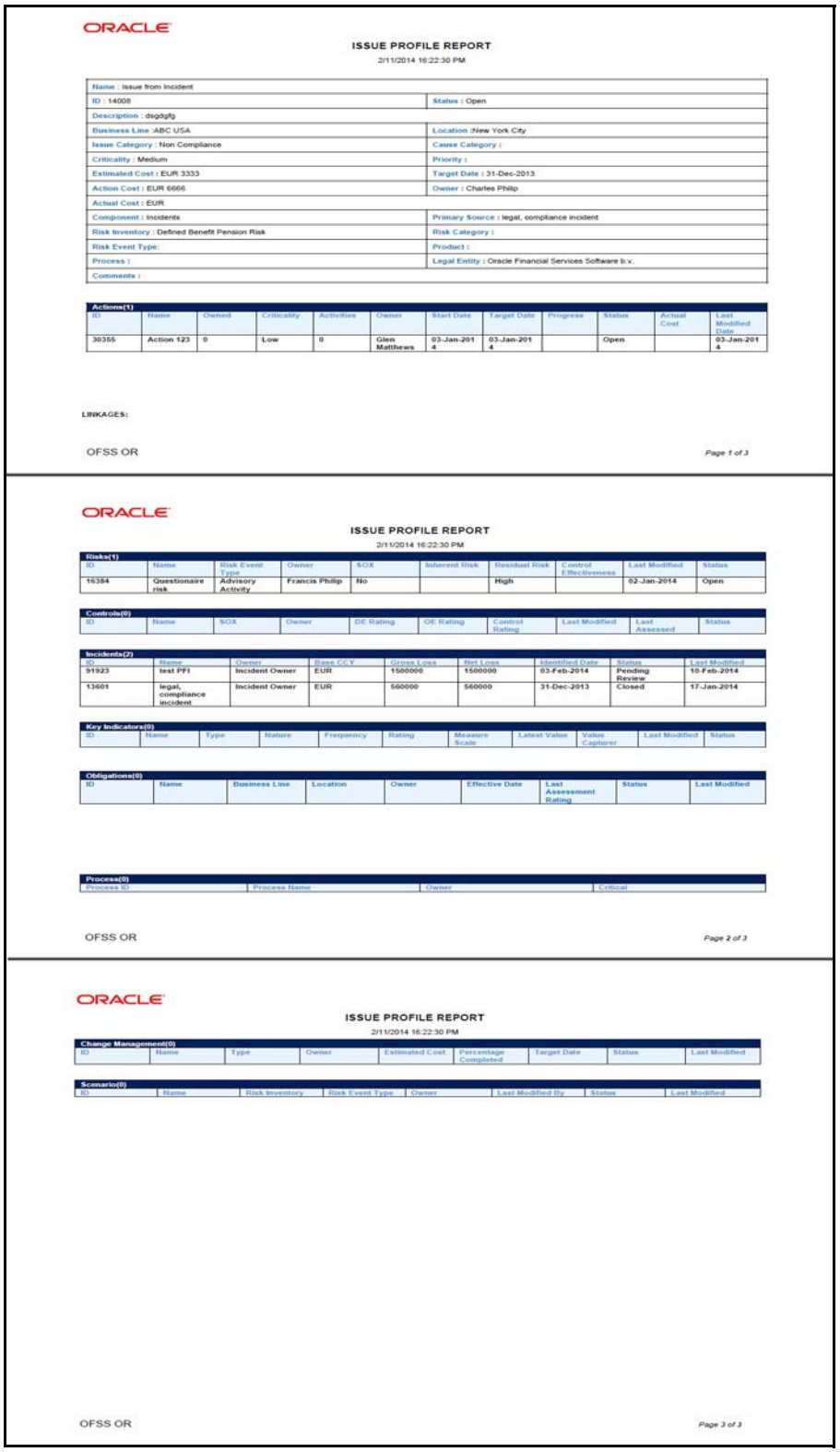



**Figure 183. File Download Window**

3. Click **Open** to view the Issues Profile Report.



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ISSUE PROFILE REPORT

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| | |
|---|---|
| Name : Issue from Incident | |
| ID : 14008 | Status : Open |
| Description : dsgdgfg | |
| Business Line :ABC USA | Location :New York City |
| Issue Category : Non Compliance | Cause Category : |
| Criticality : Medium | Priority : |
| Estimated Cost : EUR 3333 | Target Date : 31-Dec-2013 |
| Action Cost : EUR 6666 | Owner : Charles Philip |
| Actual Cost : EUR | |
| Component : Incidents | Primary Source : legal, compliance incident |
| Risk Inventory : Defined Benefit Pension Risk | Risk Category : |
| Risk Event Type: | Product : |
| Process : | Legal Entity : Oracle Financial Services Software b.v. |
| Comments : | |

Actions(1)

| ID | Name | Owned | Criticality | Activities | Owner | Start Date | Target Date | Progress | Status | Actual Cost | Last Modified Date |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 30355 | Action 123 | 0 | Low | 0 | Glen Matthews | 03-Jan-2014 | 03-Jan-2014 | | Open | | 03-Jan-2014 |

LINKAGES:

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ISSUE PROFILE REPORT

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Risks(1)

| ID | Name | Risk Event Type | Owner | SOX | Inherent Risk | Residual Risk | Control Effectiveness | Last Modified | Status |
|---|---|---|---|---|---|---|---|---|---|
| 16384 | Questionaire risk | Advisory Activity | Francis Philip | No | | High | | 02-Jan-2014 | Open |

Controls(0)

| ID | Name | SOX | Owner | DE Rating | OE Rating | Control Rating | Last Modified | Last Assessed | Status |
|---|---|---|---|---|---|---|---|---|---|

Incidents(2)

| ID | Name | Owner | Base CCY | Gross Loss | Net Loss | Identified Date | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|
| 91923 | test PFI | Incident Owner | EUR | 1500000 | 1500000 | 03-Feb-2014 | Pending Review | 10-Feb-2014 |
| 13601 | legal, compliance incident | Incident Owner | EUR | 560000 | 560000 | 31-Dec-2013 | Closed | 17-Jan-2014 |

Key Indicators(0)

| ID | Name | Type | Nature | Frequency | Rating | Measure Scale | Latest Value | Value Captured | Last Modified | Status |
|---|---|---|---|---|---|---|---|---|---|---|

Obligations(0)

| ID | Name | Business Line | Location | Owner | Effective Date | Last Assessment Rating | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|

Process(0)

| Process ID | Process Name | Owner | Critical |
|---|---|---|---|

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ISSUE PROFILE REPORT

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Change Management(0)

| ID | Name | Type | Owner | Estimated Cost | Percentage Completed | Target Date | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|

Scenario(0)

| ID | Name | Risk Inventory | Risk Event Type | Owner | Last Modified By | Status | Last Modified |
|---|---|---|---|---|---|---|---|

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**Figure 184. 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.

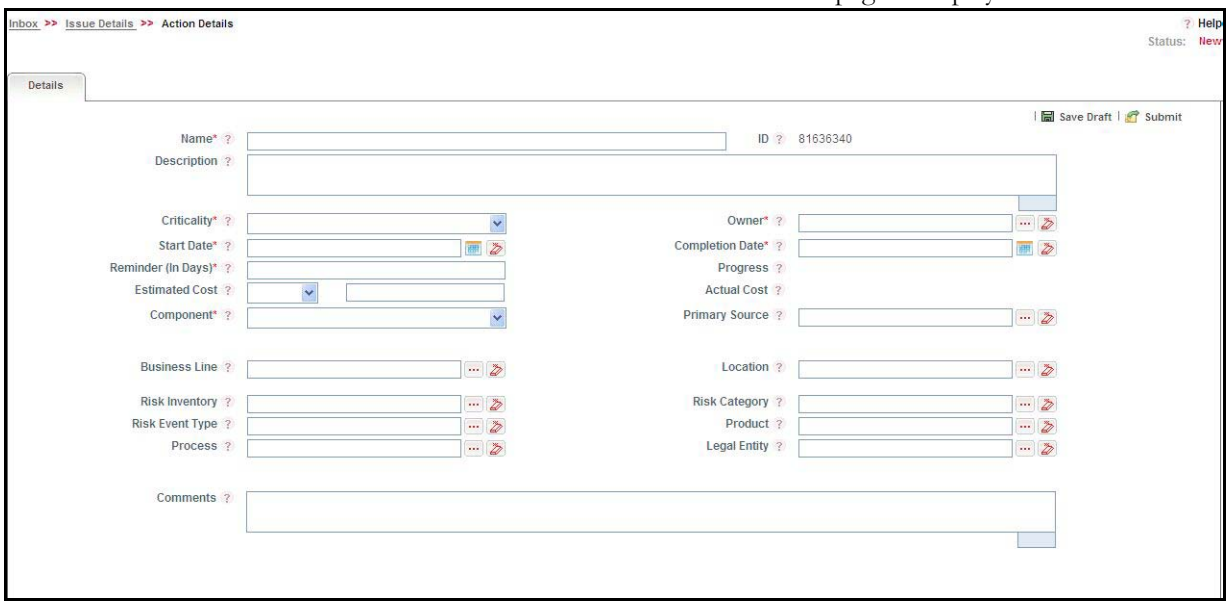



**Figure 185. Actions Definition Page**

4. Enter the following information in the Actions Definition page.

**Table 97. Fields of Actions Definition Page**

| Field Name | Description |
|---|---|
| Name | Enter the name of the action.<br>This field allows you to enter a maximum of 300 characters.<br><br>**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. |

**Table 97. Fields of Actions Definition Page (Continued)**

| Field Name | Description |
|---|---|
| Description | Enter a brief description of the action.<br>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.<br><br>**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. For example, Very High, High, Medium and so on. |
| 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.<br><br>**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.<br><br>**Note:** By default, this field will auto populate the current date. |
| Target 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 is enabled for an Action Owner to update the measure of completion of action plan.<br><br>**Note:** By default, this field is disabled when the action is created. |
| 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.<br><br>**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.<br><br>**Note:**<br>● If you are creating an action from the Issues and Actions module, this drop-down list will display various modules for selection for which the Manual Issue Creation is enabled.<br>● If you are creating an action from other modules where the Automatic Issue Creation option is enabled, this field automatically populates the name of the module from which the action is being created. |
| 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. |
| Location | Select the location from the hierarchy browser for which the action is created. |
| Risk Inventory | Select a risk inventory from the hierarchy browser applicable to the action. |
| Risk Category | Select a risk category from the hierarchy browser associated with the action. |
| Risk Event Type | Select a risk event type from the hierarchy browser to classify the action according to the risk event type. |
| Product | Select a product from the hierarchy browser for which the action is being created. |
| Process | Select a process from the hierarchy browser for which the action is being created. |

**Table 97. Fields of Actions Definition Page (Continued)**

| Field Name | Description |
|---|---|
| Legal Entity | Select a legal entity from the hierarchy browser. |
| 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

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 OFSOR/GCM 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 RCSA, Incident Management, Compliance and Obligations, Audit, Key Indicators, Business Continuity Plans 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:**

- Access to modules such as Audit, Business Continuity Plans and Compliance depend upon implementation of the GCM product.
- 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:

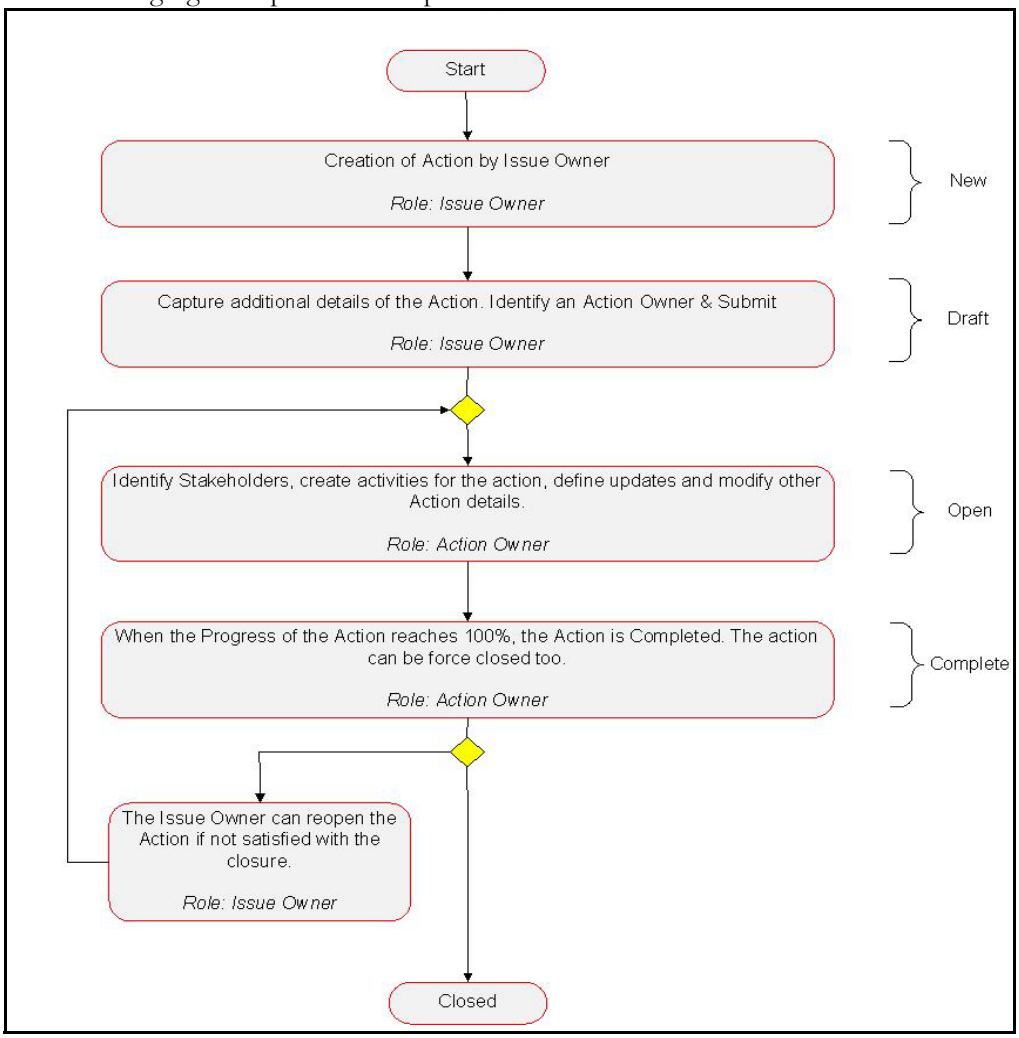



**Figure 186. Workflow of Actions Menu**

## 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 98. 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 Operational Risk 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 OFSOR/GCM 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 Issues Using Pre-defined Views

**Note:** The OFSOR/GCM 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.

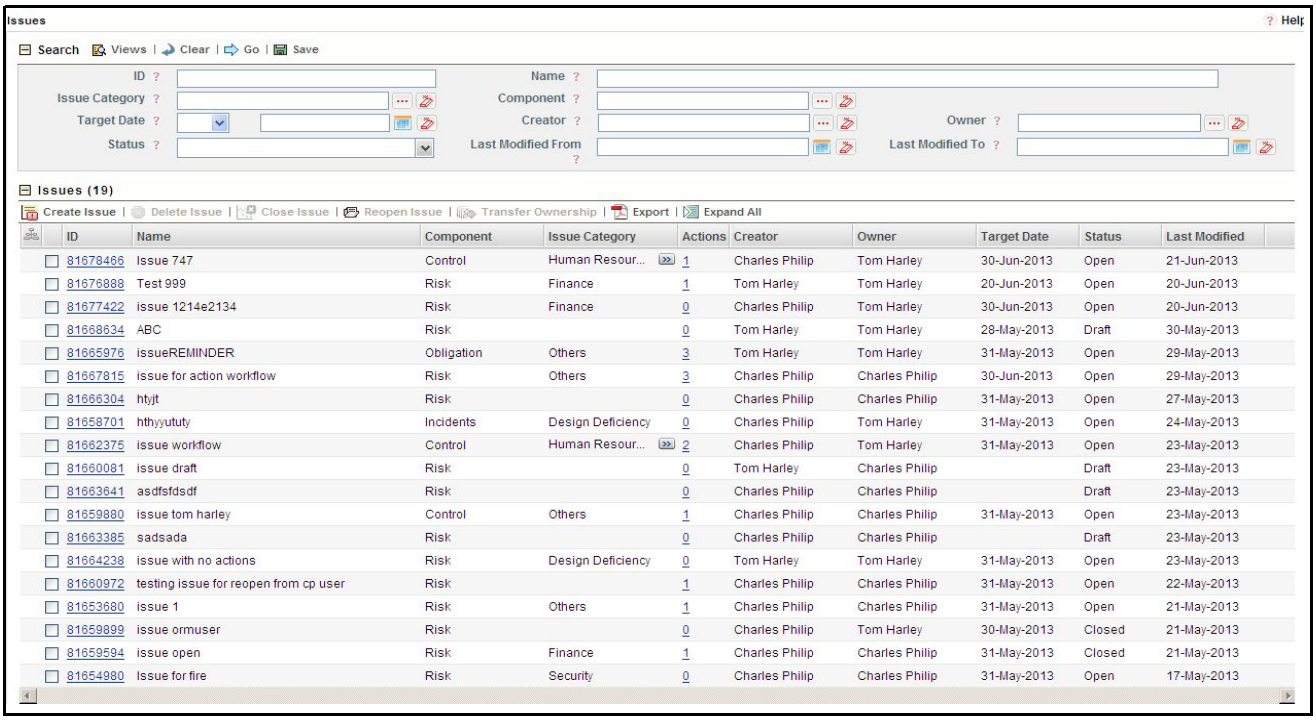
### Searching Actions Using Basic Search

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.




| ID | Name | Component | Issue Category | Actions | Creator | Owner | Target Date | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|---|
| 81678466 | Issue 747 | Control | Human Resour... | 1 | Charles Philip | Tom Harley | 30-Jun-2013 | Open | 21-Jun-2013 |
| 81676888 | Test 999 | Risk | Finance | 1 | Tom Harley | Tom Harley | 20-Jun-2013 | Open | 20-Jun-2013 |
| 81677422 | issue 1214e2134 | Risk | Finance | 0 | Charles Philip | Tom Harley | 30-Jun-2013 | Open | 20-Jun-2013 |
| 81668634 | ABC | Risk | | 0 | Tom Harley | Tom Harley | 28-May-2013 | Draft | 30-May-2013 |
| 81665976 | issueREMINDER | Obligation | Others | 3 | Tom Harley | Tom Harley | 31-May-2013 | Open | 29-May-2013 |
| 81667815 | issue for action workflow | Risk | Others | 3 | Charles Philip | Charles Philip | 30-Jun-2013 | Open | 29-May-2013 |
| 81666304 | htyjt | Risk | | 0 | Charles Philip | Charles Philip | 31-May-2013 | Open | 27-May-2013 |
| 81658701 | hthyyututy | Incidents | Design Deficiency | 0 | Charles Philip | Tom Harley | 31-May-2013 | Open | 24-May-2013 |
| 81662375 | issue workflow | Control | Human Resour... | 2 | Charles Philip | Tom Harley | 31-May-2013 | Open | 23-May-2013 |
| 81660081 | issue draft | Risk | | 0 | Tom Harley | Charles Philip | | Draft | 23-May-2013 |
| 81663641 | asdfsfdsdf | Risk | | 0 | Charles Philip | Charles Philip | | Draft | 23-May-2013 |
| 81659880 | issue tom harley | Control | Others | 1 | Charles Philip | Charles Philip | 31-May-2013 | Open | 23-May-2013 |
| 81663385 | sadsada | Risk | | 0 | Charles Philip | Charles Philip | | Draft | 23-May-2013 |
| 81664238 | issue with no actions | Risk | Design Deficiency | 0 | Tom Harley | Tom Harley | 31-May-2013 | Open | 23-May-2013 |
| 81660972 | testing issue for reopen from cp user | Risk | | 1 | Charles Philip | Charles Philip | 31-May-2013 | Open | 22-May-2013 |
| 81653680 | issue 1 | Risk | Others | 1 | Charles Philip | Charles Philip | 31-May-2013 | Open | 21-May-2013 |
| 81659899 | issue ormuser | Risk | | 0 | Charles Philip | Tom Harley | 30-May-2013 | Closed | 21-May-2013 |
| 81659594 | issue open | Risk | Finance | 1 | Charles Philip | Charles Philip | 31-May-2013 | Closed | 21-May-2013 |
| 81654980 | Issue for fire | Risk | Security | 0 | Charles Philip | Charles Philip | 31-May-2013 | Open | 17-May-2013 |

**Figure 187. Searching Actions with Basic Search**

2. Enter the following Basic Search criteria to filter the Actions list.

**Table 99. 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.<br><br>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.<br><br>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 99. 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.<br><br>Select the required equality operator from the following drop-down list:<br>● <<br>● <=<br>● =<br>● ><br>● >= |
| 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:<br>● Select All<br>● Draft<br>● Open<br>● 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 188. 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 100. 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.

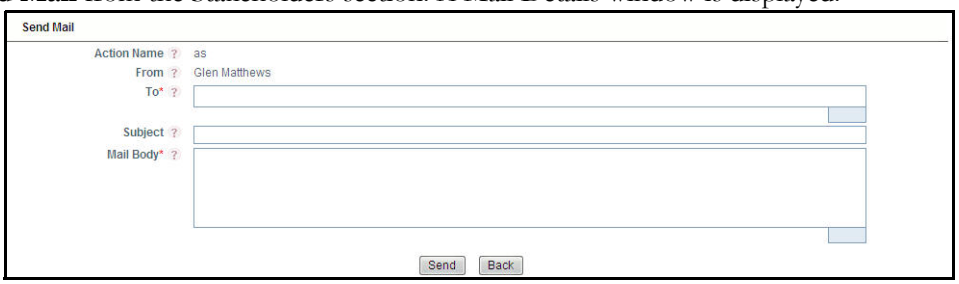



**Figure 189. Sending Email to Stakeholders**

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 *Chapter 3: General Features, 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 101. 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.

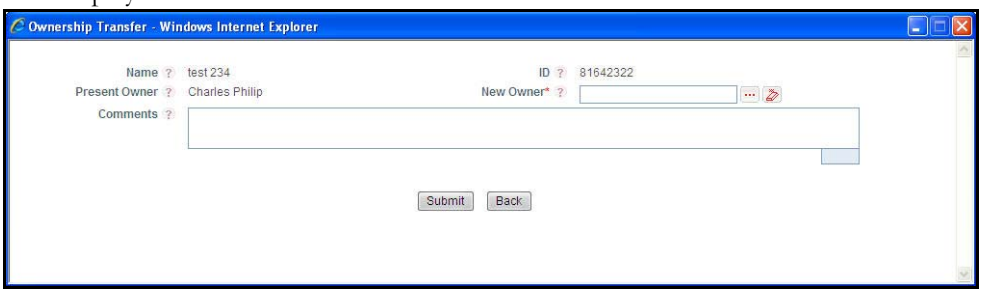



**Figure 190. Transfer the Ownership**

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 191. 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 192. 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.

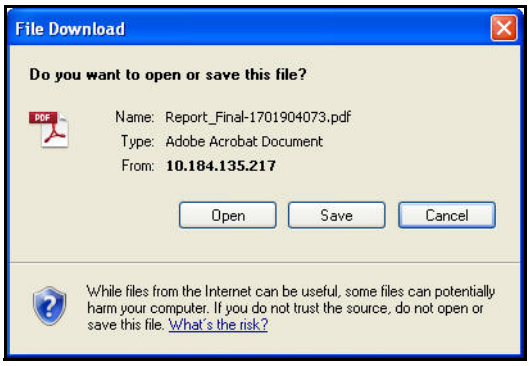
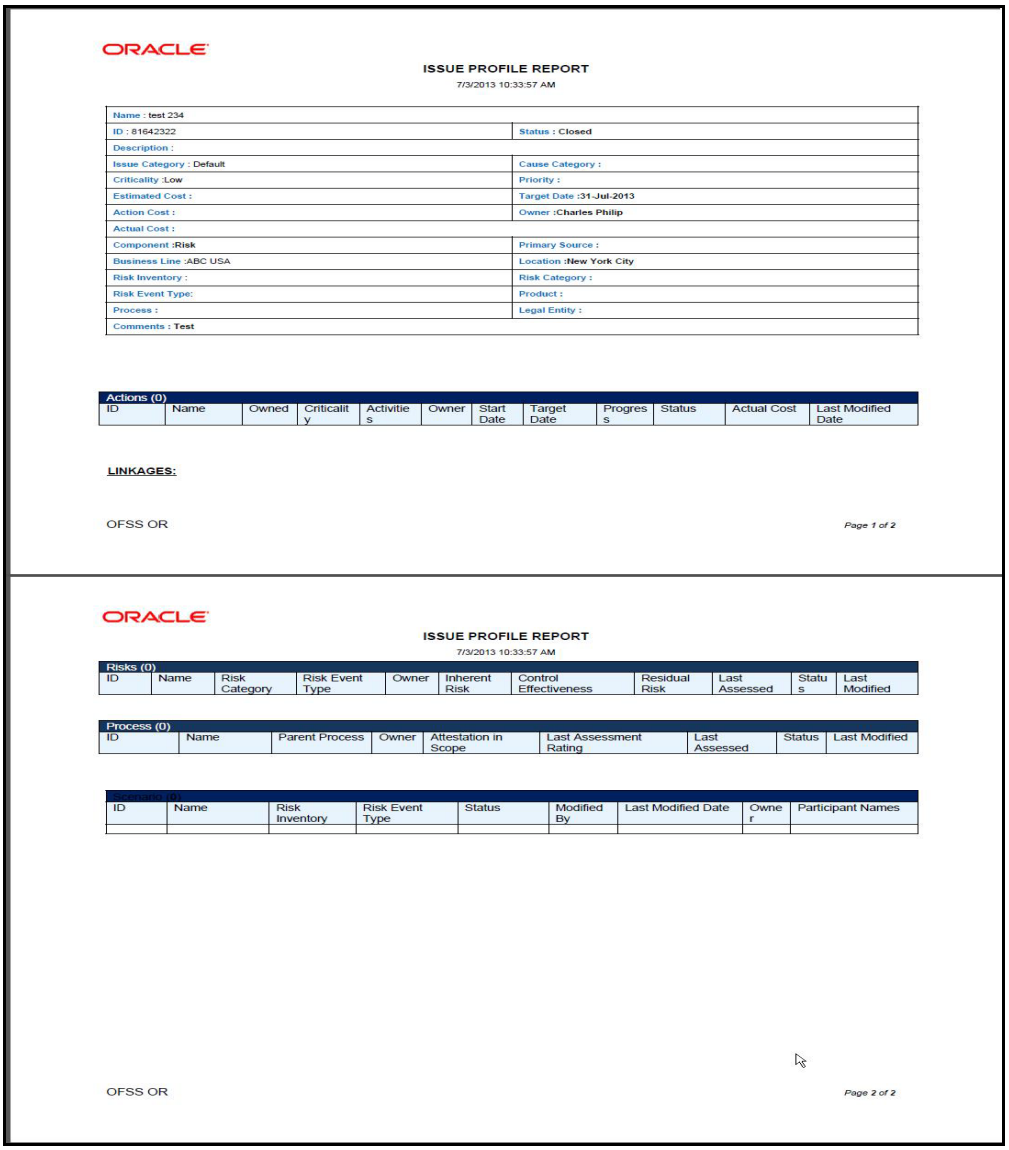



**Figure 193. File Download Window**

3. Click **Open** to view the Action Profile Report.



ORACLE

ISSUE PROFILE REPORT

7/3/2013 10:33:57 AM

| | |
|---|---|
| Name : test 234 | |
| ID : 81642322 | Status : Closed |
| Description : | |
| Issue Category : Default | Cause Category : |
| Criticality :Low | Priority : |
| Estimated Cost : | Target Date :31-Jul-2013 |
| Action Cost : | Owner :Charles Philip |
| Actual Cost : | |
| Component :Risk | Primary Source : |
| Business Line :ABC USA | Location :New York City |
| Risk Inventory : | Risk Category : |
| Risk Event Type: | Product : |
| Process : | Legal Entity : |
| Comments : Test | |

Actions (0)

| ID | Name | Owned | Criticality | Activities | Owner | Start Date | Target Date | Progress | Status | Actual Cost | Last Modified Date |
|---|---|---|---|---|---|---|---|---|---|---|---|

LINKAGES:

OFSS OR

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ISSUE PROFILE REPORT

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Risks (0)

| ID | Name | Risk Category | Risk Event Type | Owner | Inherent Risk | Control Effectiveness | Residual Risk | Last Assessed | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|---|---|

Process (0)

| ID | Name | Parent Process | Owner | Attestation in Scope | Last Assessment Rating | Last Assessed | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|

Scenarios (0)

| ID | Name | Risk Inventory | Risk Event Type | Status | Modified By | Last Modified Date | Owner | Participant Names |
|---|---|---|---|---|---|---|---|---|

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Page 2 of 2

**Figure 194. Action Profile Report**

# CHAPTER 9 Managing Scenarios

This chapter provides information about the Scenarios module in the Oracle Financial Services Operational Risk application and step-by-step instructions to use this module.

This chapter discusses the following topics:

- About Scenarios
- User Roles and Actions
- Scenarios Workflow
- Tasks and Notifications
- Accessing Scenarios Module
- Searching Scenarios
- Creating Scenarios
- Managing Scenarios
- Approving or Rejecting a Scenario
- Reviewing a Scenario
- Deleting Scenarios
- Exporting Scenarios
- Viewing Scenario Profile
- Completeness Check for Risk Event Type
- Embedded Reports

## About Scenarios

A scenario is defined as an outline, description, or model of a sequence of unexpected or adverse events. Scenarios vary according to the level of the organization at which they are researched and focused, but are generally made up of similar components. The scenarios are described using event types and may also include causal analysis, along with expected direct and indirect impacts. Internal data can be used to develop the body of the loss distribution and data generated from scenario analysis can be used to fill any gaps in this data. The input from scenario analysis aids the institution in identifying the level and trend of operational risk, determining the effectiveness of risk management and control efforts, highlighting opportunities to mitigate operational risk, and assessing operational risk on a forward-looking basis. Many financial organizations use scenario analysis in place of traditional forecasting and planning to evaluate the impact and likelihood of extreme but plausible risk events.

Defining which scenario applies to an organization involves identifying and recording the scenario, providing a description of the background, circumstances, and the methodology or approach followed. OFSOR/GCM allows you to create a scenario, edit, submit, review, close, delete, and export scenarios. You can link and delink business units to scenarios, manage assessments, attach and delete documents, view workflow history, and view the scenario profile report in a PDF format.

Users mapped to the role of the Scenario Identifier can capture scenarios based on the frequency and severity of risks and incidents.

The Scenario module is linked to the following entities through the Linkages tab where the scenario identifier can link and delink the following :

- Insurance
- Risks
- Controls
- Incidents
- External Incidents
- Business Continuity Plans
- Key Indicators
- Obligations
- Information Library

## Types of Reports in Scenarios Module

The Scenarios module also generates the following Oracle Business Intelligence (OBI) reports.

- Scenarios by Risk Event Types
- Scenarios by Risk Inventory
- Scenarios by Risk Category
- Non Financial Impact by Business Line
- Scenario Non Financial Impact
- Financial Impacts by Business Line
- Financial Impact Details
- Scenarios Associated with Risks
- Scenarios Associated with Incidents
- Scenarios not Assessed
- Business Continuity Plans associated with Scenarios
- Scenarios by Products
- Scenarios by Processes
- Number of Risks Identified with Scenarios
- Obligations associated with Scenarios
- Overdue Issues for Scenarios by Business Line
- Issues Exceeding Estimated Cost for Scenarios
- Overdue Actions for Scenarios by Business Line

- Actions Exceeding Estimated Cost for Scenarios by Business Line
- Scenario Details
- Scenario Metrics

**Note:** For more information on these reports refer to the Chapter *23, Managing Dashboards*

In addition to the above reports the following embedded reports are also generated.

- Financial Impact trends
- Non Financial Impact trends

For more information on Embedded Reports, refer to section *Embedded Reports*.

## Salient Features

The Scenario provides the following features to help organizations manage their risk:

- A central repository for all types of scenarios held by the organization
- A provision to record the scenario details, assumptions, impact details, details of insurance cover if available, participants, and frequency and severity assessments
- A provision to create assessments
- A provision to export scenarios

## *User Roles and Actions*

This section consists of the following topics:

- User Roles
- Actions

### User Roles

Users mapped to the following roles can access the Scenarios module:

- **Scenario Identifier**: Users mapped to the role of Scenario Identifier can view scenarios, create scenarios, update, edit, delete, assess, review, and close scenarios. A Scenario Identifier can also map secenarios to BUs, add and delete documents, link and delink entities such as risks, controls, internal incidents, external incidents, BCPs, KIs, issues and actions, insurance policies, and information libraries. This user can also submit the scenario for approval, and review scenarios.
- **Scenario Approver**: A Scenario Approver is the higher authority who approves or rejects scenarios, attaches and deletes documents to scenarios and create, link, delink, and delete issues and actions.

### Actions

- **Creating Scenario**: This action allows the user to create a new scenario. Users can enter the details in the Scenario Definition page and save the scenario. Then, the Scenario Identifier submits the scenario for approval by Scenario Approver.
- **Editing Scenario**: This action allows the user to edit and update the scenario in Draft or in In Review status.
- **Reviewing Scenario**: This action allows the user to review an Open scenario by updating the changes to the scenario and then submitting it. The scenario then change to Pending approval status.
- **Deleting Scenario**: This action allows the user to delete a Draft scenario. When an organization believes that a certain scenario has been generated incorrectly or not required, it may delete the same.
- **Exporting Scenarios:** This action allows the user to to export the details of the scenario. Exporting scenarios allows the organization to have a compiled list of all the applicable scenarios.

## Scenarios Workflow

The life cycle of the Scenarios module is described in the following workflow diagram.

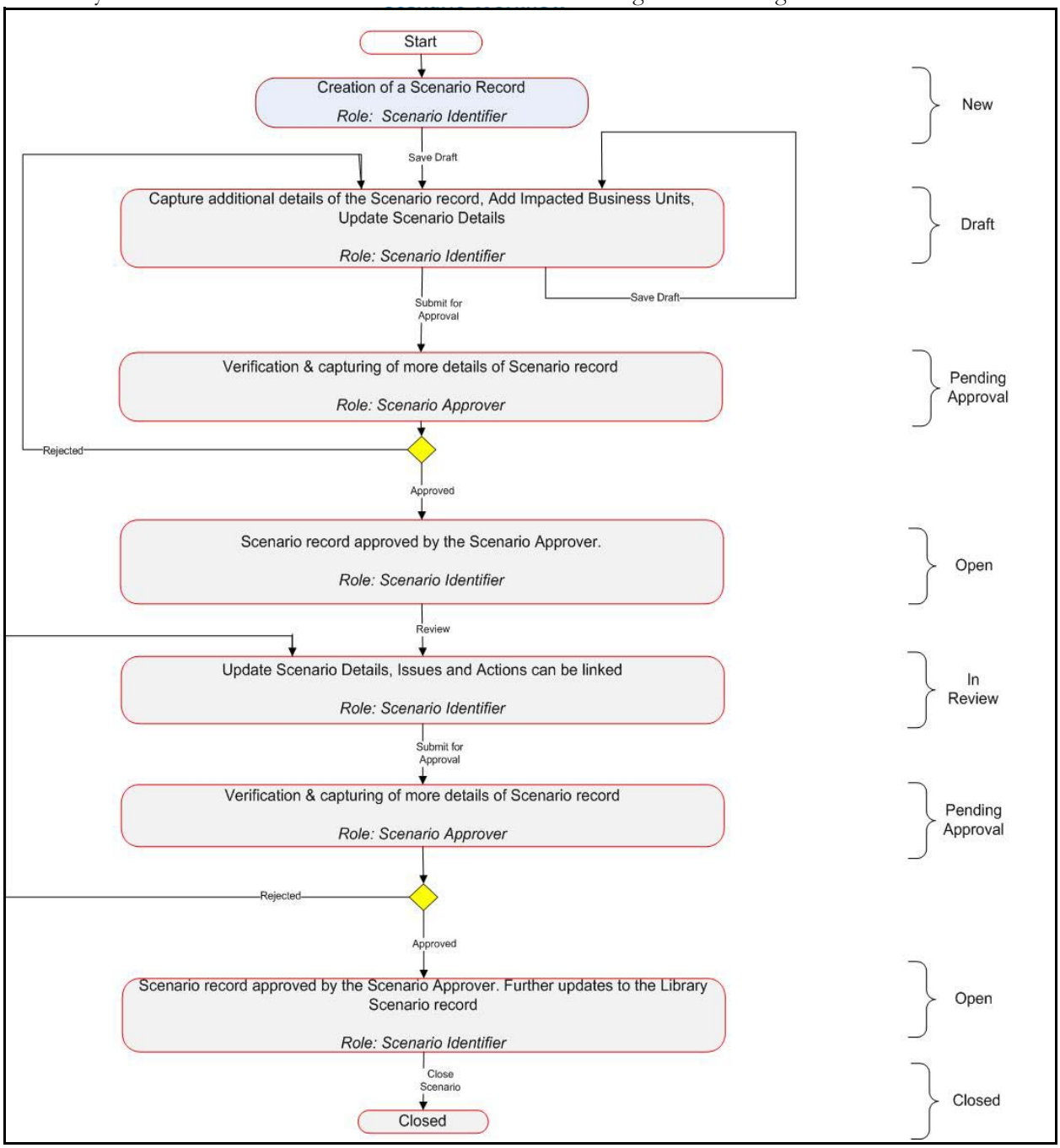



**Figure 195. Scenarios Workflow**

The following diagram depicts the workflow of scenario assessment:

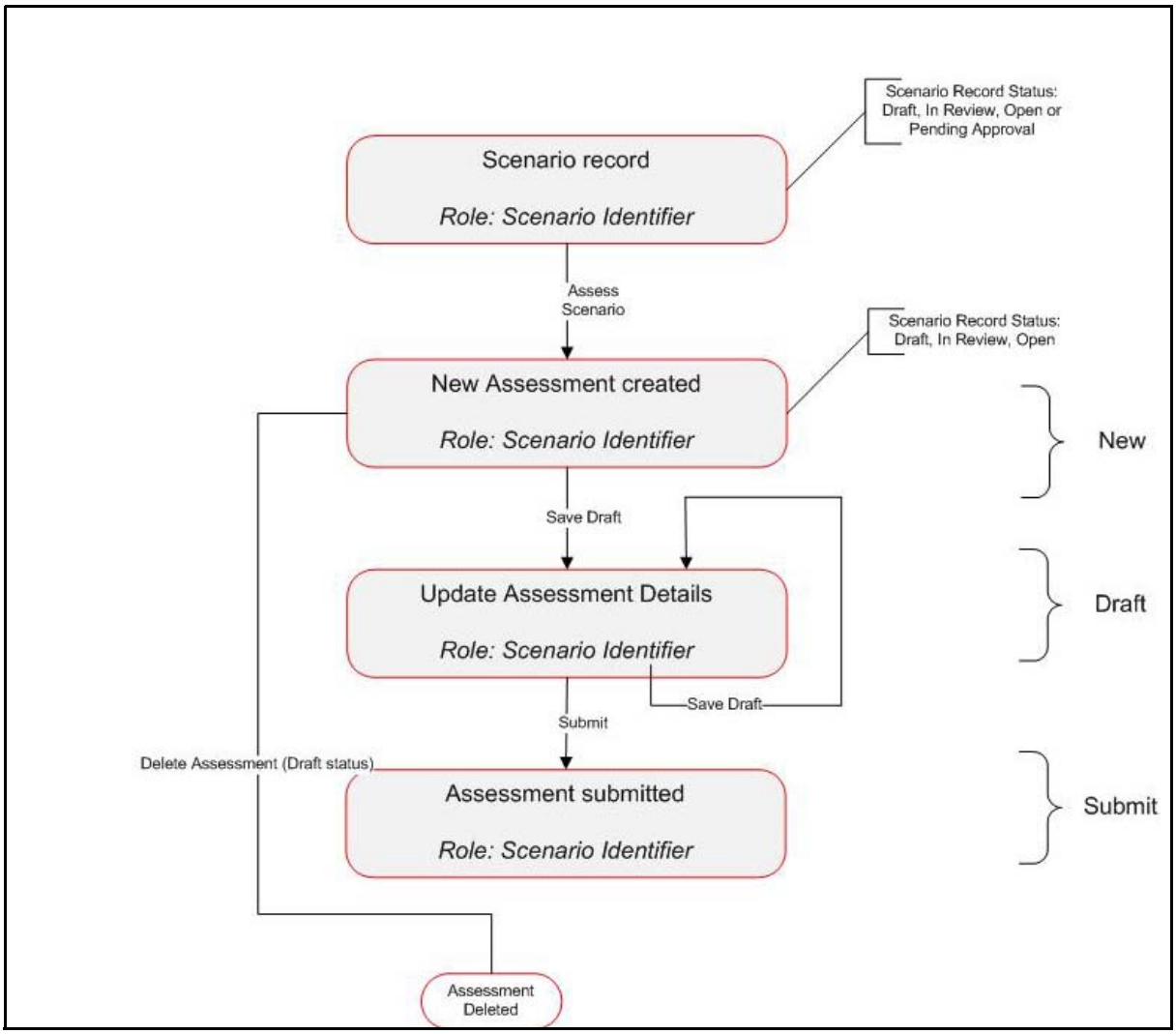



**Figure 196. Scenarios Assessment Workflow**

## Tabular Workflow

The workflow of the Scenario module is described in the following table.

**Table 102. Tabular Workflow**

| Task | Description | Status |
|---|---|---|
| Creating a Scenario | Users mapped to the role of Scenario Identifier can create a new scenario for the first time by entering the required data in the Scenarios Definition page. | New |
| Updating a Scenario | On clicking **Save**, the entries filled in this definition page are saved. You can also modify the details by using the **Edit** option in later stages. Status will change from *New* to *Draft*. In Draft mode, the Scenario Identifier can capture more details and link and delink impacted business units. | Draft |
| Submitting a scenario | The Scenario Identifier can submit the scenario for approval to the Scenario Approver. The scenario approver verifies the scenario. | Pending Approval |
| Approving or Rejecting a Scenario | The Scenario Approver can approve or reject a scenario after verification of the details. If it is Approved, the status changes to *Open,* otherwise the status changes to *Draft.* | Open or Draft |
| Reviewing a Scenario | A scenario that is in *Open* status can be reviewed by a Scenario Identifier by updating the changes. The status changes to *In Review.* After updating, the scenario is submitted for approval and the status changes to *Pending Approval.* If the changes are approved, the status changes to *Open.* If the changes are rejected, then the status changes to *In Review.* | In Review |
| Closing a Scenario | A scenario that is in *Open* status can be *Closed* by a Scenario Identifier which means the scenario is no longer in use. | Closed |

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user role. 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.

**Table 103. Task and Notifications**

| Action Performed | Task/ Notification | Sender | Receiver | Status |
|---|---|---|---|---|
| Request for Approval | Task | Scenario Identifier | Scenario Approver | Pending for Approval |
| Request for Approval - In Review Scenario is updated and submitted for Approval | Task | Scenario Identifier | Scenario Approver | Pending for Approval |
| Rejected - Scenario rejected. | Task | Scenario Approver | Scenario Identifier | Draft/In Review |
| Approved - Scenario Approved | Notification | Scenario Approver | Scenario Identifier | Open |

## Accessing Scenarios Module

The Oracle Financial Services Operational Risk Home page allows you to access the Scenarios module. Scenario Identifiers and Scenario Approvers can access the Scenarios module.

To access scenarios, follow these steps:

1. Login to the OFSOR/GCM application with Scenario Identifier or Scenario Approver credentials. The OFSOR/GCM Home page is displayed.
2. Click **Scenarios**. The Scenarios Search and List page is displayed.

# Searching Scenarios

The Scenario Search and List page allows you to filter the scenarios that you want to view and analyze. The Scenario Search section supports three types of search-Search by Views, Search, and Advanced Search and you can use only one search at a time.
This section discusses the following topics:

- Searching Scenarios Using Basic Search
- Searching Scenarios Using Advanced Search Criteria
- Searching Scenarios Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Scenarios Using Basic Search

This search is based on a limited set of search criteria and helps retrieve the relevant scenario details.

To search the scenarios using Basic Search criteria, follow these steps:

1. Navigate to the Scenario Search and List Page.

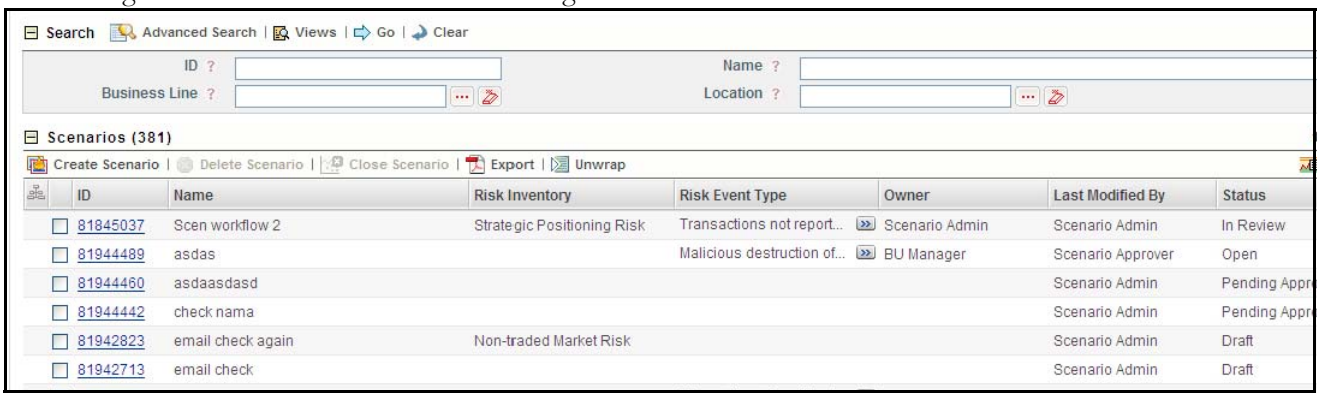



**Figure 197. Scenarios Search and List Page**

2. Enter the following search criteria to filter the Scenarios search list.

**Table 104. Scenario Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of a scenario. This field allows you to enter a maximum of 20 digits. |
| Name | Enter the name of the scenario. This is a text field which accepts upto 300 alpha-numeric characters. |
| Business Line | Select the business line from the hierarchy browser to display scenarios mapped to the selected business line. Only those business lines to which the logged in business user is mapped are available in the hierarchy. |
| Location | Select the location from the hierarchy browser to display scenarios mapped to the specific loation.Only those locations to which the logged in business user is mapped are available in the hierarchy. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank

   **Note:** If the entered search criteria does not match with the database, the following message is displayed: *No Data Found for this Search Criteria.*

## Searching Scenarios Using Advanced Search Criteria

Advanced Search offers the same search fields as provided for a Basic Search along with additional fields. If you know any of the scenario details such as ID, Name, Business Line, and so on, then you can filter the scenarios using the Advanced Search criteria.

To search the scenarios using Advanced Search criteria, follow these steps:

1. Navigate to the Scenario Search and List Page.

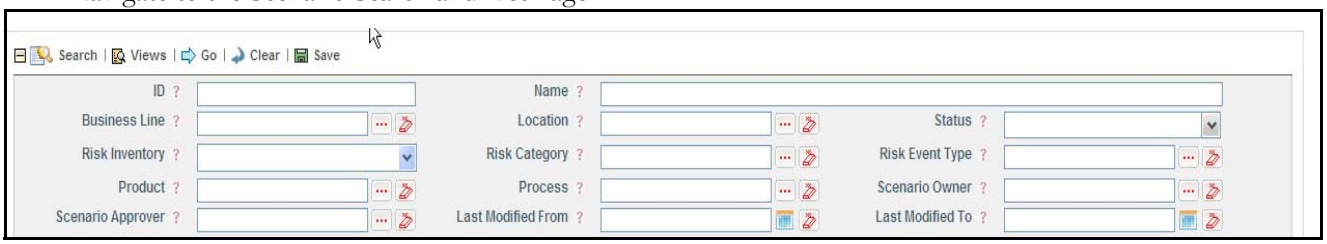



**Figure 198. Scenarios Advanced Search Page**

2. Click **Advanced Search** from the Search section.
3. Enter the search criteria to filter the Scenarios search list.

   The following table provides a list of search criteria that are displayed in the Scenario Advanced Search section:

**Table 105. Scenario Advanced Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of a scenario. This field allows you to enter a maximum of 20 digits. |
| Name | Enter the name of the scenario. This is a text field which accepts upto 300 alpha-numeric characters. |
| Business Line | Select the business line from the hierarchy browser to display scenarios mapped to the selected business line. |

**Table 105. Scenario Advanced Search Criteria**

| Search Criteria | Description |
|---|---|
| Location | Select the location from the hierarchy browser to display scenarios mapped to the specific location. |
| Status | Select the status of the scenario from the multi-select drop-down list.<br>**Note:** You can select more than one option from the drop-down list. |
| Risk Inventory | Select the risk inventory from the drop-down list to which the scenario belongs. For example, credit risk, operational risk and so on. |
| Risk Category | Select the risk category from the hierarchy browser to which the scenario belongs. |
| Risk Event Type | Select the risk event type from the hierarchy browser to which the scenario belongs. |
| Product | Select the product from the hierarchy browser to which the scenario belongs.The hierarchy browser contains the list of all products. |
| Process | Select the process from the hierarchy browser to which the scenario belongs.The hierarchy browser contains the list of all processes. |
| Scenario Owner | Select the name of the owner of the scenario from the hierarchy browser. The hierarchy browser contains the list of all scenario owners. |
| Scenario Approver | Select the name of the person from the hierarchy browser who approved the scenario. |
| Last Modified From | Select the scenarios last modified from the date greater than or equal to the *Last Modified From* date |
| Last Modified To | Select the scenarios last modified till the date lesser than or equal to the *Last Modified To* date. *Last Modified To* date should be greater than or equal to the *Last Modified From* date. Else, a validation message is displayed stating *Please verify the range selected for last modified dates*. |

4. Click **Go**. The relevant search list is displayed.
5. Click **Clear** to reset all the search fields to blank
6. Click **Save** to save the search results.

   **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: Managing Issues and Actions, Saving a Search* section

## Searching Scenarios Using Pre-defined Views

The Views search represents pre-populated search queries and helps filter scenarios based on pre-defined views. If you want to search and filter scenarios according to pre-defined views such as Closed or Saved Searches, then you can search and filter the scenario list based on the views.

To search scenarios using pre-defined views, follow these steps:

1. Navigate to the Scenario Search and List Page.

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

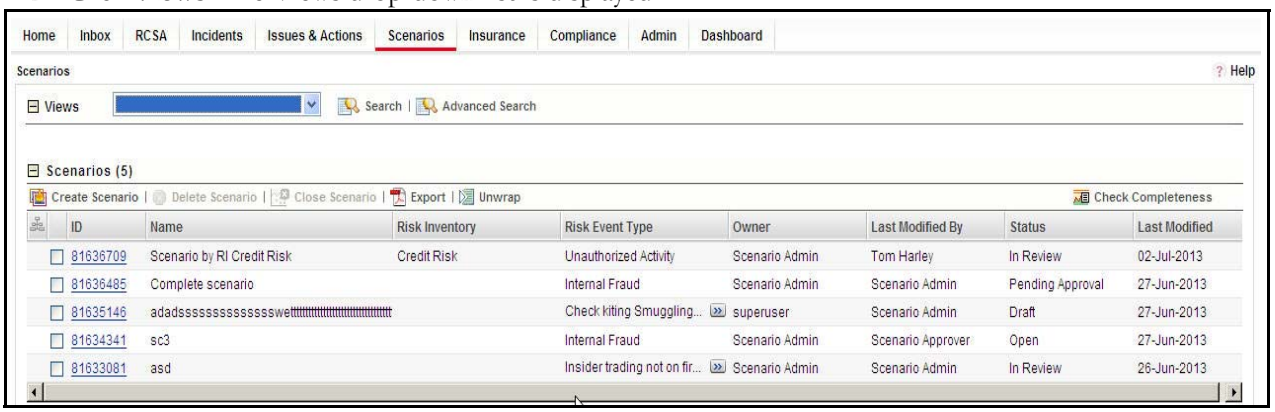



**Figure 199. View Drop-down List**

3. Select following pre-defined view from the **Views** drop-down list. The relevant search list page is displayed.

**Table 106. Scenarios View Types**

| View Type | Description |
|---|---|
| Closed Scenarios | Select Closed Scenarios from the drop-down list to display scenarios which are currently in Closed status in descending order of the last modified date. |
| Saved Searches | Select any of the Saved Scenarios from the drop-down list to display scenarios which were earlier searched in descending order of the last modified date. |

**Note:** If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down.

## Creating Scenarios

You can create a new scenario when you want to model any adverse or unexpected events occuring in an organization for subsequent tracking and re-use. Users mapped to the role of Scenario Identifier can create new scenarios.

The Scenario Search and List page allows you to create new scenarios.

To create a Scenario, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Click **Create Scenario**. The Scenario Details page is displayed.

   **Note:** The status of the scenario is *New*.

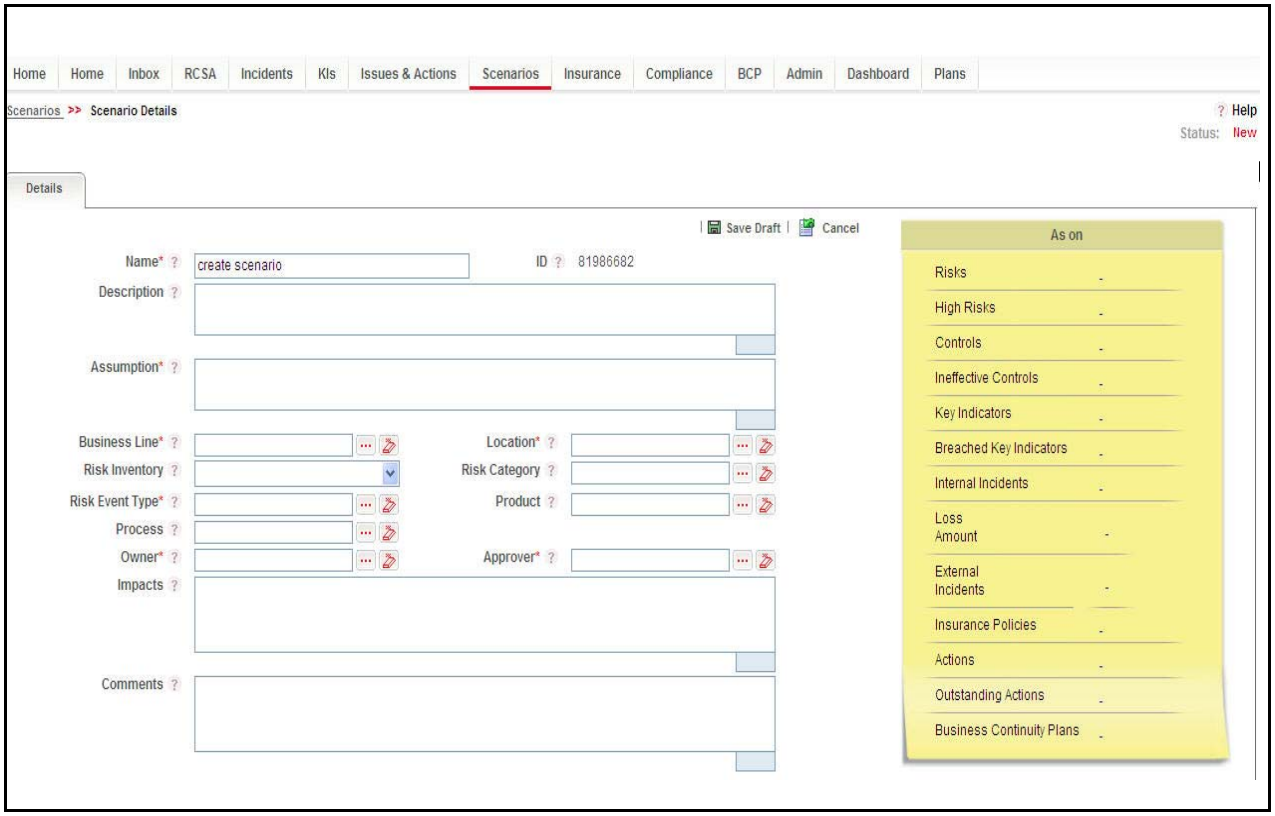



**Figure 200. Scenario Details Page**

3. Enter the following information in the Scenario Details window.

**Table 107. Scenario Details Page Fields**

| Field | Description |
|---|---|
| Name | Enter the name of the scenario.<br>This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the scenario details without entering the scenario name, the application displays the following message: *Please enter the Scenario Name.* |
| ID | Displays the sequential tracking number of a scenario. This is an auto-generated unique identification number and cannot be modified. |

**Table 107. Scenario Details Page Fields**

| Field | Description |
|---|---|
| Description | Enter a brief description of the scenario. This is a text field accomodating up to 3000 alpha-numeric characters. |
| Assumption | Enter the assumptions based on which the scenario details are captured.This is a text field accomodating upto 3000 characters. |
| Business Line | Select the business line from the hierarchy browser. |
| Location | Select the location from the hierarchy browser. |
| Risk Category | Select the risk category from the hierarchy browser. |
| Risk Inventory | Select the risk inventory from the drop-down list . |
| Risk Event Type | Select the risk event type from the hierarchy browser. |
| Product | Select the product from the hierarchy browser. |
| Process | Select the process from the hierarchy browser. |
| Owner | This is auto-populated with the logged in user but editable. |
| Approver | Select the name of the Scenario Approver. This is the hierarchy browser which contain the users mapped to the role of Scenario Approvers. |
| Impacts | Enter the details of the impacts a scenario may have. This field accomodates a maximum of 3000 characters. |
| Comments | Enter the comments. This field accomodates a maximum of 3000 characters. |

4. Click **Save Draft**. A Confirmation dialog box is displayed.
5. If you click **OK**, the scenario is added and the Scenario Details page is displayed.

   **Note:** The status of the scenario changes to *Draft*.

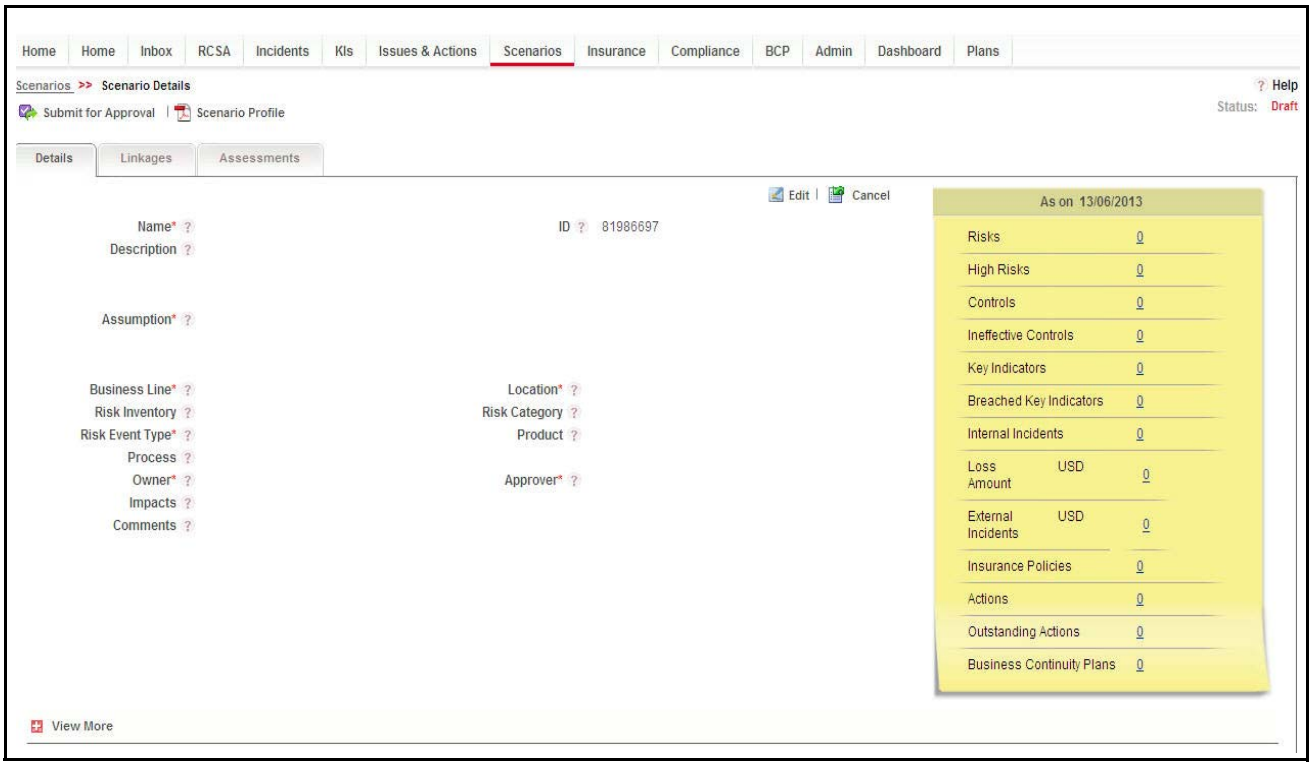



**Figure 201. Scenario Details Page in Draft status**

The Scenario Details page allows you to perform the following actions in Draft status:

- Editing Scenarios
- Linking and delinking impacted businesses to scenarios
- Linking and delinking insurance policies to scenarios
- Attaching and deleting documents related to scenarios
- Viewing Workflow History
- Viewing Profile Report
- Submitting Scenarios for approval

For more information on closing scenarios, refer to the *Closing Scenarios* section.

6. Click **Submit for approval**. The following message is displayed: *Update Operation Successful.*
7. Click **OK**. The status of the Scenario changes to *Pending Approval.* A task is sent to the Scenario Approver.

**Note:** To submit a scenario, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

# Managing Scenarios

The Scenario Details page allows you to manage the tabs and tasks pertaining to scenarios.

The Scenario Details page allows you to perform the following functions:

- Managing Scenario Details
- Assessing Scenarios
- Managing Linkages
- Managing Issues and Actions

## Managing Scenario Details

This section covers following topics:

- Editing Scenario
- Viewing Additional Information
- Managing Impacted Businesses
- Managing Insurance Policies
- Managing Documents
- Viewing Workflow History

### Editing Scenario

If you want to update or modify the scenario details, the Details tab in the Scenario Details page allows you to edit scenario details. A Scenario Identifier user can edit a scenario when it is in Draft and In Review status.

This section covers the following topics:

- Editing a Scenario in Draft and In Review status
- Editing a Scenario in Open status

#### *Editing a Scenario in Draft and In Review status*

To edit a scenario, follow these steps:

1. Select a scenario from the Scenario Search and List page. The Scenario Details page displays.
2. Click **Edit**. The Scenario Details page becomes editable.
3. Modify the necessary information. For more information about the Scenario Details page, refer to *Table 107*. The fields in this tab are auto-populated with data previously saved. By default, this tab is non-editable.
4. Click **Update**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The updated Scenario Details page is displayed.

#### *Editing a Scenario in Open status*

To edit a scenario in *Open* status, follow these steps:

1. Select a scenario in *Open* status from the Scenario Search and List page. The Scenario Details are displayed.
2. Click **Review.** The Scenario Details page is displayed.
3. Click **Edit**. The Scenario Details page becomes editable.

4. Modify the necessary information. For more information about the Scenario Details page, refer to *Table 107*. The fields in this tab are auto-populated with data previously saved. By default, this tab is non-editable.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The updated Scenario Details page is displayed.

### Viewing Additional Information

The Additional Information section provides details about the count of components such as risks, controls, insurance policies, key indicators, and so on.

Additional Information details are available in the Scenario Details and Scenario Assessment Pages in the Draft, Open, or In Review status of the scenarios. The Additional Information details section displays information as on the current date.

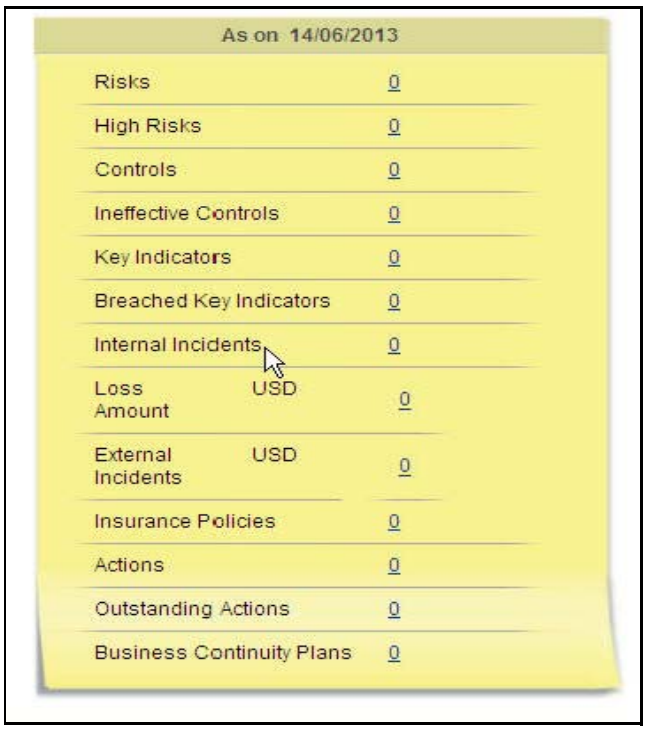



**Figure 202. Additional Information**

Data shown in this section are auto-populated and hyperlinked to the page as shown in the following table:

**Table 108. Additional Information section**

| Field | Data | Hyperlink to |
|---|---|---|
| Risks | Total number of risks linked to the scenario. | Linkages section with only Risks shown. |
| High Risks | Total number of risks linked to the scenario and rated as High during latest assessment of the risk. | Linkages section with only High Risks shown. |
| Controls | Total number of controls linked to the scenario. | Linkages section with only a list of controls shown. |

**Table 108. Additional Information section**

| Field | Data | Hyperlink to |
|---|---|---|
| Ineffective Controls | Total number of controls linked to the scenario and rated as 'Requires Improvement' during latest assessment of the risk. | Linkages section with only list of ineffective controls shown. |
| Key Indicators | Total number of key indicators linked to the scenario. | Linkages section with only a list of Key Indicators (KIs) shown. |
| Breached Key Indicators | Total number of key indicators linked to the scenario and rated as 'RED' during latest assessment. | Linkages section with only a list of Key Indicators (KIs) with rating as high (Red) shown. |
| Internal Incidents | Total number of Internal Incidents linked to this scenario. | Linkages section with only a list of Internal Incidents shown. |
| Loss | Auto-populate sum of net loss amount of incidents linked to this scenario. | Linkages section with only a list of Incidents shown. |
| External Incidents | Total number of External Incidents linked to this scenario. | Linkages section with only a list of External Incidents shown. |
| Insurance Policies | Total number of Insurance Policies linked to this scenario. | Linkages section with only a list of Insurance Policies shown. |
| Actions | Total number of Actions created or linked to the scenario. | Issues and Actions tab. |
| Outstanding Actions | Total number of Open Actions created or linked to the scenario. | Issues and Actions tab. |
| Business Continuity Plans | Total number of Business Continuity Plans (BCPs) linked to this scenario.<br>**Note:** The BCPs section in the Linkages tab is only available in the OFSOR/GCM application. | Linkages section with only a list of BCPs shown. |

*Viewing Additional Information in Assessment Page*

Assessment Trends are OBI reports shown on the Assessment Page. You can view additional information details and assessment trends in the Assessment Page.

To view assessment trends, follow these steps:

1. Navigate to the Assessment tab in the Scenario Details page.
2. Click the Assessment **ID**. The Assessment details are displayed.
3. Select the Assessment Trend Report from the drop-down list (for example, Financial Impact Trends and Non Financial Impact Trends.). By default, Financial Impact Trends is shown.

   **Note:** An option to view the full graph is provided, which shows the graph report in full page mode. You may select, view, or drill down any graph in full page mode.

### Managing Impacted Businesses

The Scenario Details page allows you to record the impact caused to a business line or location due to an event through the Impacted Businesses section. The Impacted Businesses section allows you to link or delink a Business Unit.

*Linking and delinking Business Units*

For more information on linking and delinking BUs, refer to *Chapter 3: General Features, Managing Linkages* section.
**Note**: Impacted Businesses can be linked/delinked in *Draft* and *In review* status. Only one BusinessLine or Location can be delinked at a time.

*Assesinng Scenarios*

For more information on assessing scenarios for selected BUs, refer to the section *Assessing Scenarios*.

### Managing Insurance Policies

The Insurance Policies section allows you to link or delink insurances with a scenario.

For more information on linking and delinking Insurance Policies, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### Managing Documents

The Documents tab enables you to attach or delete documents related to a Scenario. Users mapped to the roles of Scenario Identifier and Scenario Approver can attach or delete documents.
For more details, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

### Viewing Workflow History

The Workflow History tab shows the audit trail of all the changes made to the scenario details.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

## Assessing Scenarios

The Scenario Details page allows you to assess scenarios by entering the frequency of occurrence and severity of an event. This data helps determine the losses that may occur, if events of the set severity occur frequently.

This section covers the following topics:

- Creating Assessments
- Editing Assessments
- Deleting Assessments
- Managing Participants

### Creating Assessments

Assessments are created to capture the details, such as frequency of occurrence and severity of an event, belonging to a scenario.
To create assessments for a scenario, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Select a scenario. The Scenario Details page is displayed.
3. Click **View More.**
4. In the Impacted Businesses section, select a Business line and then click **Assess Scenario.**
5. The Assessments tab is displayed.

   Or

Navigate to the Scenario Details page and click the **Assessments** Tab. The new Assessment page is displayed.

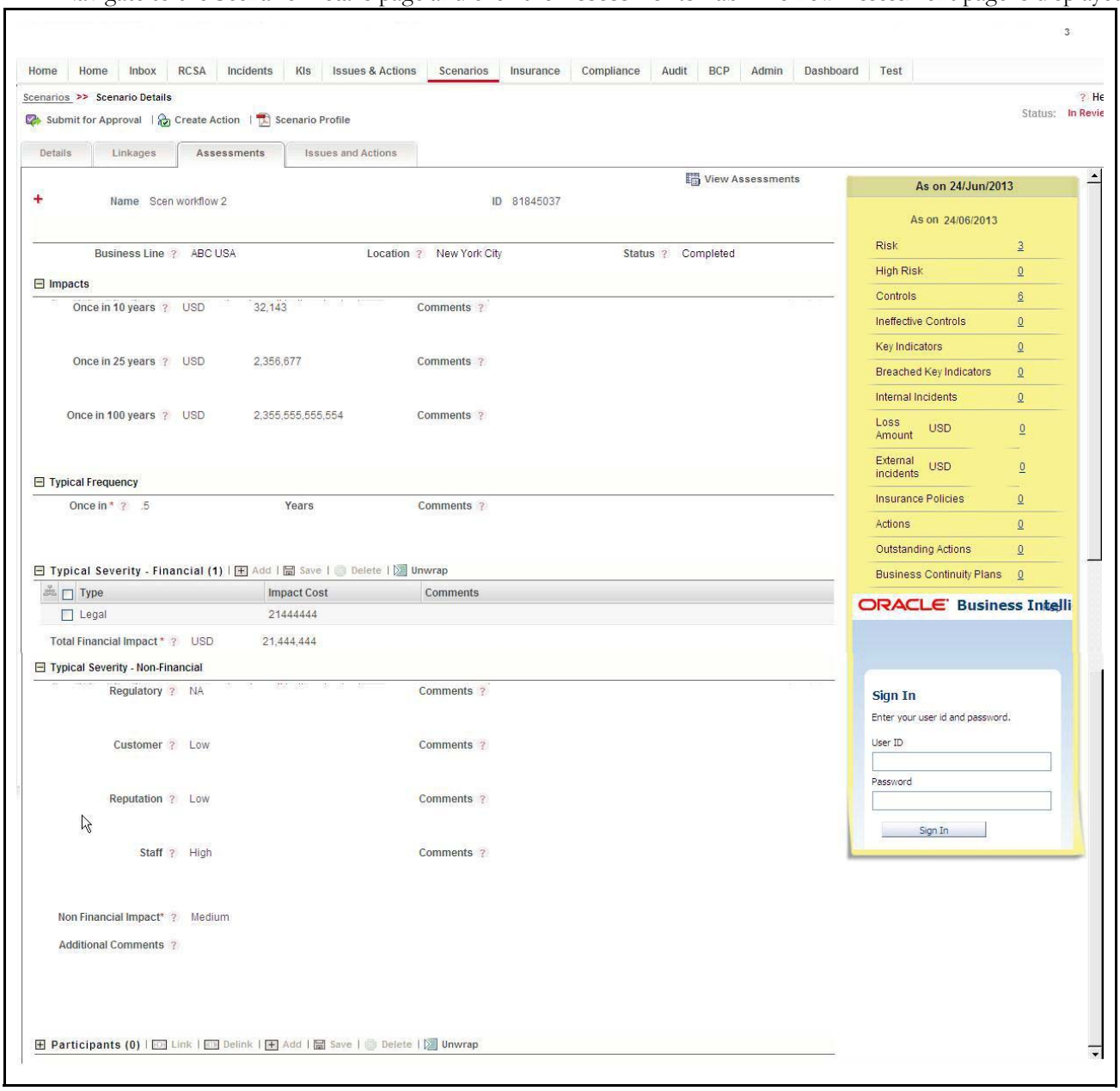



**Figure 203. Scenario Assessment Page**

6. Enter the following details in the Assessment page.

**Table 109. Fields of Assessment Page**

| Field | Description |
|---|---|
| CCY | Select the currency associated with the scenario from the drop-down list. The CCY field has the base currency by default. |
| Once in 10 years | Enter the expected loss if the event occurs once in 10 years.<br>This field accomodates a maximum of 13 digits. |

**Table 109. Fields of Assessment Page**

| Field | Description |
|---|---|
| Comments | Enter the comments justifying the mentioned frequency for the loss event occuring once in 10 years.This field accomodates a maximum of 3000 characters. |
| Once in 25 years | Enter the expected loss if the event occurs once in 25 years.<br>This field accomodates a maximum of 13 digits. |
| Comments | Enter the comments justifying the mentioned frequency for the loss event occuring once in 25 years.This field accomodates a maximum of 3000 characters. |
| Once in 100 years | Enter the expected loss if the event occurs once in 100 years.<br>This field accomodates a maximum of 13 digits. |
| Comments | Enter the comments justifying the mentioned frequency for the loss event occuring once in 100 years.This field accomodates a maximum of 3000 characters. |
| Typical Frequency | Enter the regular or normal frequency at which the scenario might occur. This field accomadates alpha numeric characters of maximum 1000 with 2 decimals. |
| Comments | Enter the comments justifying the mentioned frequency.This field accomodates a maximum of 3000 characters. |
| Typical Severity-Financial | Enter the typical financial Impact of the event. For more details, refer to *Enter the details in the Typical Severity - Financial section. This section contains the following columns:,* on page 350 |
| Comments | Enter the comments justifying the typical severity for financial impact.This field accomodates a maximum of 3000 characters. |
| Typical Severity-Non Financial | Enter the typical non-financial Impact of the event. |
| Regulatory | Enter the regulatory impact if the scenario were to occur. Choose from High, Low, Medium, NA. |
| Customer | Enter the impact on customers of the organization if the scenario were to occur. Choose from High, Low, Medium, NA. |
| Reputation | Enter the impact on the reputation of the organization if the scenario were to occur. Choose from High, Low, Medium, NA. |
| Staff | Enter the impact on the staff of the organization if the scenario were to occur. Choose from High, Low, Medium, NA. |
| Comments | Enter the comments justifying the typical severity for each of the above non-financial fields. This field accomodates a maximum of 3000 characters. |
| Non financial Impact | The non-financial impact is auto-populated. |
| Additional Comments | Enter the comments justifying the non-financial impact. This field accomodates a maximum of 3000 characters. |

Enter the details in the Typical Severity - Financial section. This section contains the following columns:

**Table 110. Typical Severity - Financial columns**

| Field | Description |
|---|---|
| Type | Select the type from the drop-down list.<br>Following are the possible values for Type drop-down list:<br>● Legal<br>● Write off<br>● Professional cost and fees<br>● Others |
| Impact Cost | Enter the impact cost based on currency selected at the top of the page. Allows a maximum of 13 digits and decimals. |
| Comments | Enter the comments. This field allows a maximum of 3000 characters. |

a. To add a typical severity - financial, click **Add.** This button allows you to add a new row in the section and you are able to update data.

b. To save a typical severity - financial, click **Save.**

**Note:** If all mandatory fields are not entered, a Validation message, *Mandatory fields are not entered* is displayed and does not save the typical severity - financial.

c. To delete a typical severity - financial, follow these steps:

i. Click **Delete.** It is enabled only when typical severity financial impact is selected. The following message is displayed: *Are you sure you want to delete this record?*

ii. Click **Yes**. The following message is displayed: *Delete Operation Successful.*

7. Click **Update**. The *Update Operation Successful* message box is displayed.
8. Click **OK**. The updated Scenario Details page is displayed. The assessment is saved as a *Draft*.
9. To submit the assessment, click **Submit** and the status of the Scenario Assessment changes to *Completed* in the Assessments section.

*Viewing All Assessments and Latest Assessments:*

1. Navigate to the Assessments page.
2. Click **View All Assessments**. This shows all the assessments for the scenario in the section.

   **Note:** This button toggles into *View Latest Assessment* button. This button gets enabled when the Assessments Page is showing all the assessments for that scenario. This button limits the number of assessments to the latest draft and submitted assessment for each business Line and location.

### Editing Assessments

Users mapped to the role of Scenario Identifier can edit Scenario assessments. The Scenario Assessments can be edited only in Draft status.

To edit Scenario assessments, follow these steps:

1. Navigate to the Assessments tab in the Scenario Details page. The Assessments section displays all the assessments associated to the Scenario.
2. Click an assessment ID. The Scenario Assessment page is displayed.

3. Modify the necessary information in the Scenario Assessment page. For more information on field descriptions, refer to *Table 109*.
4. Click **Update**. The following message is displayed: *Update operation successful.*
5. Click **OK**. The Scenario Details page is updated.

### Deleting Assessments

Users mapped to the role of Scenario Identifier can delete Scenario assessments.The **Delete Assessment** button is enabled either for a Draft assessment, or if the Scenario is in Draft status then for Submitted Assessments also.

To delete Scenario assessments, follow these steps:

1. Navigate to the Assessments tab in the Scenario Details page. The Assessments section displays all the assessments associated to the Scenario.
2. Select an Assessment ID. The Scenario Assessment page is displayed.
3. Click **Delete Assessment.** It deletes the selected assessment from the list.
4. The following confirmation message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**, the assessment is deleted. The user then returns to the Assessment section page.

### Managing Participants

Participants are people involved in a scenario assessment workshop. One or many participants can be added and linked to a scenario assessment.

This section covers the following topics:

- Adding Participants
- Deleting Participants
- Linking and delinking a Participant

The section contains the details of Participants, with the following columns:

**Table 111. Participants section columns**

| Fields | Description |
|---|---|
| Name | Enter the name of the Participant. This field accomodates upto 300 characters. |
| Designation | Enter the designation of the Participant. This field accomodates up to 300 characters. |
| Email ID | Enter the email ID of the Participant. This field accomodates up to 300 characters. |
| Particpant | Select the participant type from the following values in the drop-down list :<br>● Moderator<br>● Participant |

#### *Adding Participants*

Participants are added to get a compiled list of people participating in a scenario assessment workshop.

To add Scenario participants, follow these steps:

1. Navigate to the Assessments tab in the Scenario Details page. The Assessments section displays the assessments associated to the Scenario.
2. Click an Assessment ID. The Scenario Assessment page is displayed.

3. Navigate to the Managing Participants section.
4. Click **Add**. It adds a new row at the top of the list in the Managing Participants section.
5. Enter the participant details in the above mentioned row.
6. Click **Save**. The participant details added are saved.

   **Note:** Name, Designation, and Email are mandatory for saving the participant. A check verifies that all the mandatory fields are entered, otherwise the following message is displayed: *Name, Designation & Email are mandatory*. The user cannot proceed without this.

### *Deleting Participants*

If you no longer require a participant to be involved in the scenario assessment workshop, you can delete that participant.

To delete Scenario participants, follow these steps:

1. Navigate to the Assessments tab in the Scenario Details page. The Assessments section displays all the assessments associated to the Scenario.
2. Click an Assessment ID. The Scenario Assessment page is displayed.
3. Navigate to the Participants section.
4. Click **Delete**. The selected participant is deleted from the list. The following confirmation message is displayed: *Are you sure you want to delete this record?*
5. Click **OK**, the participant is deleted.

### *Linking and delinking a Participant*

To link a participant, follow these steps:

1. Navigate to the Assessments tab in the Scenario Details page.
2. Select an Assessment **ID** in Draft status. The Assessment page opens. Navigate to the Participant section.
3. Click **Link** in the Participant section. This opens the Participants Search and List page with the following details:

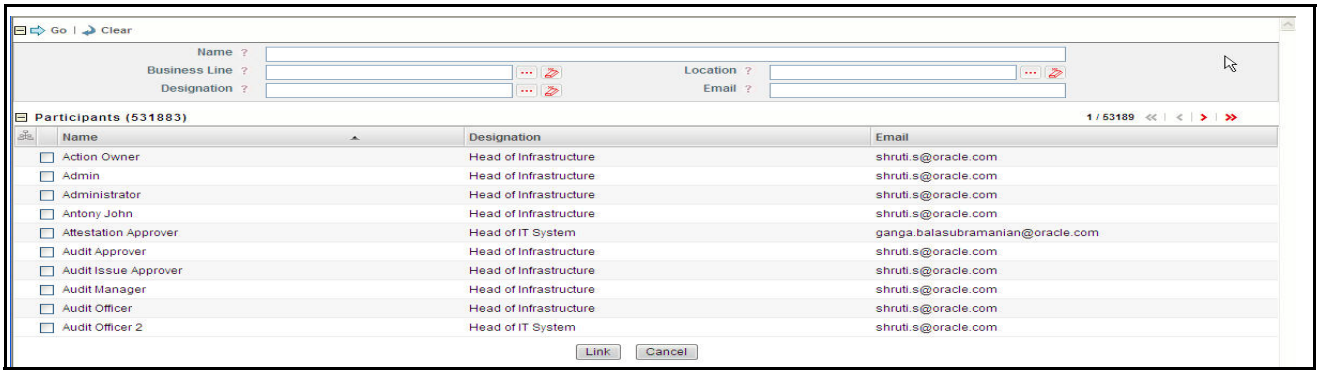



**Figure 204. Linking Participants**

Following are the fields in the participant Search criteria

**Table 112. Participants Search Criteria**

| Fields | Description |
|---|---|
| Name | Enter the name of the Participant. This field accomodates a maximum of 300 characters. |
| Business Line | Select the business line from the hierarchy browser to display participants mapped to the selected business line. If Location is selected only Business Lines associated with the selected Location are populated. |
| Location | Select the location from the hierarchy browser to display participants mapped to the selected location. If Business Line is selected, Locations associated with the selected Business Line are populated. |
| Designation | Enter the designation of the Participant. |
| Email ID | Enter the email ID of the Participant. This field accomodates a maximum of 300 characters. |

4. Click **Go**.
5. Click **Clear** to reset the fields to blank
6. The Link and Back buttons are available in the window. Select the required participants and click **Link**.
7. Once the participants are linked, the following message is displayed: *Records Linked Successfully.* Linked participants are displayed under the Participants section on the Assessments Details page.

   Once the participants are linked to the section, you may select the Participant type for the linked participants.

To select the Participant type, follow these steps:

1. Select a Participant record. The record row becomes editable.
2. Select the Participant type from the drop-down list.
3. Click **Save**.

Linked participants can be delinked if they are no longer required.
To delink a participant, follow these steps:

1. Navigate to the Assessments tab.
2. Click an Assessment ID in *Draft* status. The Assessment page opens. Navigate to the Participants section.
3. Select the required participants to delink and click **Delink**. The following messsage is displayed: *Are you sure you want to delink the records?*
4. Click **OK**. The following message is displayed: *Records Delinked Successfully.*

## Managing Linkages

The Linkages tab allows you to view, link and delink the entities of the different modules of Oracle Financial Services Operational Risk. The Linkages tab is displayed in the Scenario Details page in all statuses. You can link any of the following entities to a scenario which is in *Draft* or *In Review* status:

- **Risks** - Displays all the risks in Open status linked to a Scenario.
- **Controls** - Displays all the controls in Open status linked to a Scenario.
- **Incidents** - Displays all the incidents in all statuses except Closed status linked to a Scenario.
- **External Incidents** - Displays all the external incidents in all statuses except Closed status linked to a Scenario.
- **Information Libraries** - Displays all the information libraries in Open status linked to a Scenario.
- **Key Indicators** - Displays all the key indicators in Open status linked to a Scenario .
- **Obligations** - Displays all the obligations in Open and In Review status linked to a Scenario.
- **Business Continuity Plans** - Displays all BCPs in Open status linked to a Scenario.

**Note:** The BCPs section in the Linkages tab is only available in OFSOR/GCM when installed with OFSGCM.

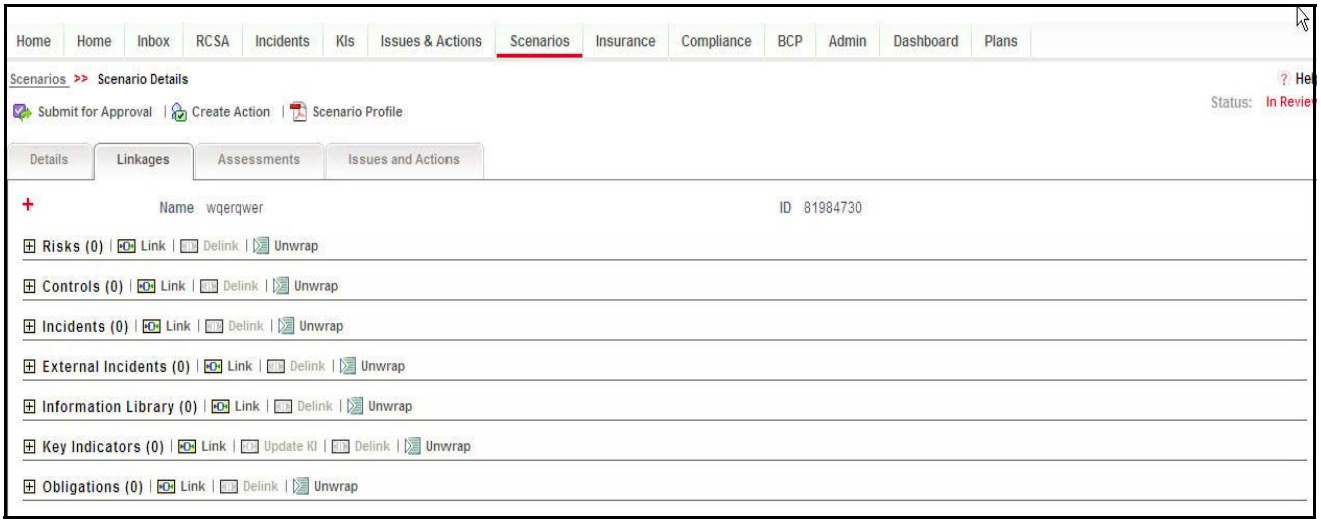



**Figure 205. Linkage page**

### Linking and De-linking Risks

A risk in *Open* status can be linked to a scenario.

To link a risk with a scenario, follow these steps:

1. Navigate to the Scenario Search and List Page
2. Click a Scenario **ID**. The Scenario Details page is displayed.
3. Click **Linkages**. The Linkages page is displayed.

For more information on linking and delinking various entities to scenarios, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

## Managing Issues and Actions

Responding to events rapidly is a key requirement for large organizations to ensure that any risk is contained as quickly as possible. The Issues and Actions tab allows you to create Issues and suitable actions for the identified risks.

The Issues and Actions tab allows you to link and delink issues, and view the actions associated to them. This tab is displayed when the scenario is in Open, Pending Approval, and in In Review statuses.You can link existing issues or can create new issues and link to the Scenario.

If the issue is created from the Scenario module, the issue will be automatically linked to the Scenario for which the issue is created.

This section contains the following topics:

- Linking Issues
- Delinking Issues
- Creating Issues and Actions
- Viewing Actions
- Linking Actions
- Delinking Actions
- Deleting Actions

### Linking Issues

To link an issue, follow these steps:

1. Navigate to the Scenario Details Page
2. Click **Issues and Actions** tab. The Issues and Actions page is displayed.

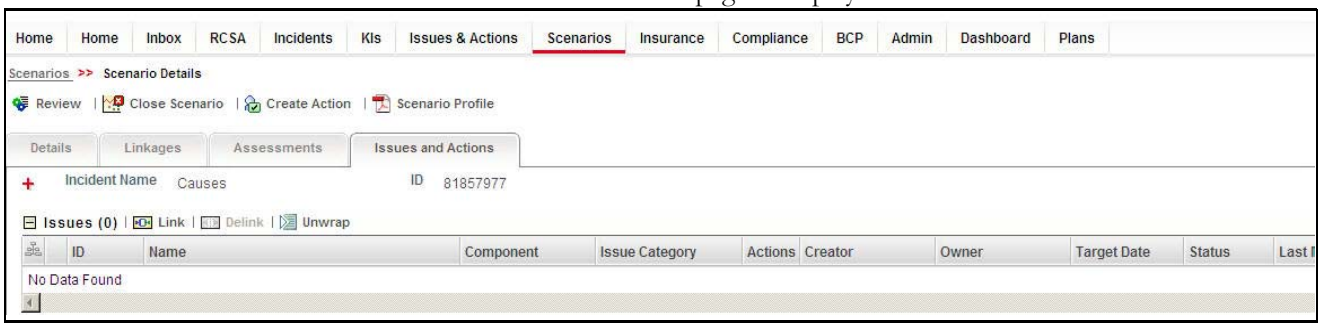



**Figure 206. Issues and Actions Page**

3. Click **Link** in the Issues section. The Issues Search and List page is displayed.

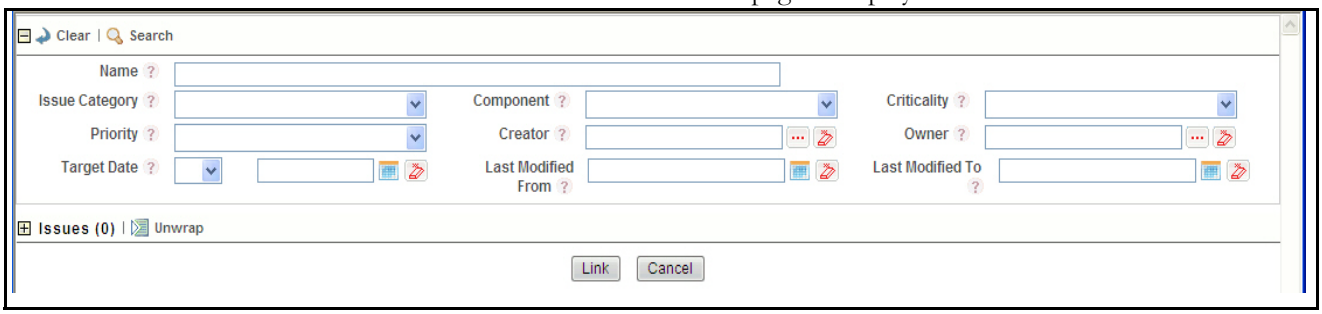



**Figure 207. Issues Details Search Page**

4. Select one or more Issues to be linked.

**Note:** You can link only issues in open status. You can also search the Issues by entering the search criteria in the search panel. For more information on the fields in the Issue Search and List page, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

5. Click **Link**. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**. The selected issue is displayed in the Issues list.

### Delinking Issues

To delink an issue, follow these steps:

1. Navigate to the Scenario Details Page.
2. Click the **Issues and Actions**. The Issues and Actions page is displayed.
3. Select the issue to be delinked in the Issues section.
4. Click **Delink**. The following confirmation message is displayed: *Are you sure you want to de-link this record?*
5. Click **OK**. The *De-link Operation Successful* message box is displayed.
6. Click **OK**. The issue delinks and is removed from the Issues list.

### Creating Issues and Actions

The Scenario module allows you to create issues and actions associated to the scenario.

Users mapped to the role of Scenario Identifier and Scenario Approver can create issues and actions from the Scenario module.

The scenario must be in Open, Pending for Approval, or In Review status to create issues and actions from the Scenario module.

To create an issue or action, follow these steps:

1. Navigate to the Scenario Search and List page.
2. Click Scenario **ID**. The Scenario Details page is displayed.
3. Click **Create Issue(Action)**. The Issues and Actions Details page is displayed.

   For more information on the fields in the Issues and Actions Details page, refer to *Chapter 8: Managing Issues and Actions, Creating Issues* section.

   If the Actions are created from the Scenario module, the Component field in the Actions Details page displays as Scenario and the Primary Source field displays the *Scenario Name* for which the Action is created.

### Viewing Actions

To view actions, follow these steps:

1. Navigate to the Scenario Details Page.
2. Click the **Issues and Actions** tab. The Issues and Actions page is displayed.
3. Select the Issue whose actions are to be viewed.

   **Note:** An action can be directly created from the Scenario module, if Issue Creation is turned off.

For more information about Issues and Actions, refer to *Chapter 8: Managing Issues and Actions, Managing Actions Details* section.

### Linking Actions

To link an action, follow these steps:

1. Navigate to the Scenario Details Page
2. Click the **Issues and Actions** tab. The Issues and Actions page is displayed.
3. Click **Link** in the Actions section. The Actions Search and List page is displayed.
4. Select one or more Actions to be linked.

   **Note:** You can link only actions in open status. You can also search the Actions by entering the search criteria in the search panel. For more information on the fields in the Actions Search and List page, refer to *Chapter 8: Managing Issues and Actions, Managing Actions Details* section.
5. Click **Link**. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**. The selected action is displayed in the Actions list.

### Delinking Actions

To delink an action, follow these steps:

1. Navigate to the Scenario Details Page.
2. Click **Issues and Actions**. The Issues and Actions page is displayed.
3. Select the action to be delinked in the Actions section.
4. Click **Delink**. The following confirmation message is displayed: *Are you sure you want to de-link this record?*
5. Click **OK**. The *De-link Operation Successful* message box is displayed.
6. Click **OK**. The action delinks and is removed from the Actions list.

### Deleting Actions

Users mapped to the role of Scenario Identifier and Scenario Approver can delete actions linked to scenario.

The scenario must be in Open, Pending Approval, or In Review status to delete actions from Scenario module.

To delete actions, follow these steps:

1. Navigate to the Scenario Search and List page.
2. Click Scenario ID. The Scenario Details page is displayed.
3. Navigate to the Issues and Actions tab. The Issues and Actions tab displays all the issues and actions associated to the scenario.
4. Select the action you want to delete in the Actions section.
5. Click **Delete Action**. The following message is displayed. *Are you sure you want to delete this record.*?
6. Click **OK**. The following message is displayed: *Delete Operation Successful.*
7. Click **OK**. The system refreshes and displays the Issues and Actions tab.

## Approving or Rejecting a Scenario

Users mapped to role of Scenario Approver can either approve or reject a scenario when a Scenario Identifier submits the scenario for approval after editing or updating the scenario details. When a Scenario Approver approves or rejects a scenario, the status of the scenario changes to Open or Draft/In Review respectively.

To approve or reject a scenario, follow these steps:

1. Navigate to the **Inbox**, and click the **Open Tasks** tab and then click the required **Tasks ID** in Pending Approval status that you want to approve or reject.

   Or:

   Navigate to the Scenario Search and List Page. Click the **ID**. The Scenario Details page is displayed.

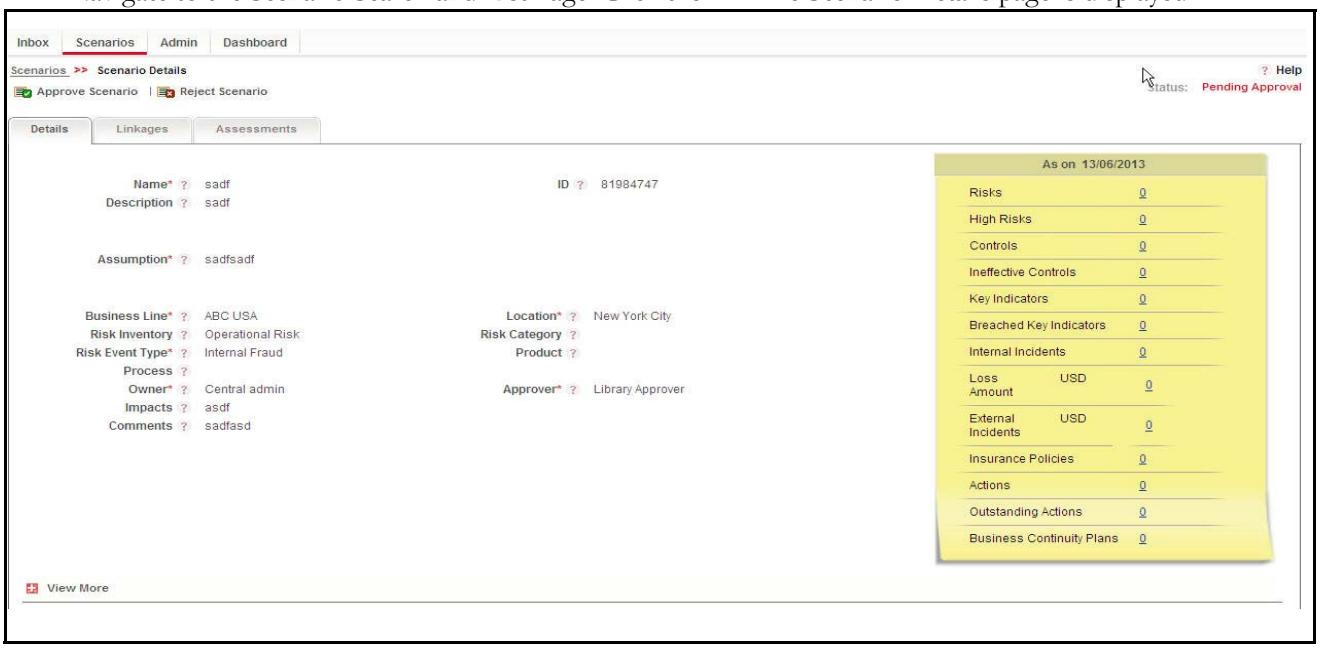



**Figure 208. Approving a Scenario**

A Scenario Approver may access the following tabs in the Scenario Details page:

- Scenario Details
- Linkages
- Assessment

**Note:** The Scenario Approver does not have edit rights in any of the tabs.

2. Click **Approve** or **Reject**. The Approve or Reject Comments pop-up window is displayed.
3. Enter the approval or rejection comments.

   **Note:** The Comments box in the pop-up window allows entering a maximum of 3000 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 3000 characters in the Approval/Rejection Comments box, the following message is displayed: *Number of characters exceeded*

   If you do not provide approval or rejection comments in the pop-up window, the following validation message is displayed: *Please enter comments.*

4. Click **Approve** or **Reject** in the pop-up window. The *Update Operation Successful* message box is displayed.
5. Click **OK**. The system refreshes and displays the approved scenario in *Open* status or the rejected scenario in *Draft* status in the Scenario Details page.

   Comments provided in the pop-up window replace the comments on the Scenario Details section and are updated in the Workflow History. On Approval, a notification is sent and on Rejection, a task is sent to the Scenario Identifier.

## Reviewing a Scenario

A scenario in Open status can be subject to review, where the details can be updated and the scenario goes into In Review status. A scenario can be reviewed if the Scenario Identifier wants to change any information in the Scenario Details page.

1. Navigate to the Scenario Search and List page
2. Choose the scenario in Open status that you want to review.

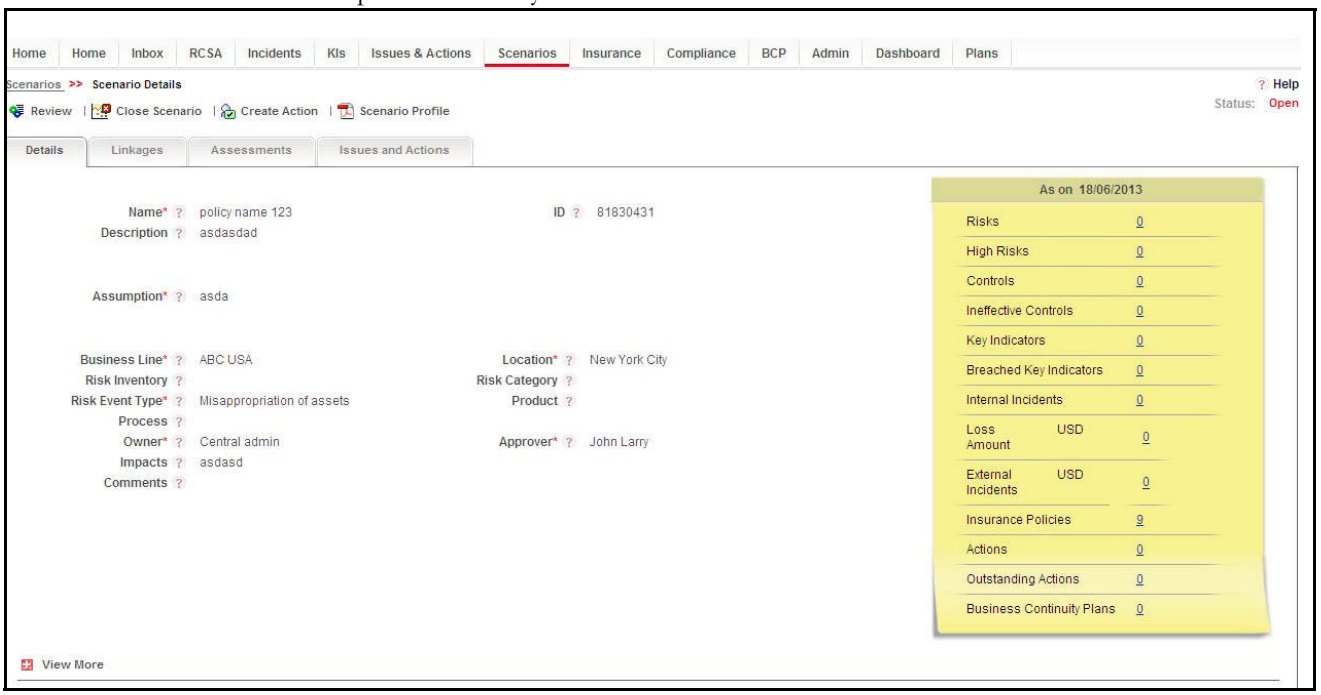



**Figure 209. Reviewing a Scenario**

3. Click **Review.** The following message is displayed: *Are you sure you want to review the scenario?*
4. Click **OK**. The Scenario Details page is displayed. The status of the scenario changes from *Open* to *In Review* status.

### Submitting a Scenario in In Review Status

A Scenario Identifier can submit the scenario in In Review status. The Scenario Details page allows you to submit the selected scenario.

To submit a scenario in In Review status, follow these steps:

1. Navigate to the Scenario Search and List page.

2. Click the Scenario **ID** in In Review status.

   The Scenario Details page is displayed.

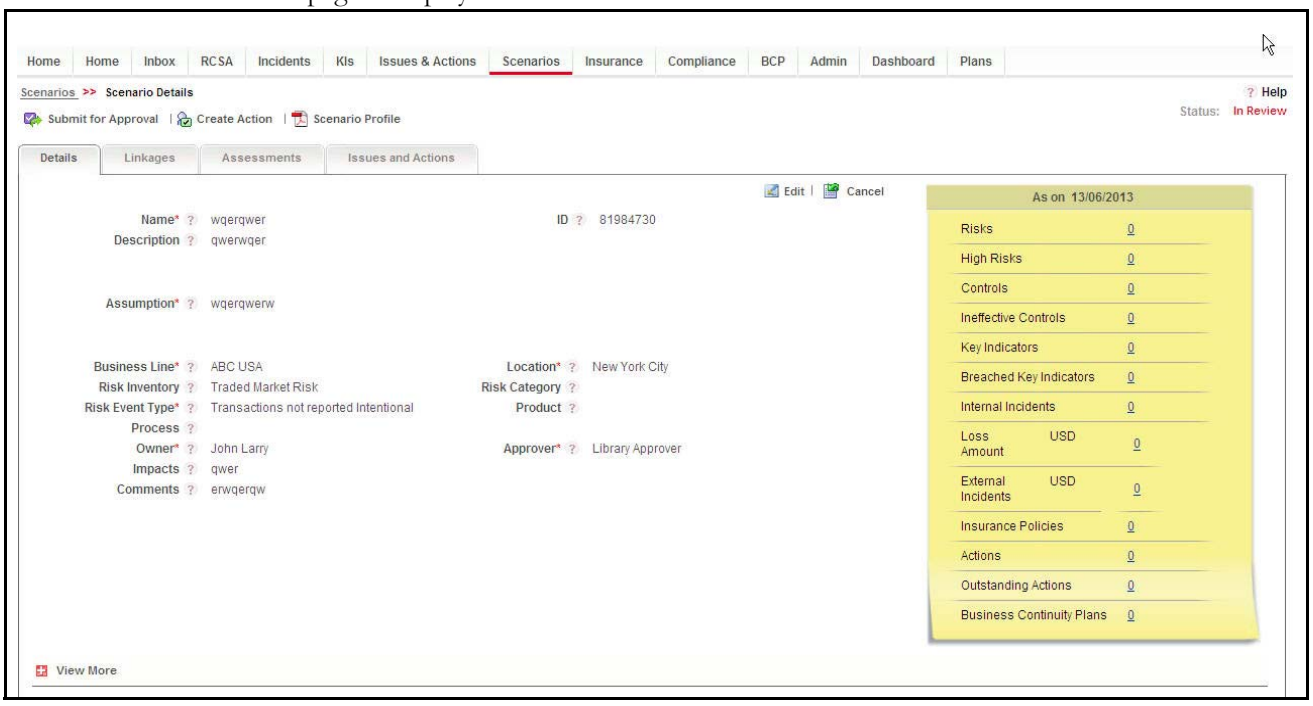



**Figure 210. Scenario Details Page in In Review status**

The Scenario Details page allows you to perform the following tasks in *In Review* status:

- Editing scenario
- Managing linkages
- Managing assessments
- Linking and delinking impacted businesses to scenario.
- Linking and delinking insurance policies to scenario.
- Attaching and deleting documents related to scenario.
- Viewing Workflow History.
- Viewing the scenario profile in PDF report
- Submitting scenarios for approval

For more information on these sections, refer to *Closing Scenarios*

3. Click **Submit for Approval**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.

   The status of the scenario changes to *Pending Approval.* A task is sent to the Scenario Approver.

   If the Scenario Approver approves the scenario, the scenario goes into *Open* status, otherwise the rejected scenario goes back into *In Review* status.

.

## Closing Scenarios

If any Open status scenario is no longer required, you can close it. Only users mapped to the role of Scenario Identifier can close the scenarios. You can close a scenario either from Scenario Search and List page or from the Details page.

Once the scenario is closed, the status of the scenario changes to Closed.

**Note:** All linked components should be delinked before a scenario is closed.

To close a Scenario, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Select the required **Scenario ID** in Open status that you want to close and click **Close Scenario.**The Reasons for Closure pop-up window is displayed.

   Or:

   Click a Scenario **ID** in Open status that you want to close. The Scenario Details page is displayed. Click **Close Scenario**. The Reasons for Closure pop-up window is displayed.




**Figure 211. Reasons for Closure Window**

3. Enter the reasons for closure of the scenario. You can enter text up to 3000 characters.

   **Note:** It is mandatory to enter a reason for closure.

   If the Scenario Identifier submits a scenario for closure without entering any reasons, the following validation message is displayed: *Please enter the reason for closure.* Click **OK**. The user is taken back to the pop-up window, where the user can fill in the necessary details and close the scenario.
4. Click **Submit**. The following messsage is displayed: *Update Operation Successful.*
5. Click **OK**. The status of the scenario changes to *Closed* and the scenario is moved to the Closed Scenarios list.

## Deleting Scenarios

If a scenario is incorrectly generated or is no longer required, then you can delete that scenario. The Scenario Search and List page allows you to delete a scenario.

**Note:** A scenario can be deleted only by a Scenario Identifier when it is in Draft state. All linkages should be delinked before a scenario is deleted.

To delete a scenario, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Select a scenario in Draft status. This enables the **Delete Scenario** button in the Scenario section.
3. Click **Delete Scenario**. The following confirmation 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 selected scenario is deleted and disappears from the Scenario section.

**Note:** Only one scenario can be deleted at a time.

If linkages are already created, then a validation message is shown: *Delink all linkages, impacted businesses and insurances to delete the Scenario.*

## Exporting Scenarios

Exporting scenarios allows the organization to have a compiled list of all the applicable scenarios. The Scenarios Search and List page allows you to export the details of the scenarios. The scenario details can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

## Viewing Scenario Profile

You can view all the scenario details in a PDF.

To view the scenario details in a PDF, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Click a Scenario ID to view the Scenario Details page.
3. Click **Scenario Profile**. A File Download Box displays.

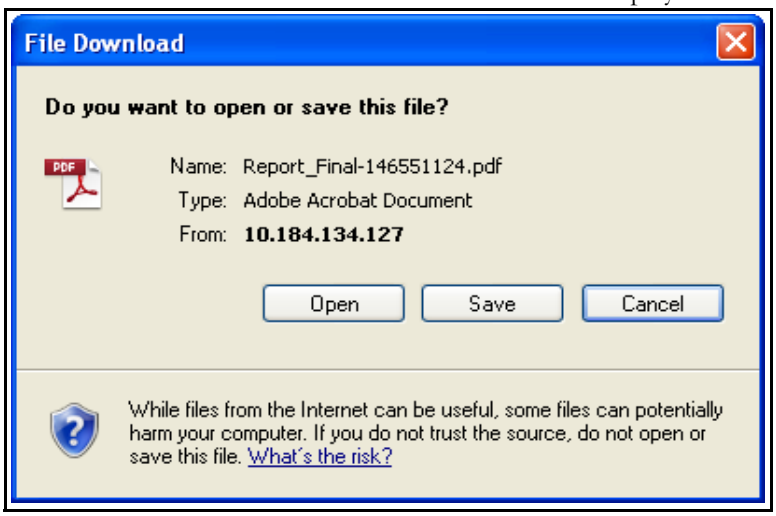
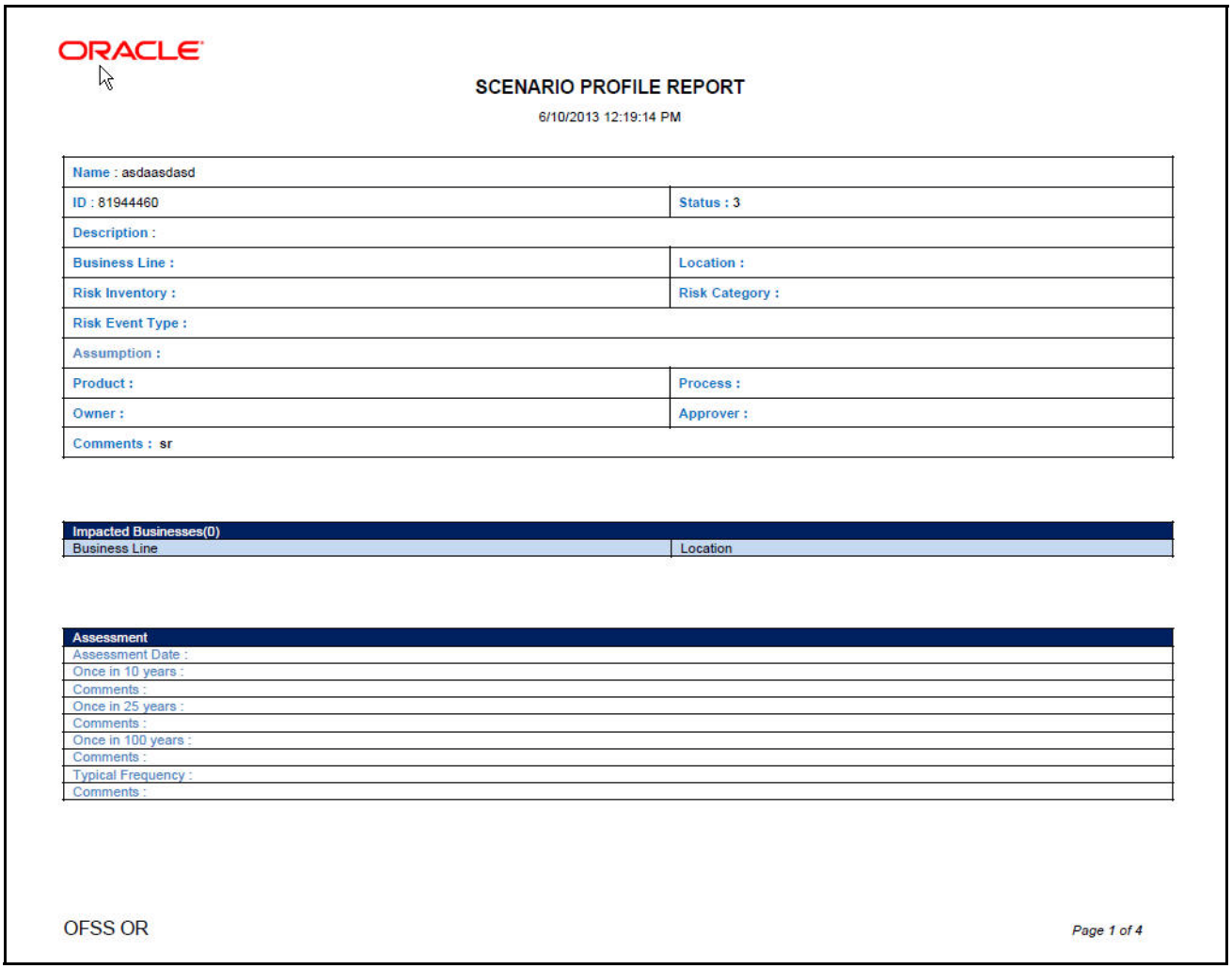



**Figure 212. File Download Box**

4. Click **Open** in the File Download Box. A PDF report opens displaying scenario details and linkages. Click **Save** in the File Download Box to save the PDF report generated in your local system.

   **Note:** The BCPs section in the profile report is only available in OFSOR/GCM when installed with OFSGCM.



SCENARIO PROFILE REPORT

6/10/2013 12:19:14 PM

| | |
|---|---|
| Name : asdaasdasd | |
| ID : 81944460 | Status : 3 |
| Description : | |
| Business Line : | Location : |
| Risk Inventory : | Risk Category : |
| Risk Event Type : | |
| Assumption : | |
| Product : | Process : |
| Owner : | Approver : |
| Comments : sr | |

| Impacted Businesses(0) | |
|---|---|
| Business Line | Location |

| Assessment |
|---|
| Assessment Date : |
| Once in 10 years : |
| Comments : |
| Once in 25 years : |
| Comments : |
| Once in 100 years : |
| Comments : |
| Typical Frequency : |
| Comments : |

OFSS OR

Page 1 of 4

**Figure 213. Scenario Profile Report**

## *Completeness Check for Risk Event Type*

Organizations can conduct periodic completeness checks to ensure that all relevant or applicable Risk Event Types (RETs) are considered for arriving at various Scenarios. The completeness check functionality checks the completeness of the scenarios against the Risk Event Type. The completeness check can be performed for a combination of Business Line and Location. It provides a consolidated view of various scenarios for a business line and location combination. It checks and lists the scenarios created for the particular risk event type.

A Completeness check is always done as on a particular date. Users may view previous completeness check results.

Only users mapped to the role of Scenario Identifier can perform the completeness check.

This section covers the following topics:

- Performing Completeness Check
- View Previous Completeness Check Results

## Performing Completeness Check

To perform a completeness check, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Click **Check Completeness.**
3. The Completeness Check Search section is displayed with the following search options for the user to select:

**Table 113. Completeness Check search section**

| Fields | Description |
|---|---|
| Business Line | Select the Business Line for the completeness check.<br>Restricted to only those Business Lines to which the user is mapped. If location is selected first, then the Business Line list is restricted to only valid combinations.<br>If user has searched for any Business Line on the Scenario Details page, then this is auto-populated. |
| Location | Select the location for the completeness check.<br>Restricted to only those locations to which the user is mapped. If Business Line is selected first, then the location list is restricted to only valid combinations.<br>If user has searched for any location on the Scenario Details page, then this is auto-populated. |
| Include children business units | Select the option **Yes** to include children business lines and locations. |

4. Click **Reset to** clear all search criteria.

   When the user clicks **Go,** the page shows the Completeness Check for the entered Business Line and Location combination on the current date.

   The Completeness Check section is displayed with the following columns:

**Table 114. Completeness Check section**

| Fields | Description |
|---|---|
| Risk Event Type | All the first and second level Risk Event Types from the RET hierarchy are listed here. |
| Parent Risk Event Type | The Parent Risk Event Type of the RET in the previous column is shown here. If the parent RET is listed in the previous column, the same is shown here. |
| Loss Amount | Total amount of gross loss incurred for the RET and its children. Gross Loss Amount is a hyperlink that goes to the Incidents list page where all the incidents from which the gross loss amount is derived is listed. Clicking the amount opens the Incident List page overlaying the Completeness Check page. Bread Crumb Navigation is used to return to the Completeness Check page.<br>Gross Loss Amount is for the Business Line and Location selected in the Search section. If Include Children Business Units is selected, all the valid Business Line and location in the tree below the Business Line and location selected in the Search section are included. This data is for the RET.<br>Gross Loss Amount for Incidents is converted into the currency of the Location of the Scenario and then summed up. The currency conversion rate is based on *Date of Identification* of the Incident.<br>Incidents of all statuses except *Closed* are included. |

**Table 114. Completeness Check section**

| Fields | Description |
|---|---|
| No. of Scenarios | This column lists the total no. of scenarios created for the RET and its children. Clicking count opens the Scenarios Lst page overlaying the Completeness Check page. Bread Crumb Navigation is used to return to the Completeness Check page.<br>Count of Scenarios is for the Business Line and Location selected in the search section. If Include Children Business Units is selected, all the valid Business Line and location in the tree below the Business Line and location selected in the search section are included.<br>Business Line and location selected in the search section (including children, if selected) are the Impacted Businesses of the scenarios shown that is, they are captured in Impacted Businesses section.<br>Only scenarios in *Open* status are included. |
| Comments | This is a text field of up to 3000 characters for providing comments. It is mandatory to provide comments for rows where the number of scenarios is zero(0). When the Completeness Check is being created, comments from the last submitted completeness check for each RET are auto-populated but editable. |
| Create Scenario | Clicking **Create Scenario** opens the Scenario Creation window. This is exactly similar to the *Create Scenario* button in the Scenario Search and List page. |

5. If the user selects Business Line and Location in the Search section of Scenario List page, then the same is carried forward to the Search section of the Completeness Check page. Else, it is blank.

   Selecting a Business Line and Location combination is mandatory in order to continue on this page.

6. Select Business Line and Location combination and click **GO.** This brings up the *Completeness Check* section as on the current date. Data in the completeness check is as on the current date and the same is shown below the Search section as *Completeness Check as of <current date>*.
7. Click **GO** without selecting Business Line and Location. The following validation message is displayed: *Select Business Line and Location to continue.*

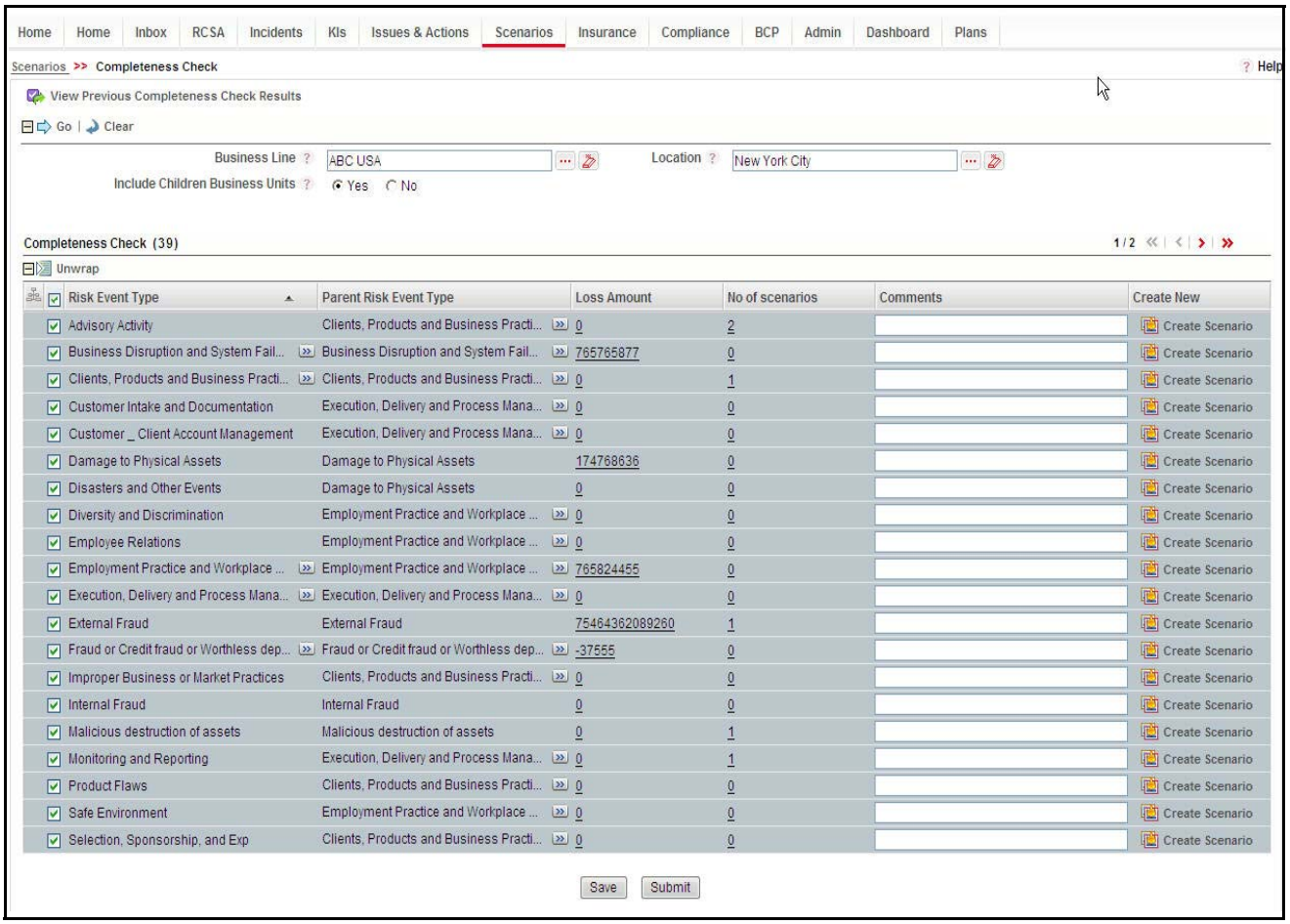



**Figure 214. Completeness Check section**

8. Click **Save Draft**. This saves the completeness check for that date in *Draft* status.
9. Click **Submit**. This checks whether comments are available where the count of scenarios is zero. Otherwise, a validation message is displayed: *Comments are mandatory for Risk Event Type for which there are no scenarios* . **Submit** saves the completeness check in *Submitted* status. In Submitted status, the completeness check is non-editable.

- After successful submission, the same is available in *View Previous Completeness Check Results* for the date on which it was submitted.
- If a completeness check is left in Draft status and the page is accessed later, the Draft Completeness Check is available for updating when the same Business Line and Location combination is selected. The Completeness Check As On Date is updated with the current date. Data is also for as on date and not for previous date. Only comments for RET are carried from the previous save.

## View Previous Completeness Check Results

This allows users to view previously submitted Completeness Check results.

To view previous Completeness Check results, follow these steps:

1. Navigate to the Scenario Search and List Page.
2. Click **Check Completeness.** The completeness Check page is displayed.

3. Click **View Previous Completeness Check Results.**

   The View Previous Completeness Check Search section is displayed with the following search options:

**Table 115. View Previous Completeness Check search section**

| Fields | Description |
|---|---|
| Business Line | Select Business Line for completeness check.<br>Restricted to only those Business Lines to which the user is mapped. If location is selected first, then the Business Line list is restricted to only valid combinations. |
| Location | Select location for completeness check.<br>Restricted to only those locations to which the user is mapped. If Business Line is selected first, then the location list is restricted to only valid combinations. |
| Completeness Check date | Select a date from the drop-down to view the Completeness Check as on that date.<br>The drop-down contains the list of previous dates on which the completeness check was submitted for this combination of Business Line and location. By default the latest date on which it was submitted is selected.<br>The Completeness Check date can be selected only after Business Line and location are selected. |

4. Click **Reset** to clear all search criteria.

   Business Line, Location and Date are mandatory to select in order to continue on this page.

5. Select Business Line, Location, and Date. Then click **GO**. This brings up the Completeness Check section as on the selected date.

   **Note:** Click **GO** without selecting Business Line and Location. The following validation message is displayed: *Select Business Line, Location and Completeness Check date to continue.*

6. The Completeness check results for the selected search criteria are displayed.

Below the search section, the following are shown:

- If the Completeness Check as on the selected date included the children Business Units, the following message is displayed: *Completeness Check includes data for children Business units*
- If the completeness check as on the selected date did not include the children Business Units, the following message is displayed: *Completeness Check does not include data for children Business units*

- If no previous completeness check result is available for the combination of Business Line, Location and Date then the following message is displayed: *No previous completeness check exists for this combination of Business Line, Location and Date.*
- The Completeness Check section exists with the columns as listed in *Table* .

All the columns show data as on the date on which it was *Submitted.* Loss Amount and No. of Scenarios are hyperlinks as at the time of creation and direct to their respective list pages. Loss Amount and Count are as on the date of submission.

## *Embedded Reports*

The Assessment Trends are shown in the Additional Information Metrics on the Assessment page.

Assessment Trend report is not displayed when a scenario is being assessed for the first time and there are no previously submitted assessments. If there are less than four submitted assessments, then the report displays data only from the submitted assessments.

If there are more than four submitted assessments available for a scenario, then by default only the four latest submitted assessments are displayed.

The Assessment Trends displays the following reports:

- Financial Impact Trends
- Non-Financial Impact Trends

These reports are available in a drop-down list. The Financial Impact Trends is the default report displayed.

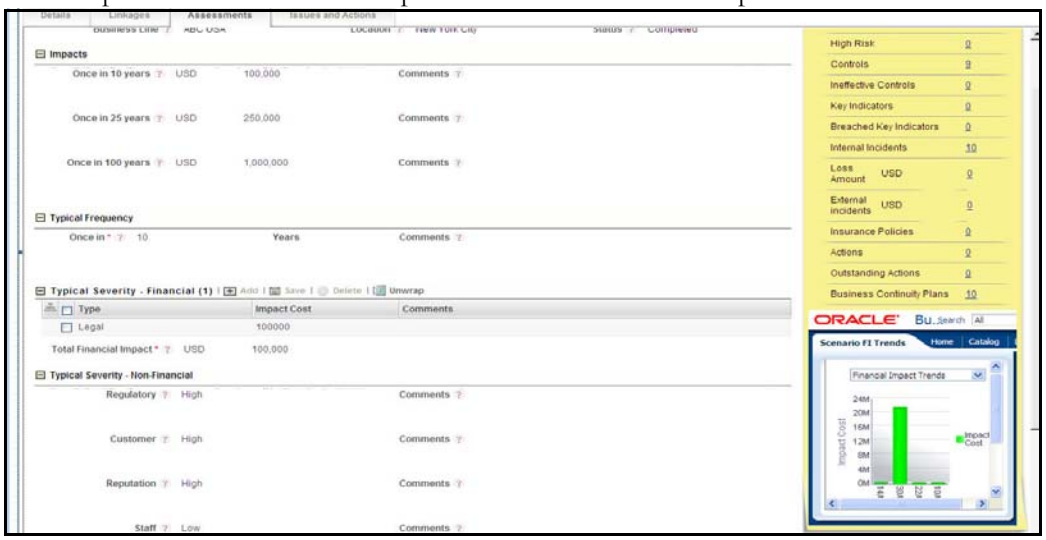



**Figure 215. Embedded Reports**

## Financial Impact Trends Report

This report displays the total financial impacts for different assessments of a scenario.

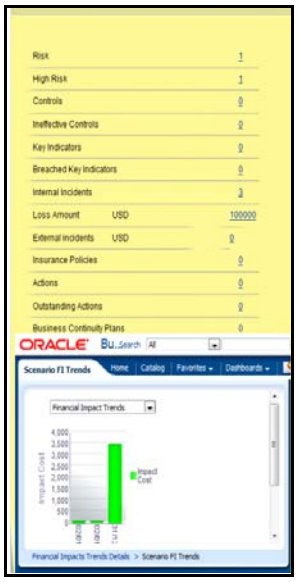



**Figure 216. Financial Impact Trends Report**

The X axis of the report displays the submitted date of the assessment and the Y axis represents the impact cost. Impacts is displayed in currency in which the amount is captured.

Each of the bars in the report displays the total financial impact for that assessment. You can click on any of these bars to view the Financial Impact Trend Details report.

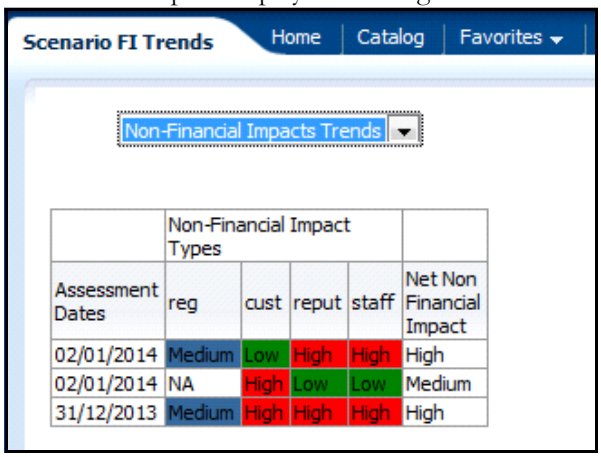



**Figure 217. Financial Impact Trend Details Report**

The Financial Impact Trend Details report displays the financial impacts of different types for a scenario. The X axis of the report displays the financial impact categotries and the Y axis represents the impact cost. The bars in the report represents the financial impact for the category in the assessement.

## Non-Financial Impact Trends Report

This tabular report displays the rating for different non-financial impacts for submitted assessments.




| | Non-Financial Impact Types | | | | |
|---|---|---|---|---|---|
| Assessment Dates | reg | cust | reput | staff | Net Non Financial Impact |
| 02/01/2014 | Medium | Low | High | High | High |
| 02/01/2014 | NA | High | Low | Low | Medium |
| 31/12/2013 | Medium | High | High | High | High |

**Figure 218. Non- Financial Impact Trends Report**

# CHAPTER 10 Managing Business Environment Scorecard

This chapter provides complete information about the Business Environment Scorecard and an overview of its workflow.

This chapter covers the following topics:

- About Business Environment Scorecard
- Business Environment Scorecard Workflow
- User Roles and Actions
- Accessing Business Environment Scorecard
- Searching Business Environment Scorecard
- Creating Business Environment Scorecard
- Creating Risks and Scenarios
- Copying and Revising BES
- Viewing Additional Information
- Viewing Business Environment Profile Report

## About Business Environment Scorecard

Business Environment refers to a set of conditions that affect the functioning of an organization. It may include economical, social, legal, or institutional factors. In order to ensure smooth running of a business, these factors should be assessed on a periodic basis. The observations can help an organization to control the factors in an adequate manner achieving better productivity.

The Oracle Financial Services Operational Risk Business Environment Scorecard (BES) assists organizations in determining the impact of various environmental factors on the business. Using this module, you can capture important environmental factors affecting the business for a business line and location and rate the influence of these parameters on business. The organization can take necessary steps to control the factors based on the ratings, which results in better performance.

### Salient Features

The BES provides the following features to help organizations manage their risk:

- Capturing business objectives for a business line and location on a given date
- Capturing different parameters affecting the business and analyzing their influence on business
- Creating Risks, Scenarios, and Risk Appetite Statements based on scores of various business environment parameters

## Business Environment Scorecard Workflow

The workflow of the Business Environment Scorecard module is described in the following diagram:




**Figure 219. Business Environment Scorecard Workflow**

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

The user role defined in the BES module of the OFSOR/GCM application is BES Identifier.

The BES Identifier is a user who identifies the environmental factors which affects the business of an organization. Based on the impact of these factors, this user gives them a score, and creates scenarios, risks, and risk appetite statements as per the scores.

### Actions

The BES Identifier performs the following actions:

- **Creating Business Environment Scorecard:** This action allows the user to create a new Business Environment Scorecard for a particular business line and location combination.
- **Creating Risks and Scenarios**: This action allows the user to create Risks and Scenarios from the BES Details page
- **Copying and Revising BES**: This action allows the user to create a BES for a business line and location for the next cycle by copying the latest submitted BES.

## Accessing Business Environment Scorecard

The Oracle Financial Services Operational Risk Home page allows you to access the BES. Users mapped to the role of Risk Identifier can access the BES.

To access the Business Environment Scorecard, follow these steps:

1. Login to OFSOR/GCM as a BES Identifier. The OFSOR/GCM Home page is displayed.
2. Hover over **BU Profile** and click **Business Environment**.

   The Business Environment Search page is displayed.

## Searching Business Environment Scorecard

The Business Environment Search page allows you to filter the BES records that you want to view and analyze. You can search the BES records created on different dates for a particular business line and location.

To search a business environment scorecard, follow these steps:

1. Navigate to the Business Environment Search page.
2. Select a **Business Line** and **Location** from the respective hierarchy browsers.

   **Note:** The Location gets filtered as per the selected Business Line and vice versa.
3. Select a **BES Date** from the drop-down list.

   **Note:** The BES Date drop-down list does not list any date, if there are no previous BES records created for the selected combination of business line and location. You can create a BES for the first time for that business line and location. For more information, refer to *Creating Business Environment Scorecard*.
4. Click **Go**. The BES Details page is displayed.

   **Note:**

   - You can also click **Clear** to reset all search fields to blank.
   - It is mandatory to select both business line and location to get search results. If one of the search criteria is not entered, the following validation message is displayed: *Select Business Line and Location to retrieve data.*

**Note:** Saved Search functionality is not available for Business Environment Scorecard.

## Creating Business Environment Scorecard

You can create a new BES record to assess the effects of environmental factors on the business at any given point of time. The Business Environment Search page allows you to create new business environment scorecards. On a given date, you can create a new BES for a particular business line and location if there are no previous entries. Thus at any given point of time, there can be only one active BES.

**Note:** If there are existing BES for a business line and location, you can copy and revise the latest submitted BES.

To create a Business Environment Scorecard, follow these steps:

1. Navigate to the Business Environment Search page.
2. Select a **Business Line** and **Location** from the respective hierarchy browsers.
3. Click **Go**. The BES Details page is displayed.

**Note:** The status of the BES is *New*.

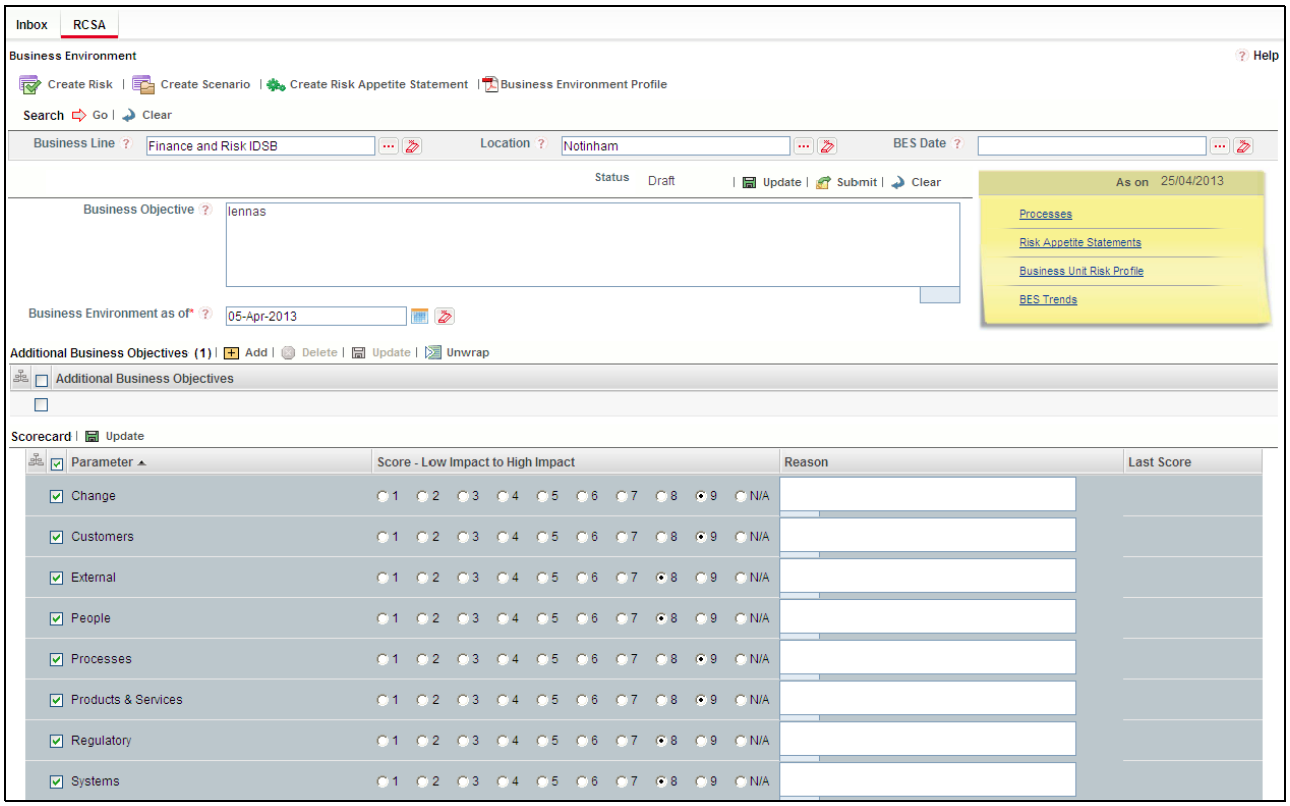



**Figure 220. Business Environment Scorecard Details Page**

4. Enter the following details in the BES Details page.

**Table 116. Fields of BES Details Page**

| Field | Description |
|---|---|
| Business Objective | Enter the strategic objectives of the business.<br><br>**Note**: You can enter a maximum of 3000 characters. If you try to enter more than 3000 characters, the following error message is displayed: *Number of characters exceeded*. |
| Business Environment as of | Select the date from the calendar on which the business environmental factors are scored.<br><br>**Note**: The date should be less than or equal to the current date. Else an error message is displayed: *Business Environment as of Date should be lesser than or equal to current date.* |

5. Click **Save Draft.** The status of the BES record changes to *Draft*.
**You can create Risks, Scenarios, and Risk Appetite Statements in** *Draft* **and** *Submitted* **status. For more information, refer to the section** *Creating Risks and Scenarios***.**
6. To add an additional business objective, click **Add** in the Additional Business Objectives grid. The Additional Business Objective box appears.
7. Enter the additional business objectives.
8. Click **Update.** The following message is displayed: *Update Operation Successful*. Click **OK**, the record is updated and the BES Details page is displayed.

**Note:** You can click the Update button to save any changes made in the BES details as long as it is in *Draft* status.

9. On the Scorecard grid, select a score and enter reasons for each parameter.

   **Note:** The list of parameters is available in Reference Data Management. You can add up to a maximum of 20 parameters. For more information, refer to *Chapter 18: Managing Admin Tasks, Managing Admin Tasks* section.

10. Click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**, the record is updated and the BES Details page is displayed.

11. Click **Submit.** The following message is displayed: *Update Operation Successful*. Click **OK**. The record is submitted and the BES Details page is displayed.

    **Note:** The status of the BES changes to *Submitted*. You can create Risks, Scenarios, and Risk Appetite Statements and cannot edit the other BES details. For more information, refer to the section *Creating Risks and Scenarios*.

## *Creating Risks and Scenarios*

You can create Risks, Scenarios, and Risk Appetite Statements from the BES Details page, when the BES is in Draft or Submitted status. The BES Identifier should be mapped to the role of Risk Owner to create Risks and Scenario Identifier to create Scenarios.

To create a Risk, follow these steps:

1. Navigate to the BES Details page.
2. Click **Create Risk**. The Risk Details page is displayed.For more information on how to create a risk, refer to *Chapter 4: Managing Risk Library and Risk, Creating a Risk* section

   Similarly, you can create Scenario by clicking the **Create Scenario** button on the BES Details page.

   For more information on how to create a Scenario, refer to the chapter *Chapter 9: Managing Risk Library and Risk, Creating Scenarios* section

## Copying and Revising BES

There can be only one active BES for a Business Line and Location at any given point of time. You can create a BES for a business line and location for the next cycle by copying the latest submitted BES.

**Note:** The latest BES record should be in Submitted status and no draft BES should exist for the selected Business Line and Location.

To copy and revise a BES, follow these steps:

1. Navigate to the BES Details page.
2. Click **Copy & Revise**. The BES details page of the selected Business Line and Location is displayed

   **Note:** The status of the BES is *Draft*. You can create Risks, Scenarios, and Risk Appetite Statements. For more information, refer to the section *Creating Risks and Scenarios*.
3. Edit the Business Objective and add additional business objectives if required. For more information, refer to the section *Creating Business Environment Scorecard*.
4. Select the **Business Environment as of** date from the calendar.

   **Note:** The Business Environment as of date should range from the last submitted date to the current date. By default it displays the current system date.
5. Provide scores and reasons for the parameters in the Scorecard grid.

   **Note:** The previous submitted scores are displayed in the Last Score column.
6. Click **Update** to save the details. The following message is displayed: *Update Operation Successful*. Click **OK**, the record is updated and the BES Details page is displayed.
7. Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**, the record is submitted and the BES Details page is displayed.

   **Note:** The status of the BES changes to *Submitted*.

   A revised version of the BES record for the Business Line and Location is created with a new BES Date.

## Viewing Additional Information

The BES Details page has an Additional Information section which allows you to view the additional details related to the business environment. This information assists you to capture the score for the business environment.

To view Additional Information section, follow these steps:

1. Navigate to the Business Environment Search page.
2. Select a **Business Line** and **Location** from the respective hierarchy browsers.
3. Select a a date from the **BES Date** drop-down list.
4. Click **Go**. The BES Details page is displayed.
   On the Details page, you can view the additional information related to the BES record.

5. Click on the components to view the respective details.

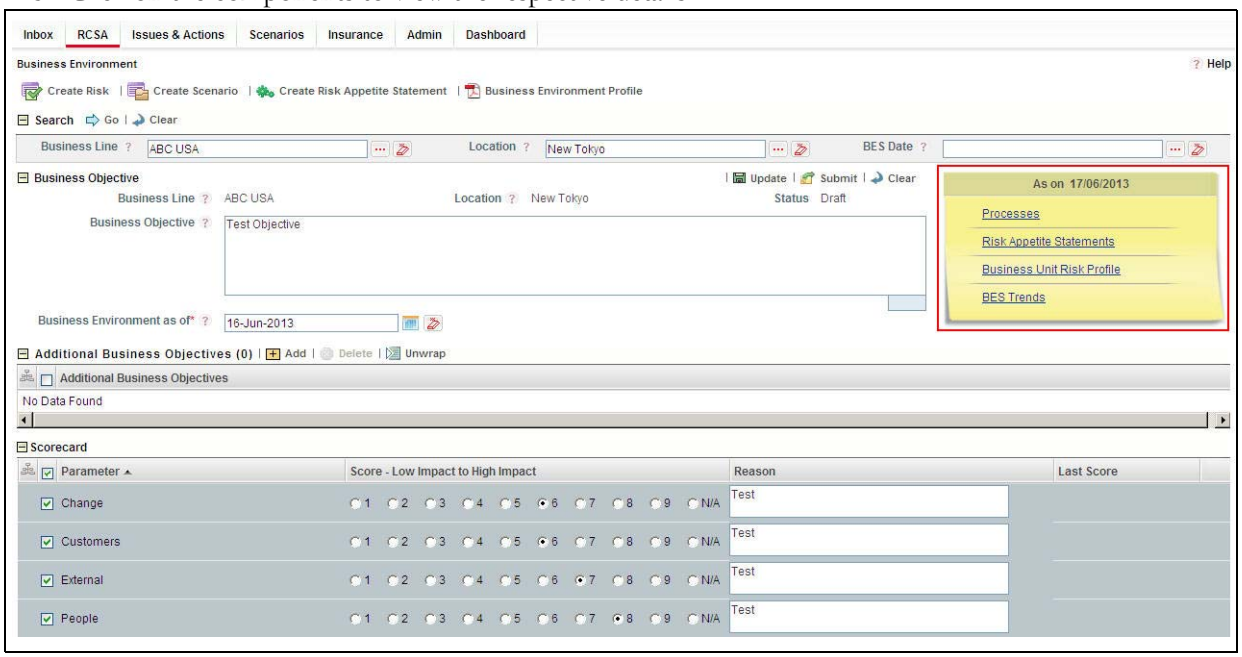



**Figure 221. Additional Information**

The Additional Information section contains the following components:

- Processes
- Business Unit Risk Profile
- BES Trends

## Processes

Click on **Processes** to display the Process Search and List page. By default, the Business Line and Location for which BES is created are pre-populated. You can search processes from this page. For more details, refer to *Chapter 13 Managing Risk Library and Risks: Managing Process Details* .

## Business Unit Risk Profile

Click on **Business Unit Risk Profile** to display the Business Unit Risk Profile Details page related to the business line and location for which the BES is created. For more details, refer to the chapter *Managing Business Unit Risk Profile.*

**Note:** Only Business Unit Risk Profile in Open, In Review, or Pending Approval status are displayed. If the Business Unit Risk Profiles in these status are not available, the following message is displayed: *Business Unit Risk Profile does not exist for the Business Line and Location.*

## BES Trends

Click on **BES Trends** to display a report (bar graph) showing the trends of the four latest submitted business environment scores (of the same Business Line and Location). This is a graphical representation of the scorecards created on different dates..

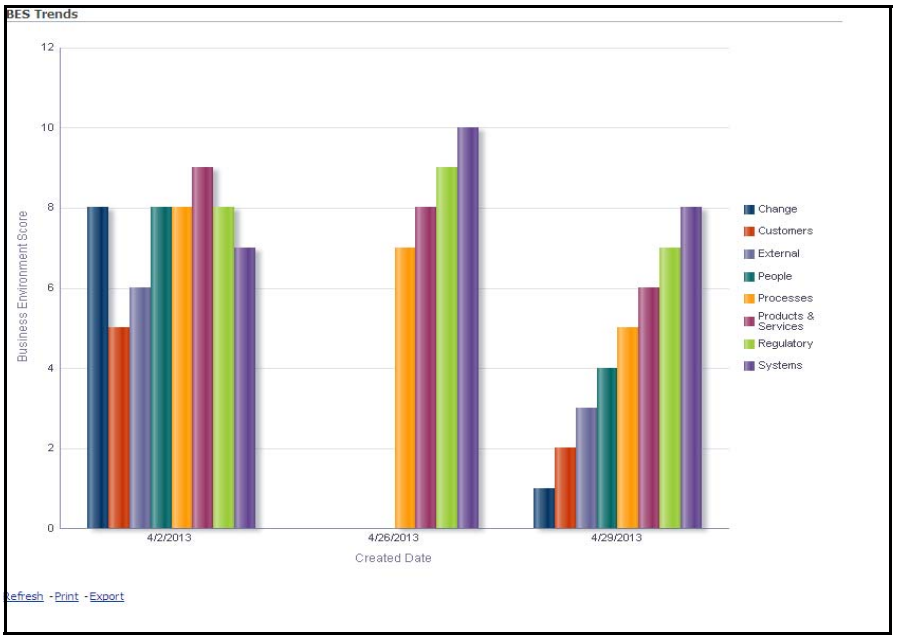



**Figure 222. BES Trends**

## Viewing Business Environment Profile Report

The Business Environment Details page allows you to view and save the BES details in a PDF.

To view the BES details in a PDF, follow these steps:

1. Navigate to the BES Details page.
2. Click **Business Environment Profile**. A File Download Box appears.

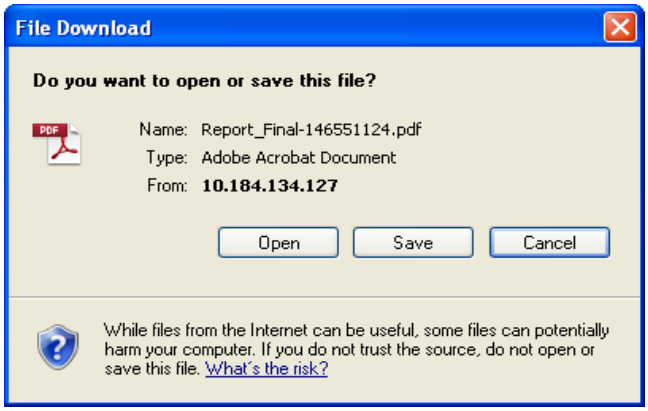
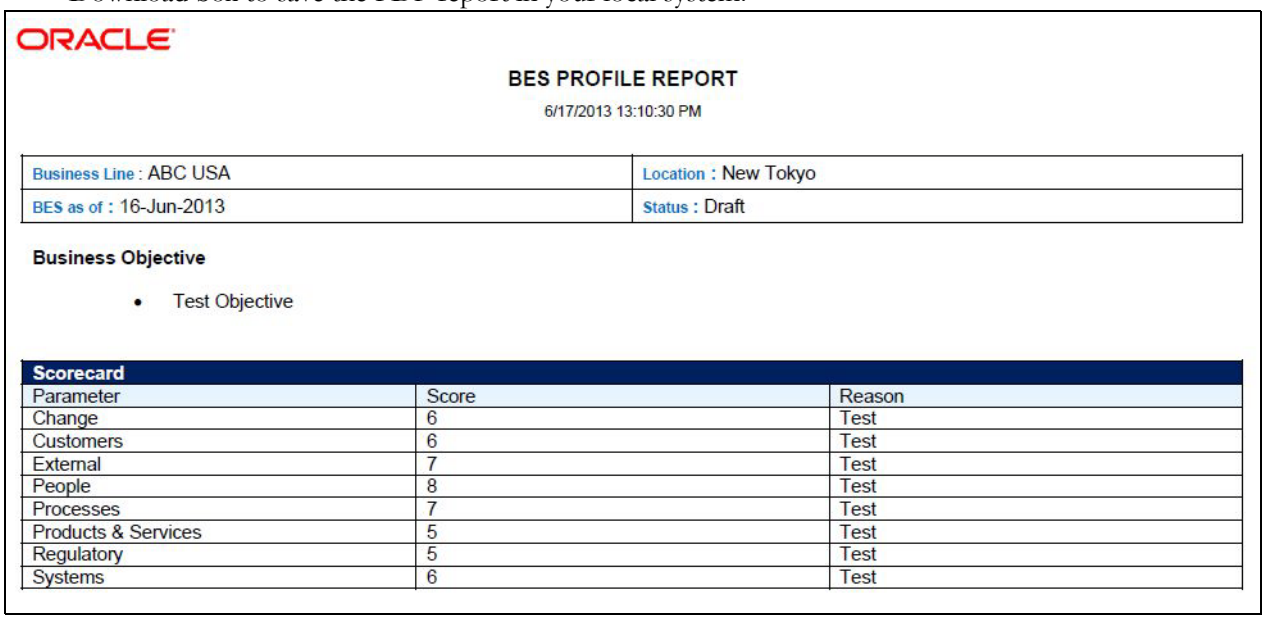



**Figure 223. File Download Box**

3. Click **Open** in the File Download Box. A PDF report opens, displaying the BES details. Click **Save** in the File Download box to save the PDF report in your local system.



ORACLE

BES PROFILE REPORT

6/17/2013 13:10:30 PM

| | |
|---|---|
| Business Line : ABC USA | Location : New Tokyo |
| BES as of : 16-Jun-2013 | Status : Draft |

**Business Objective**

- Test Objective

| Scorecard | | |
|---|---|---|
| Parameter | Score | Reason |
| Change | 6 | Test |
| Customers | 6 | Test |
| External | 7 | Test |
| People | 8 | Test |
| Processes | 7 | Test |
| Products & Services | 5 | Test |
| Regulatory | 5 | Test |
| Systems | 6 | Test |

**Figure 224. BES Profile Report**

# CHAPTER 11 Managing Change Management

This chapter provides information about the Change Management module and step-by-step instructions to use this module.

This chapter discusses the following topics:

- About Change Management
- User Roles and Actions
- Change Management Workflow
- Searching Change Initiatives
- Creating a New Change Initiative
- Deleting a Change Initiative
- Managing Change Initiative Details
- Managing Linkages
- Managing Issues and Actions
- Requesting Completion of a Change Initiative

## About Change Management

The Change Management module in OFS OR/GCM enables you to create a change initiative, monitor the risks and controls associated with the change initiative, update the progress of the initiative, perform regular assessments, and track the initiative to completion.

### Salient Features

The Change Management provides the following features to help organizations manage their operational risk:

- Create a Change Initiative
- Monitor risks and controls associated with the Change Initiative
- Update progress of a Change Initiative
- Track the Change Initiative to completion
- Ensure a review process for the Change based on the Risks envisioned post Implementation
- Generate Change Initiative OBIEE reports
- Export Change Initiative details

### List of OBIEE Reports Supported in Change Management

The following are the list of OBIEE reports supported in the Change Mangement module:

- Change Initiatives by Business Line
- Change Initiatives by Location
- Status of Change Initiatives
- Change Initiatives by Type
- Change Initiatives having Impact on Multiple BU
- Change Initiatives which Exceed the Estimated Costs
- Change Initiatives which require PIRR
- Change Initiatives Details
- Delivery Risks associated with Change Initiatives
- Critical Processes Impacted by Change Initiatives
- Change Initiatives Impact Metrics

## *User Roles and Actions*

This section explains the different user roles and related actions that can be performed in the Change Management module of OFSOR/GCM application.

This section covers the following topics:

- User Roles
- Actions
- User Role-Action Mapping

### User Roles

The following user roles are defined in the Change Management module of the OFSOR/GCM application:

- **Change Initiator**: This user can create and edit a change initiative, monitor the risks and controls associated with the change initiative, update the progress and track the change initiative to completion.
- **Change Initiative Stakeholder (Approver)**: This user can approve or reject a change initiative requested by a Change Initiator for completion.
- **Change Initiative Stakeholders (Others)**: This user can view the details of the change initiative for which they are not the primary stakeholders.
- **Risk Owner**: This user can link risks associated with the initiated change initiative.

## Actions

The User Roles described above can perform the following actions:

- **Creating Change Initiative**: This action allows a Change Initiator to create a new change initiative record.
- **Editing Change Initiative**: This action allows a Change Initiator to edit and update the change initiative record details in Draft and Open status.
- **Deleting Change Initiative**: This action allows a Change Initiator to delete a change initiative record in Draft status.
- **Submitting**: This action allows a Change Initiator to submit the change initiative record in Draft status.
- **Requesting Completion**: This action allows a Change Initiator user to request the Change Initiative Stakeholders with Approval role to approve the initiated change and complete the change initiative workflow.
- **Approving**: This action allows a Change Initiative Stakeholders with Approval role to approve a change initiative record requested by a Change Initiator for completion.
- **Rejecting**: This action allows a Change Initiative Stakeholders with Approval role to reject a change initiative record requested by a Change Initiator for completion.
- **Closing Change Initiative**: This action allows a Change Initiator user to force-close a change initiative.
- **Exporting Change Initiative**: This action allows a Change Initiator to export the list of change initiatives records from Change Initiatives List to an Excel format.
- **Linking Risks**: This action allows a Risk Owner to link risks associated with the initiated change initiative.
- **Creating Issues and Actions**: This action allows a Change Initiator to create Issues and Actions on the initiated change initiative.

## User Role-Action Mapping

The following table describes all the actions that each user role can perform in the Change Management module:

**Table 117. User Role-Action Mapping Table**

| Function | Status | Roles | | | Additional Role |
|---|---|---|---|---|---|
| | | Change Initiator | Change Initiative Stakeholders (Approvers) | Change Initiative Stakeholders (Others) | Risk Owner |
| Create Change Initiative Record | New | X | | | |
| Edit Change Initiative | Draft | X | | | |
| | Open | X | | | |
| Delete CI record | Draft | X | | | |
| Submit CI record | Draft | X | | | |
| Respond to Questionnaire | Draft, Open | X | | | |
| Request Completion | Open | X | | | |
| Approve CI record | Pending Completion | | X | | |

**Table 117. User Role-Action Mapping Table**

| Function | Status | Roles | | | Additional Role |
|---|---|---|---|---|---|
| | | Change Initiator | Change Initiative Stakeholders (Approvers) | Change Initiative Stakeholders (Others) | Risk Owner |
| Reject CI record | Pending Completion | | X | | |
| Close CI record | Open | X | | | |
| Link & Delink Impacted BU | Draft, Open | X | | | |
| Link & Delink Impacted Processes | Draft, Open | X | | | |
| Link & Delink Other Impacts (Information Libraries) | Draft, Open | X | | | |
| Link & Delink Risks | Draft, Open | X | | | |
| Initiate DRA | Draft, Open | X | | | |
| Approve DRA | Draft, Open | X | | | |
| Link & Delink Control | Draft, Open | X | | | |
| Link & Delink Key Indicator | Draft, Open | X | | | |
| Link & Delink Regulations/Policies | Draft, Open | X | | | |
| Link & Delink Obligations | Draft, Open | X | | | |
| Link & Delink BCP | Draft, Open | X | | | |
| Create & delete Issues/ Actions | Open | X | | | |
| Link & Delink Issues/Actions | Open | X | | | |
| Create & delete Issues/ Actions | Pending Completion | | X | | |
| Link & Delink Issues/Actions | Pending Completion | | X | | |
| Add & Delete Documents | Draft | X | | | |
| | Open | X | | | |
| | Pending Completion | | X | | |
| Create Risk | | | | | X |
| View CI record | All status | X | X | X | X |

## Change Management Workflow

The life cycle of the Change Management module is depicted in the following workflow diagram.

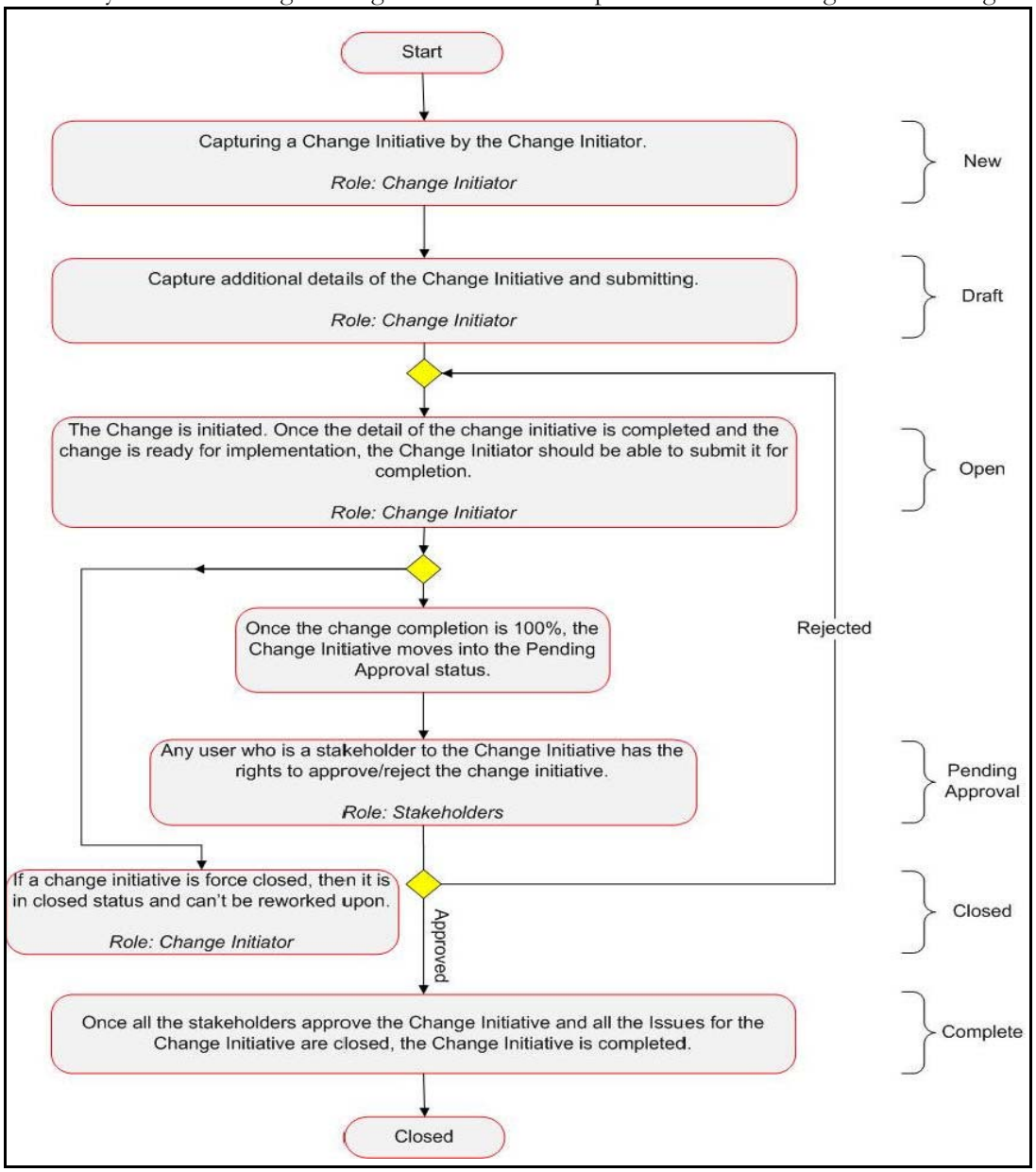



**Figure 225. Change Management Workflow**

## Tasks and Notifications in Change Management

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 the tasks and notifications that each user roles will receive in their Inbox menu on performing a particular action.

**Table 118. Tasks and Notifications**

| Action Performed | Task/Notification | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Submitting a Change Initiative | Task | A Task is sent to all the stakeholders who are required to approve the Change Initiative. | All Stakeholders | Pending Approval |
| | Notification | A Notification is sent to all the stakeholders for the Change. | All the Owners of the record which is linked | Pending Approval |
| Rejecting a Change Initiative by any one of the stakeholders | Task | A Task is sent to the Change Initiator | Change Initiator | Open |
| Initiating Delivery Risk Assessment (DRA) for the linked Risks | Task | A Task is sent to the Risk Owners | Risk Owner | Open |
| Requesting for Approval of Delivery Risk Assessment (DRA) | Task | A Task is sent to the Change Initiator. | Change Initiator | Open |
| Initiating Post Implementation Risk Review (PIRR) | Task | A Task is sent to the Change Initiator. | Change Initiator | Completed |
| Initiating a Change | Notification | A Notification is sent to all the stakeholders for the Change. | All Stakeholders | Open |
| Linking of Entities in Open status | Notification | A Notification is sent to the respective owners of the entity records. | Owners of the entity records. | Open |

**Table 118. Tasks and Notifications (Continued)**

| Action Performed | Task/Notification | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Delinking a stakeholder | Notification | A Notification is sent to the specific stakeholder. | All the Owners of the record which is delinked | Open |
| Approving a Change initiative by each Staekholder | Notification | A Notification is sent to the Change Initiator. | Change Initiator | Pending Approval |
| Approving a Change initiative by all Staekholders | Notification | A Notification is sent to all the stakeholders. | All Stakeholders | Completed |
| Rejecting a Change Initiative by a Stakeholder | Notification | A Notification is sent to all the stakeholders. | All Stakeholders | Open |
| Force-closing a Change Initiative | Notification | A Notification is sent to all the stakeholders. | All Stakeholders | Closed |

## Accessing Change Management

A Change Initiator can access the Change Management menu from the BU Profile menu.

To access the Change Management menu, follow these steps:

1. Login to OFSOR/GCM as a Change Initiator user.
2. Hover over **BU Profile**, and select **Change Management**. The Change Management Search and List page is displayed.

   The search can be performed either through pre-defined Views or by imple Search or by Advanced Search criteria.

# Searching Change Initiatives

The Change Management Search and List page enables you to filter the list of change initiatives that you want to view and analyze. The Change Initiatives Search bar supports three types of search-Search using Basic Search, Search using Advanced Search Components, and Search by Views.

The Change Initiatives List displays a list of change initiatives that meet the criteria specified on the Change Initiatives Search bar. The search results are displayed using a default sort criteria of Last Modified Date.

This section explains the following topics:

- Searching Change Initiatives Using Basic Search
- Searching Change Initiatives Using Advanced Search
- Searching Change Initiatives Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Change Initiatives Using Basic Search

This search is based on varied set of search components that helps you to filter the required list of change initiatives. If you know the details such as ID, Name, Business Line and Location, then you can filter the change initiatives using the basic Search components.

To search for change initiatives using Basic Search, follow these steps:

1. Navigate to the Change Management Search and List page.

   **Note**: By default, the **Search** option is selected in the Search bar.




**Figure 226. Searching Change Initiatives with Basic Search**

2. Enter the following search criteria to filter the list of change initiative records.

**Table 119. Basic Search Bar**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the change initiative. This field allows you to enter a maximum of 20 numeric values. This field supports wildcard search.<br><br>If the change initiative is found, the Change Initiatives List displays the exact change initiative that matched the entered criteria or else the following warning message is displayed: *No Data Found for this Search Criteria*. |
| Name | Enter the name of the change initiative. 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. The hierarchy browser will display the list of all the change initiatives mapped to a particular business line. |
| Location | Select the location from the hierarchy browser. The hierarchy browser will display the list of all the change initiatives mapped to a particular location. |

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

**Note**:

- Using the context menu option on a column name in the Change Initiatives List, you can click the **Field Chooser** option to choose additional fields to be displayed in the list section.
- After performing the basic **Search**, when you navigate to **Advanced Search** or **Views** search, the Search bar will retain the last search criteria, and will display the relevant filtered results in the Change Initiatives list.

## Searching Change Initiatives Using Advanced Search

Advanced Search offers the same search fields as provided for a simple Search along with additional fields. If you know details such as Owner, Percentage Complete, Status, Target Completion and so on, then you can filter the change initiative records using the Advanced Search components.

To search for change initiative records using Advanced Search, follow these steps:

1. Navigate to the Change Management Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search components are displayed.

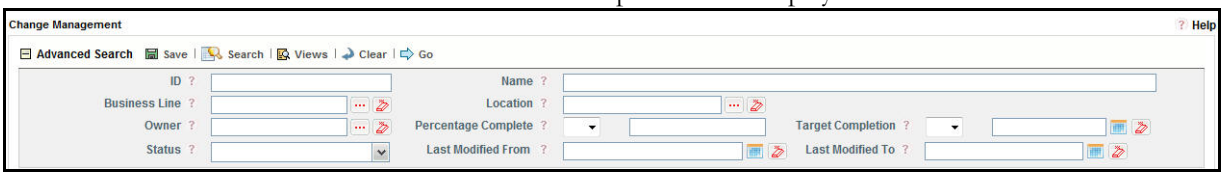



**Figure 227. Searching Change Initiatives with Advanced Search**

3. Enter the following search criteria to filter the list of change initiative records.

**Table 120. Advanced Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the change initiative. This field allows you to enter a maximum of 20 numeric values. This field supports wildcard search.<br><br>If the change initiative is found, the Change Initiatives List displays the exact change initiative that matched the entered criteria or else the following warning message is displayed: *No Data Found for this Search Criteria*. |
| Name | Enter the name of the change initiative. 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. The hierarchy browser will display the list of all the change initiatives mapped to a particular business line. |
| Location | Select the location from the hierarchy browser. The hierarchy browser will display the list of all the change initiatives mapped to a particular location. |
| Owner | Select an owner from the hierarchy browser to display the list of change initiative records owned by the selected user. The hierarchy browser will display the list of all the users mapped to the role of Change Initiator. |
| Percentage Complete | Enter a percentage completion value in the text field to filter the list of change initiatives having their Percentage Complete value as specified in the search criteria. You can enter a numeric value of up to 100.<br><br>You can use the following equality operators along with the percentage completion value to filter the list of change initiatives:<br><br>● <<br>● <=<br>● =<br>● ><br>● >= |
| Target Completion | Select a date from the Calendar icon to filter the list of change initiatives having their Target Completion date as specified in the search criteria.<br><br>You can use the following equality operators along with the Target Completion date to filter the list of change initiatives:<br><br>● <<br>● <=<br>● =<br>● ><br>● >= |

**Table 120. Advanced Search Bar Components (Continued)**

| Criteria | Description |
|---|---|
| Status | Select any status from the multi-select drop-down list options to filter the list of change initiatives having their Status as specified in the search criteria.<br><br>Following are the possible values:<br><br>● Select All<br>● Closed<br>● Completed<br>● Draft<br>● Open<br>● Pending Completion |
| Last Modified From | Select a date from the calendar to display the list of change initiative records 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 change initiative records whose last modified date is less than or equal to the specified date. |

4. Click **Go**. The relevant search list is displayed. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

   **Note**:

   - Using the right-click option on columns within the List header allows you to specify the sorting options such as Sort Ascending, Sort Descending, Clear Sort, Group By Tree, Group By Tab, Field Chooser and Transpose.
   - You can also save a search criteria in the Advanced search components as a pre-populated search query. The saved search is then displayed as a pre-defined view in the **Views** drop-down option. For more information on Saving a Search, refer to *Chapter 3: Managing Genearl Features, Saving a Search* section.
   - After performing the **Advanced Search** when you navigate to basic **Search** or **Views** search, the search bar will retain the last performed search criteria, and will display the relevant filtered results in the Change Initiatives list.

## Searching Change Initiatives Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of change initiatives based on pre-defined views.

To search for change initiatives using Pre-defined views, follow these steps:

1. Navigate to the Change Management Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

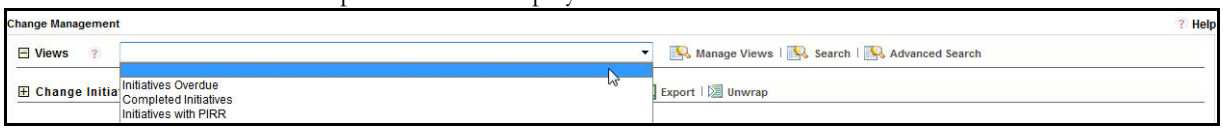



**Figure 228. Searching Change Initiatives with Pre-defined Views**

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

**Table 121. change initiatives View Type**

| View Type | Description |
|---|---|
| Initiatives Overdue | Select **Initiatives Overdue** from the drop-down list options to display the list of change initiative records which are in *Open* status and whose target date is less than the current system date. |
| Completed Initiatives | Select **Completed Initiatives** from the drop-down list options to display the list of change initiative records which are in *Completed* status. |
| Initiatives with PIRR | Select **Initiatives with PIRR** from the drop-down list options to display the list of change initiative records in Open/Completed statuses and require post implementation risk review. |

**Note:** After performing a **Views** search when you navigate to Search or Advanced Search, the search bar will retain the last performed search criteria, and will display the relevant results in the Change Initiatives list.

## Creating a New Change Initiative

When an organization wants to bring out a new change to their infrastructure systems, process or projects they can create a new change initiative and help the organization to track the initiated change initiative to completion.

To create a new change initiative, follow these steps:

1. Navigate to the Change Management Search and List page.
2. Click **Create Change Initiative**. The Change Initiative Definition page is displayed.

   The status of the change initiative is displayed as *New*.

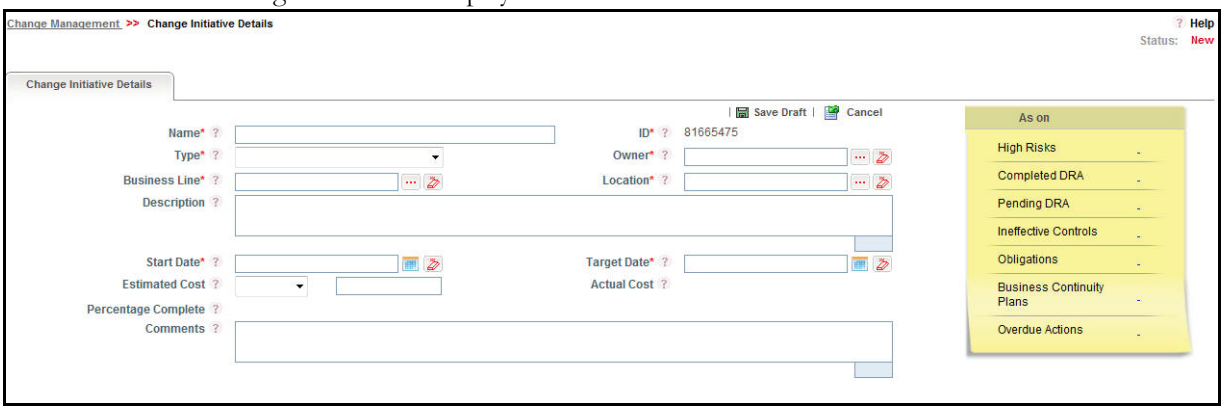



**Figure 229. Change Initiative Definition Page**

3. Enter the following information in the Change Initiative Definition page.

   The following table describes the components of the Definition page:

**Table 122. Components of Change Initiative Definition Page**

| Field Name | Description |
|---|---|
| Name | Enter the name of the change initiative. This field allows you to enter a maximum of 300 characters.<br><br>**Note:** If you try to save without entering a value in the name field, the application displays the following message: *Name is mandatory.* |
| ID | Displays the sequential tracking created for the change initiative. This is an auto-generated unique identification number and cannot be modified. |

**Table 122. Components of Change Initiative Definition Page (Continued)**

| Field Name | Description |
|---|---|
| Type | Select the appropriate type of change initiative from the drop-down list options. This field is a mandatory field.<br><br>The Type drop-down list includes the following options:<br><br>● New IT System<br>● New Project<br>● New Product<br>● New Vendor<br>● Existing IT System<br>● Existing Project<br>● Existing Product<br>● Existing Vendor |
| Owner | By default, this field auto-populates the name of the logged in user as the owner of the change initiative and is editable.<br><br>You can also select an owner for the change initiative from the hierarchy browser which displays the list of users mapped to the role of Change Initiator for the selected Business Line and Location.<br><br>This field is a mandatory field.<br><br>**Note:** An owner of the change initiative is responsible for completing the change initiative. |
| Business Line | Select a business line from the hierarchy browser where the new change initiative is initiated.<br><br>This field is a mandatory field. |
| Location | Select a location from the hierarchy browser where the new change initiative is initiated.<br><br>This field is a mandatory field. |
| Description | Enter the description of the initiated change initiative in this field of up to 3000 characters. |
| Start Date | Select a start date for the change initiative from the calender. This field is a mandatory field. |
| Target Date | Select a target completion date for the change initiative from the calender. This field is a mandatory field and need to be greater than or equal to the Start Date. |
| Estimated Cost | Select a currency from the drop-down list options in which you want to calculate the cost of the change initiative.<br><br>Enter the amount of estimated cost of the change initiative in the text field. You can enter a maximum of 20 digits. |
| Actual Cost | This field is initially blank and will become editable only when the status of the change initiative changes to *Open*.<br><br>Actual cost displays the amount of actual cost incurred in completing the change initiative. |

**Table 122. Components of Change Initiative Definition Page (Continued)**

| Field Name | Description |
|---|---|
| Percentage Complete | This field is initially blank and will become editable only when the status of the change initiative changes to *Open*.<br><br>This field displays the approximate percentage of completion of the initiated change initiative. |
| Comments | Enter any comments or additional information about the change initiative of up to 3000 characters in this field. |

4. Click **Save Draft** to save the information entered in the Definition page. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. You are navigated to the Change Initiatives Details page and the status of the change initiative changes to *Draft*. Subsequently under the **Change Initiatives Details** tab, the sections such as Impact, Identify Risk Event Types, Stakeholders and Materiality, Documents and Workflow History are displayed. Additionally, the Linkages and Issues and Actions tab are also displayed.

   Or:

   Click **Submit** to save the entered information and submit the change initiative to the Change Initiative Owner for taking further actions. The following message is displayed: *Add Operation Successful.* Click **OK**. You are navigated to the Change Initiatives Details page and the status of the change initiatives changes to *Open*.

   A new change initiative is created.

## Submitting a Change Initiative in Draft Status

Once a Change Initiator creates a change initiative, the status of the change initiative changes to *Draft* status.

A change initiative in *Draft* status can be submitted to the owner of the change initiative for taking further actions such as updating the change initiative details, identifying the impacts, adding the risk event types through Change Decision Tree or adding them manually, linking the stakeholders, linking other components to the change initiative and creating issues and actions on the initiated change initiative.

To submit the change initiatives in *Draft* status, follow these steps:

1. Navigate to the Change Management Search and List.
2. Click the required Change Initiative **ID** in *Draft* status.

   The Change Initiatives Details page is displayed.




**Figure 230. Change Initiative Details Page**

When a change initiative is in *Draft* status, you can perform the following actions:

- Edit change initiative details
- Identify and add Impacts
- Identify and add Risk Event Types, Stakeholders and Materiality
- Link and delink other modules such as Risk, Controls, Key Indicator and so on to the change initiative
- Link and delink Issues and Actions
- Attach and delete documents related to a change initiative
- View workflow history
- Submit the change initiative

For detailed information on these actions, refer to*Managing Change Initiative Details*.

3. Click **Edit**. The Change Initiative Details tab changes into an editable mode and additionally displays the **Update** and **Submit** buttons.
4. After performing the appropriate actions, click **Submit**. The following message is displayed: *Update Operation Successful*.

   **Note**: If you try to submit without adding any Risk Event Type to the change initiative, the following message is displayed: *Please select the applicable Risk Event Types.*
5. Click **OK**. You are navigated to the Change Initiative Details page and the status of the change initiative changes to *Open*. A task is sent to the Change Initiative Owner to take further actions on the change initiative.

   A Change Initiative Owner can perform the following actions when the change initiative is *Open* status:

   - Edit change initiative details
   - Add and edit Impacts
   - Add and edit Risk Event Types, Stakeholders and Materiality

- Link and delink other modules such as Risk, Controls, Key Indicator and so on to the change initiative
- Link and delink Issues and Actions
- Attach and delete documents related to a change initiative
- View workflow history
- Request completion of change initiative
- Close the change initiative

For detailed information on these actions, refer to *Managing Change Initiative Details*.

## Deleting a Change Initiative

Users mapped to the role of Change Initiator can delete a change initiative when in *Draft* status if they are not applicable to the business or an organization.

To delete an issue, follow these steps:

1. Navigate to the Change Management Search and List page.
2. From the Change Initiatives List, select a change initiative in *Draft* status.
3. Click **Delete Change Initiative**. 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 Change Management Search and List page.

# Managing Change Initiative Details

This section covers the following topics:

- Editing Change Initiative Details
- Viewing Change Initiative Additional Information
- Managing Impacts
- Managing Risk Event Types, Stakeholders and Materiality
- Attaching and Deleting Documents
- Viewing Workflow History

## Editing Change Initiative Details

When you want to edit or update the change initiative details, you can edit a change initiative from the Change Initiative Details page. A Change Initiator can edit a change initiative in *Draft* and *Open* status.

This section covers the following two topics:

- Editing a Change Initiative in Draft Status
- Editing a Change Initiative in Open Status

### Editing a Change Initiative in Draft Status

To edit a change initiative in Draft status, follow these steps:

1. Navigate to the Change Management Search and List page.
2. From the Change Initiatives List, select a change initiative in *Draft* status. The Change Initiative Details page is displayed.
3. Click **Edit** from Change Initiative Context Details. The Change Initiative Details Definition page is displayed.

   A Change Initiative Owner can perform the following actions when the change initiative is in *Draft* status:

   - Edit change initiative details
   - Identify and add Impacts
   - Identify and add Risk Event Types, Stakeholders and Materiality
   - Link and delink other modules such as Risk, Controls, Key Indicator and so on to the change initiative
   - Link and delink Issues and Actions
   - Attach and delete documents related to a change initiative
   - View workflow history

   Submit the change initiative
4. Modify the necessary change initiative details. For more information on the fields, refer to *Table 122*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*

   Or:

Click **Submit**. The following message is displayed: *Update Operation Successful.*

**Note**: To submit a change Initiative, you must enter all the mandatory fields.

6. Click **OK** to confirm the changes. The updated Change Initiative Details page is displayed.

### Editing a Change Initiative in Open Status

To edit a change initiative in Open status, follow these steps:

1. Navigate to the Change Management Search and List page.
2. From Change Initiatives List, select a change initiative in *Open* status. The Change Initiative Details page is displayed.
3. Click **Edit** from change initiative context details. The Change Initiative Details Definition page is displayed.

   A Change Initiative Owner can perform the following actions when the change initiative is *Open* status:

   - Edit change initiative details
   - Add and edit Impacts
   - Add and edit Risk Event Types, Stakeholders and Materiality
   - Link and delink other modules such as Risk, Controls, Key Indicator and so on to the change initiative
   - Link and delink Issues and Actions
   - Attach and delete documents related to a change initiative
   - View workflow history
   - Request completion of change initiative
   - Close the change initiative
4. Modify the necessary change initiative details. For more information on the fields, refer to *Table 122*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Change Initiative Details page is displayed.

## Viewing Change Initiative Additional Information

The Additional Information section provides additional details about the count of components such as high risks, Completed DRA, Pending DRA, Ineffective Controls, and so on.

To view the Change Initiative Additional Information, follow these steps:

1. Navigate to the Change Initiative Search and List page.

2. Click a Change Initiative ID. The Change Initiative Details page is displayed with Additional Information.




**Figure 231. Change Initiative Additional Information**

The following table explains the information displayed in the Additional Information section:

**Table 123. Change Initiative Additional Information**

| View Type | Description |
|---|---|
| High Risks | Displays the count of risks which are rated as High that are linked to a Change Initiative. Click on the count hyper link to navigate to the Risks section in the Linkages tab. |
| Completed DRA | Displays the count of risks for which the Delivery Risk Assessment (DRA) is completed. Click on the count hyper link to navigate to the Linkages tab in the Change Initiative Details page. |
| Pending DRA | Displays the count of risks for which the Delivery Risk Assessment (DRA) is initiated and but not completed. Click on the count hyper link to navigate to the Linkages tab in the Change Initiative Details page. |
| Ineffective Controls | Displays the count of controls linked to the change initiative that are rated as Requires Improvement. Click on the count hyper link to navigate to the Controls section in the Linkages tab. |
| Obligations | Displays the count of obligations linked to the change initiative. Click on the count hyper link to navigate to the Obligations section in the Linkages tab. |
| Business Continuity Plans | Displays the count of BCPs linked to the change initiative. Click on the count hyper link to navigate to the Business Continuity Plan section in the Linkages tab. |
| Overdue Actions | Displays the count of actions in Open status that are overdue. Click on the count hyper link to navigate to the Issues and Actions tab in the Change Initiatives Detail page. |

## Managing Impacts

The Impacts section allows you to capture any impacts to the business units, processes and so on as a result of initiating a new change initiative. Only users mapped to the role of Change Initiator can link and delink impacts to a change initiative.

This section covers the following topics:

- Linking Impacted Business Units
- Linking Impacted Processes
- Linking Other Impacts

### Linking Impacted Business Units

A Change Initiator user can link impacted business units to a change initiative in *Draft* and *Open* status.

To link an impacted business units to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. From the Change Initiative Details tab, expand **View More** to view additional options.
3. Expand **Impacts**.
4. From the Impacted Business Units section, click **Link**.

   A Choose Business Units pop-up window is displayed.
5. Search for the required business unit using the Search bar and then select the business unit(s) from the Business Units lists section.

   Or:

   Select the appropriate business unit from the Business Units lists section that displays the pre-filtered list of business units through a default search criteria.
6. Click **Link**. 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 Change Initiative Details page.

   The linked business units are displayed in the Impacted Business Units section.

**Note:**

- Select a business unit record to add the criticality of the impact and comments. Subsequently, click **Save** to save the changes.
- To delink an impacted business unit record, select the check box against each row and click **Delink**.
- You cannot link and delink impacted business unit records when the change initiative is in *Pending Completion* or *Completed* status.

## Linking Impacted Processes

A Change Initiator user can link an impacted processes to a change initiative in *Draft* and *Open* status.

To link an impacted processes to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. From the Change Initiative Details tab, expand **View More** to view additional options.
3. Expand **Impacts**.
4. From the **Impacted Processes** section, click **Link**.

   The Impacted Processes pop-up window is displayed.
5. Search for the required impacted processes using the Search bar and then select the impacted processes from the Processes section.

   Or:

   Select the appropriate impacted processes from the Processes lists section that displays the pre-filtered list of processes through a default search criteria.
6. Click **Link**. The following message is displayed: *Records Linked Successfully.*
7. Click **OK**. You are navigated to the Impacted Processes window.
8. Click **Back** to navigate back to the Change Initiative Details page.

   The linked business units are displayed in the Impacted Business Units section.

**Note:**

- Select a process record to add the criticality of the impact and comments. Subsequently, click **Save** to save the changes.
- To delink an impacted processes record, select the check box against each row and click **Delink**.
- You cannot link and delink impacted process records when the change initiative is in *Pending Completion* or *Completed* status.

## Linking Other Impacts

A Change Initiator user can link other impacts to a change initiative in *Draft* and *Open* status.

To link other impacts to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. From the Change Initiative Details tab, expand **View More** to view additional options.
3. Expand **Impacts**.
4. From the **Other Impacts** section, click **Link**.

   A **Other Impacts** pop up window is displayed.
5. Search for the required impacts using the search bar and then select the required impacts from the List section.

   Or:

   Select the required impact from the Lists section that displays the pre-filtered list of impacts through default search criteria.

6. Click **Link**. The following message is displayed: *Records Linked Successfully.*
7. Click **OK**. You are navigated to the Other Impacts window.
8. Click **Back** to navigate back to the Change Initiative Details page.

   The linked business units are displayed in the Other Impacts section.

**Note:**

- Select an impact record to add the criticality of the impact and comments. Subsequently, click **Save** to save the changes.
- To delink an impacted record, select the check box against each row and click **Delink**.
- You cannot link and delink other impacted records when the change initiative is in *Pending Completion* or *Completed* status.

## Managing Risk Event Types, Stakeholders and Materiality

You can identify the Risk Event Type, Stakeholders and Materiality associated with a change initiative either through answering the questionnaire in the Change Decision Tree or manually identifying them from the respective sections.

**Note:** Ensure that you have linked at least one RET record to a change initiative before submitting from *Draft* to *Open* status and at least one stakeholder is selected for approving the change initiative when you request for completion.

This section covers the following topics:

- Auto-Populating RET, Stakeholder and Materiality through Answering the Change Decision Tree
- Manually Identifying RET, Stakeholder and Materiality

### Auto-Populating RET, Stakeholder and Materiality through Answering the Change Decision Tree

You can automatically populate the Risk Event Type, Stakeholder and Materiality associated with a change initiative by answering the questionnaire in Change Decision Tree.

To auto-populate the Risk Event Type, Stakeholder and Materiality, follow these steps:

1. Navigate to the Change Initiative Details page.
2. From the Change Initiative Details tab, expand **View More** to view additional options.
3. Expand **Identify Risk Event Types, Stakeholders and Materiality**.
4. Click the **Change Decision Tree** hyper link. A Preview Questionnaire window is displayed.
5. Answer the questionnaire. For more information, refer to *Chapter 20: Managing Questionnaire*.
6. At the end of the questionnaire, the following message is displayed: *Ends Questionnaire.*
7. Click **OK**.
8. Navigate to the top of the Preview Questionnaire window and click **Back**. You are navigated to the Change Initiative Details page.

9. Click **Populate Recommended Values** from **Identify Risk Event Types, Stakeholders and Materiality** section. The following message is displayed: *Update Operation Successful.*
10. Click **OK**. The RET, Stakeholders and Materiality information are auto-populated in the respective sections.

**Note:** You can auto-populate multiple RET, Stakeholders and Materiality records using the Change Decision Tree till the status of the change initiative changes to *Pending Completion* and subsequent records are added in the respective sections. You cannot delink a RET record derived through the Change Decision Tree. If an RET record is derived from the Change Decision Tree, then the Recommended column will display as **Yes**.

## Manually Identifying RET, Stakeholder and Materiality

A Change Initiator user can manually identify the required Risk Event Types, Stakeholder and Materiality from the respective sections and link them to the change initiative.

This section covers the following topics:

- Linking Risk Event Types
- Linking Stakeholders
- Selecting the Materiality of the Change

### *Linking Risk Event Types*

To link the risk event types, follow these steps:

1. Navigate to the Change Initiative Details page.
2. From the Change Initiative Details tab, expand **View More** to view additional options.
3. Expand **Identify Risk Event Types, Stakeholders and Materiality**.
4. From the Risk Event Type section, click **Link**.

   A Hierarchy Browser window is displayed.
5. Search for the required risk event types using the Search bar and then select the risk event types from the list of Risk Event Type.

   Or:

   Select the appropriate risk event types from the Risk Event Type list that displays the pre-filtered list of risk event types through a default search criteria.
6. Click **OK**. The following message is displayed: *Add Operation Successful.*
7. Click **OK**. You are navigated to the Change Initiative Details page.

   The linked risk event types are displayed in the Risk Event Types section.

**Note:**

- Select an RET record to update the Applicable value and add the comments. Subsequently, click **Save** to save the changes.
- To delink an impacted record, select the check box against each row and click **Delink**.
- You cannot link and delink RET records when the change initiative is in *Pending Completion* or *Completed* status.

### *Linking Stakeholders*

To link the stakeholders, follow these steps:

1. Navigate to the Change Initiative Details page.
2. From the Change Initiative Details tab, expand **View More** to view additional options.
3. Expand **Identify Risk Event Types, Stakeholders and Materiality**.
4. From the **Stakeholders** section, click **Link Stakeholders**.

   A Stakeholders window is displayed.
5. Search for the required stakeholders using the Search bar and then select the stakeholders from the Users section.

   Or:

   Select the required stakeholders from the Users section that already displays the pre-filtered list of stakeholders through a default search criteria.
6. Click **Link**. The following message is displayed: *Records Linked Successfully*.
7. Click **OK**. You are navigated to the Stakeholders window.
8. Click **Back** to navigate back to the Change Initiative Details page.

   The linked stakeholders are displayed in the Stakeholders section.

**Note:**

- Select a Stakeholder to update whether an approval is required or not for the change initiative. Subsequently, click **Save** to save the changes. If you have selected **Yes**, then a task is sent to the particular stakeholder for approval and a notification is sent to other stakeholders associated with the change initiative.
- To delink a stakeholder, select the check box against each row and click **Delink**.
- You cannot link and delink stakeholders when the change initiative is in *Pending Completion* or *Completed* status.

### *Selecting the Materiality of the Change*

A Change Initiator can select the materiality of the change initiative from the drop-down list. Select either **High**, **Medium** or **Low** from the drop-down list and click **Save** to save the changes.

## Attaching and Deleting Documents

The **Documents** section in Change Initiative Details tab allows you to attach or delete documents related to a change initiative. A user mapped to the role of Change Initiator can attach and delete documents after the status of the change initiative changes to *Draft* status. Also Stakeholders with an approving role can attach and delete documents when the status of the change initiative changes to *Pending Completion*.

**Note:** You cannot attach and delete document when the change initiative is in *Open* or *Completed* status. For more details on attaching and deleting documents, refer to *Chapter 3: Managing Genearl Features, Managing Documents* section.

## Viewing Workflow History

The **Workflow History** section in the Change Initiative Details tab records the audit trail of all the changes made to a change initiative.

The following table lists the different action comments that appear in the Workflow History for various actions:

**Table 124. Action Comments in Workflow History**

| Pre-Action Status | Action Performed | Post-Action Status | Action Taker | Action Comments |
|---|---|---|---|---|
| New | Saving Change Initiative for fist time | Draft | Change Initiator | Change Initiative Created. |
| Draft | Update Change Initiative | Draft | Change Initiator | Change Initiative Updated. |
| Draft | Submit Change Initiative | Open | Change Initiator | Change Initiative Submitted. |
| Open | Request Completion | Pending Completion | Change Initiator | Change Initiative submitted for Completion. |
| Pending Completion | Approve Change Initiative | Complete | Approving Stakeholder | Change Initiative Completed |
| Pending Completion | Reject Change Initiative | Open | Approving Stakeholder | Change Initiative rejected. |
| Open | Force closing Change Initiative | Closed | Change Initiator | Change Initiative Force Closed. |

For more details on how to view the difference in workflow history, refer to *Chapter 3: Managing Genearl Features, Viewing Workflow History* section.

## Managing Linkages

The Linkages tab allows a Change Initiator to link and delink various other modules in OFS OR/GCM to a change initiative. The Linkages tab is displayed in the Change Initiative Details page when the change initiative changes to *Draft* status.

**Note:** You cannot link and delink a component when the status of the change initiative is in *Pending Completion* and *Completed* status.

This section covers the following topics:

- Linking Risks
- Linking Controls
- Linking Key Indicators
- Linking Scenarios
- Linking Regulation/Policy
- Linking Obligations
- Linking Business Continuity Plan

### Linking Risks

To link risks to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From the Risks section, click **Link**.

   The Risks window is displayed.
4. Search for the required risks using the Search bar and then select the risk records from the Risks section.

   Or:

   Select the required risks records from the Risks section that displays the pre-filtered list of risks in *Open* status through a default search criteria.
5. Click **Link** to link the selected risk record to the change initiative. The following message is displayed: *Records Linked Successfully.*

   Or

   Click **Link Related Entities** to link all the related components of the selected entity record to the change initiative. The following message is displayed: *Records Linked Successfully.* All the related entities such as Controls, Scenarios, Key Indicators, and BCP records are automatically populated in the respective grids.
6. Click **OK**.
7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked risk records are displayed in the **Risks** section.

**Note:** To delink a risk record from a change initiative, select the check box against each row and click **Delink**.

## Linking Controls

To link controls to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From the Controls section, click **Link**.

   The Controls window is displayed.
4. Search for the required controls using the Search bar and then select the control record(s) from the Controls section.

   Or:

   Select the required control records from the Control section that displays the pre-filtered list of controls in *Open* status through a default search criteria.
5. Click **Link** to link the selected control record to the change initiative. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**.
7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked control records are displayed in the **Controls** section.

To delink a control record from a change initiative, select the check box against each row and click **Delink**.

## Linking Key Indicators

To link Key Indicators to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From the Key Indicators section, click **Link**.

   The Key Indicators window is displayed.
4. Search for the required key indicators using the Search bar and then select the records from the Key Indicators section.

   Or:

   Select the required key indicator records from the Key Indicators section that displays the pre-filtered list of key indicators in *Open* status through a default search criteria.
5. Click **Link** to link the selected key indicator record to the change initiative. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**.
7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked key indicator records are displayed in the **Key Indicator** section.

**Note:** To delink a key indicator record from a change initiative, select the check box against each row and click **Delink**.

## Linking Scenarios

To link scenarios to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From the Scenarios section, click **Link**.

   The Scenarios window is displayed.
4. Search for the required scenarios using the Search bar and then select the records from the Scenarios section.

   Or:

   Select the required scenario records from the Scenarios section that displays the pre-filtered list of scenarios in *Open* status through a default search criteria.
5. Click **Link** to link the selected scenario record to the change initiative. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**.
7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked scenario records are displayed in the **Scenarios** section.

**Note:** To delink a scenario record from a change initiative, select the check box against each row and click **Delink**.

## Linking Regulation/Policy

To link a regulation or policy to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From the Regulation/Policy sections, click **Link**.

   The Regulation window is displayed.
4. Search for the required regulation or policy using the Search bar and then select the records from the Regulation/Policy section.

   Or:

   Select the required regulation or policy records from the Regulation/Policy section that displays the pre-filtered list of regulation or policy in *Open* status through default search criteria.
5. Click **Link** to link the selected regulation or policy record to the change initiative. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**.

7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked regulation and policy records are displayed in the Regulation/Policy section.

**Note:** To delink a regulation or policy record from a change initiative, select the check box against each row and click **Delink**.

## Linking Obligations

To link obligations to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From the Obligations section, click **Link**.

   The Obligations window is displayed.
4. Search for the required obligations using the Search bar and then select the records from the Obligations section.

   Or:

   Select the required obligation records from the Obligations section that displays the pre-filtered list of obligations in *Open* status through a default search criteria.
5. Click **Link** to link the selected obligation record to the change initiative. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**.
7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked scenario records are displayed in the **Obligations** section.

**Note:** To delink an obligation record from a change initiative, select the check box against each row and click **Delink**.

## Linking Business Continuity Plan

To link a business continuity plan to a change initiative, follow these steps:

1. Navigate to the Change Initiative Details page.
2. Click the **Linkages** tab.
3. From Business Continuity Plan section, click **Link**.

   The Business Continuity Plan window is displayed.
4. Search for the required business continuity plan using the Search bar and then select the records from the Business Continuity Plan section.

   Or:

   Select the required Business Continuity Plans from the Business Continuity Plan section that displays the pre-filtered list of plans in all statuses except *Closed* status through a default search criteria.

5. Click **Link** to link the selected business continuity plan record to the change initiative. The following message is displayed: *Records Linked Successfully.*
6. Click **OK**.
7. Click **Back** to navigate back to the Change Initiative Details page.

   The linked business continuity plans are displayed in the **Business Continuity Plan** section.

**Note:** To delink an business continuity plan from a change initiative, select the check box against each row and click **Delink**.

## Managing Issues and Actions

An issue is a problem statement and actions are plans or activities taken up to resolve those issues. The Change Initiative Details page allows you to create issues or create, link and delilnk and delete issues or actions associated to the change initiative.

This section covers the following topics:

- Creating Issues
- Creating Actions
- Linking and Delinking Issues and Actions
- Deleting Actions

### Creating Issues

When you identify a particular issue or a problem statement that poses as an operational risk to an organization, you can create issues and necessary action plans to resolve or address the identified issue.

A Change Initiator and Change Initiator with approving role can create issues on a change initiative from Change Initiative Details page when the record is in *Open* and *Pending Completion* status respectively.

For detailed information on creating issues, refer to *Chapter 8: Managing Genearl Features, Creating Issues* section.

### Creating Actions

When an organization wants to record recommended action plans to address a particular issue that has occurred, they can create action plans. You can directly create Actions if the Issue Creation is turned off. This feature is configured during the installation of the OFS OR/GCM application or later.

Users mapped to the role of Change Initiator and Change Initiator with approving role can directly create actions on a change initiative from Change Initiative Details page when the record is in *Open* and *Pending Completion* status respectively.

For detailed information on creating actions, refer to *Chapter 8: Managing Issues and Actions, Creating Actions* section.

### Linking and Delinking Issues and Actions

Users mapped to the role of Change Initiator and Change Initiator with approving role can link and delink issues and actions on a change initiative from Change Initiative Details page when the record is in *Open* and *Pending Completion* status respectively.

For detailed information on linking and delinking issues and actions, refer to *Chapter 8: Managing Issues and Actions, Managing Issues and Actions* section.

### Deleting Actions

Users mapped to the role of Change Initiator can delete action plans in *Draft* that are no longer required to address an issue or if there are duplicate copies of the same action plan.

From the Actions section, select an action in *Draft* status and click **Delete Action** to delete the action record.

## *Requesting Completion of a Change Initiative*

Once all the details of the change initiative are captured, a Change Initiator can request the approvers of the change initiative to approve and thereby completing the workflow.

To request a change initiative for completion, follow these steps:

1. Navigate to Change Initiative Details page of a change initiative in *Open* status.

   **Note**: Before requesting a change initiative for completion, make sure you have met the following conditions:

   - All mandatory fields must be entered.
   - Percentage complete should be 100.
   - Actual Cost must be entered.
   - At least one Risk Event Type and a Stakeholder must be selected.
   - For a Recommended RET, if number of risks is 0 then comments must be entered mandatorily.
   - All the risks for which Delivery Risk Assessment has been initiated must be in Approved status.
   - If you have selected Post Implementation Risk Review as Yes, then you must select a review date.

2. Click **Request Completion**.

   If there is mandatory information, which is missing or information that is in some way invalid, you will receive warnings to correct the information before requesting the change initiative for completion. If there are no errors detected, the following message is displayed: *Update Operation Successful.*

3. Click **OK**.

   The status of the change initiative changes to Pending Completion and a task is sent to all the stakeholders who are required to approve the change initiative record.

# CHAPTER 12 Managing Insurance Policies

This chapter provides detail information about Insurance policies and step-by-step instructions to use this module.

This chapter discusses the following topics:

- About Insurance Policy
- User Roles and Actions
- Insurance Workflow
- Accessing Insurance Menu
- Searching Insurance Policy
- Creating Insurance Policy
- Managing Insurance Policy Details
- Closing Insurance Policy
- Renewing Insurance Policy
- Deleting Insurance Policy
- Exporting Insurance Policy List
- Viewing Insurance Profile Report

## About Insurance Policy

An Insurance Policy and basic risk mitigation forms an integral part of any financial organization. Organizations have numerous insurance policies to cover risks and future losses which may arise from such risks.

The Oracle Financial Services Operational Risk Insurance module helps to capture the different types of policies such as Fidelity Guarantee Insurance, Third Party Liability, and so on and stores them in a central repository called the Insurance Policy Library. Insurance Policy module details name, validity, premium amount, cover amount, reminder date, and so on. The policies are mapped to specific business lines and locations. It allows to renew the policies which are closed.

Insurance Policy can be linked to incidents which arise during the operations of an organization or risks already identified in the organization. The Insurance module helps to monitor policies and generate further insights based on historical data stored in the central repository. It helps to close and renew the policies on time. An Insurance Owner is the sole user of this module who manages entire activities.

### Salient Features

The Insurance Policy provides the following features to help organizations manage their operational risk:

- A central repository for all types of insurance policies held by the organization
- Map the Insurance Policy to a selected business line and location
- Send reminders for renewal of policies
- Link Insurance Policy to a Risk, Incident, Scenario, and Business Continuity Plan in the organization to keep track of risks, which are covered and the amount recovered after incurring a loss.
- Generate Insurance Policy report
- Export Insurance Policy

## *User Roles and Actions*

This section covers following topics:

- User Roles
- Actions

### User Roles

The Insurance owner is the only user who manages the insurance policies in an organization. This user keeps track day-to-day updates of every Insurance Policy. The Insurance owner captures, maps BUs, and renews the closed insurance policies.

Users mapped to the role of Insurance Owner can perform the various actions. Following diagram illustrates these actions:

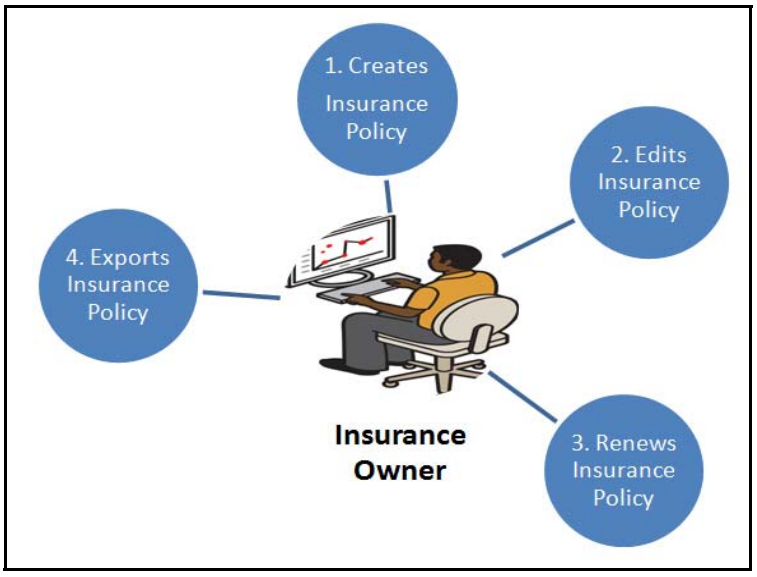



**Figure 232. User Roles and Actions**

### Actions

This section elaborates the different action carried out by the Insurance Owner.

- **Creating Insurance Policy**: This action allows the user to create a new Insurance Policy when an organization purchases a new Insurance Policy. Users can link or delink the Key Business Dimensions (BUs) and attach or delete the documents before or after submitting the policy.
- **Editing Insurance Policy**: This action allows the user to edit and update the Insurance Policy in Draft or in Open status.
- **Renewing Insurance Policy**: This action allows the user to renew a closed Insurance Policy by changing the expiry date to a future date.
- **Deleting Insurance Policy**: This action allows the user to delete an Insurance Policy. When an organization believes that a certain Insurance Policy has been drafted incorrectly or not required, it may delete the policy.
- **Exporting Insurance Policy**: This action allows the user to export the details of the Insurance Policy. The Exported Insurance Policy allows the organization to have a compiled list of all applicable Insurance Policies.

## *Task and Notifications*

Tasks are actionable items assigned and sent to a user role. 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 all tasks and notifications that each user roles will receive in their Inbox menu on performing a particular action.

**Table 125. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| On batch run | Notification | Reminder - Renewal of Insurance Policy | Insurance Owner | Open |
| On batch run | Notification | Notify Closure- Insurance Policy Closed | Insurance Owner | Open |

# Insurance Workflow

The life cycle of the Insurance module is described in the following workflow diagram.

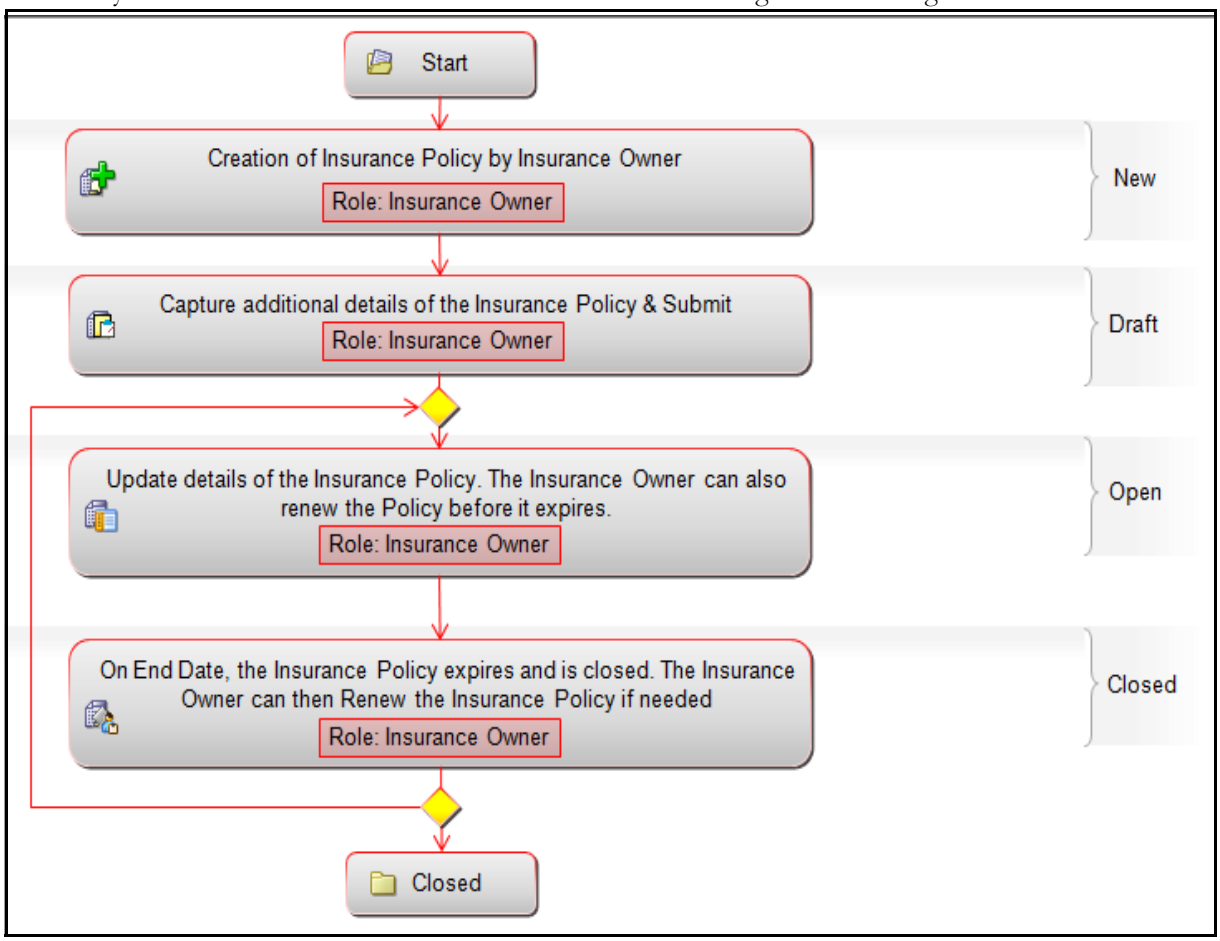



**Figure 233. Insurance Policy Workflow**

## Tabular Workflow

The Tabular Workflow of the Insurance module is described in the following table.

**Table 126. Tabular Workflow**

| Task | Description | Status |
|---|---|---|
| Creating an Insurance Policy | Enter the required data in the Insurance Policy Definition page to create a new Insurance Policy. It is saved as draft, which can be modified later using the Edit option. | Draft |
| Submitting an Insurance Policy | Submit the policy after mapping to Key Business Dimension (BUs). The status of the Insurance Policy changes from *Draft* to *Open.*<br>**Note:** The details like Expiry Date, Renewal Date, Premium Amount, Cover Amount, and Deductible can be modified. | Open |

**Table 126. Tabular Workflow**

| Task | Description | Status |
|---|---|---|
| Closing an Insurance Policy | An Insurance Policy changes to *Closed* status if it is not renewed before the expiry date. However, a closed policy can be reopened and submitted again by changing the expiry date. | Closed |
| Renewing an Insurance Policy | Renew a closed Insurance Policy by changing the expiry date to a future date. | Open |

## Accessing Insurance Menu

The Oracle Financial Services Operational Risk Home page allows you to access the Insurance module.

To access the Insurance module, follow these steps:

1. Login to OFSOR/GCM as an Insurance Owner. The OFSOR/GCM Home page is displayed.
2. Hover over the **BU Profile** primary menu and click **Insurance Policy**. The Insurance Policy Search and List page is displayed.

## Searching Insurance Policy

The Insurance Policy Search and List page allows you to search and view the Insurance Policy list and details. The Insurance Policy search bar supports three types of search-Basic Search, Search by Views, and Advanced Search. You can use only one search at a time.

This section details the following topics:

- Searching Insurance Policy using Basic Search
- Searching Insurance Policy using Advanced Search
- Searching Insurance Policy Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Insurance Policy using Basic Search

This search is based on a limited set of search components such as ID and Name, and it helps to retrieve the relevant Insurance Policies.

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

1. Navigate to the Insurance Policy Search and List page.

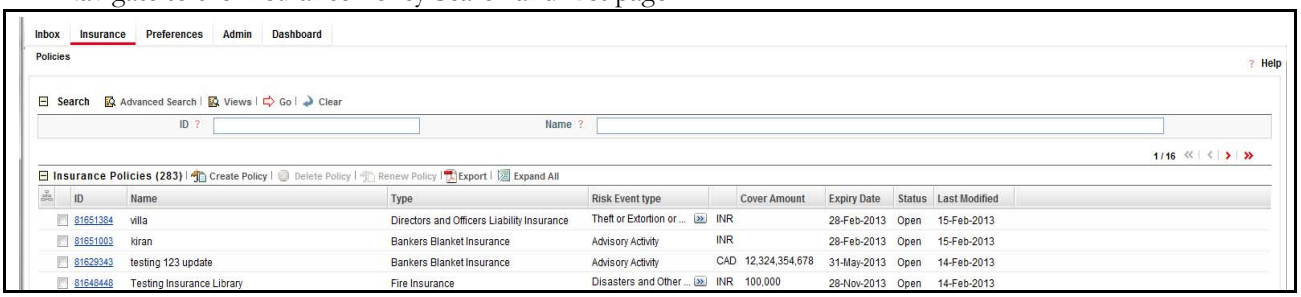



**Figure 234. Insurance Policy Search page using Basic Search**

**Note:** By default, the Insurance Policy Search and List page displays all records.

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

**Table 127. Basic Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of an Insurance Policy. This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Name | Enter the name of the Insurance Policy. This field allows you to enter a maximum of 300 characters and supports wildcard search. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank

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

## Searching Insurance Policy using Advanced Search

Advanced Search provides a more specific search. It offers the same search fields as provided for a simple search along with additional fields. If you know most of the Insurance Policy details such as ID, Name, Status, and so on, then you can filter the Insurance Policies using the Advanced Search components.

To search for an Insurance Policy using Advanced Search, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click **Advanced Search**. The Advanced Search fields expand..

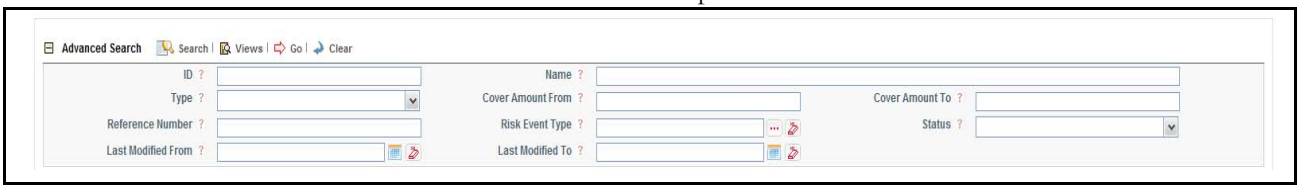



**Figure 235. Advanced Search Page**

3. Enter the following search critiria in the Advanced Search fields to filter the search list.

**Table 128. Advanced Search Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of an Insurance Policy. This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Name | Enter the name of the Insurance Policy. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Type | Select the category of Insurance Policy from the drop-down list. For example, Fidelity Guarantee Insurance, Third Party Liability, and so on. |
| Cover Amount From | Enter the cover amount to search for the policies having cover amount greater than or equal to the specified amount.You can enter numbers up to 20 characters.<br>**Validations:**<br>If you exceed the maximum permissible characters in this field, the application displays the following message: *The Number of Character exceeds.* |
| Cover Amount To | Enter the cover amount to search for the policies having cover amount lesser than or equal to the specified amount. You can enter numbers up to 20 characters.<br>**Validations:**<br>If you exceed the maximum permissible characters in this field, the application displays the following message: *The Number of Character exceeds.* |
| Policy Number | Enter the policy number of the Insurance Policy. |
| Risk Event Type | Select the classification of the Risk Event Type as defined by Basel accord from the hierarchy browser list. For example, External Fraud, Internal Fraud, and so on. |
| Status | Select the Insurance Policy status from the drop-down list.<br>Following are the possible options for status drop-down list:<br>● Draft<br>● Open<br>● Close<br>● Select all<br>**Note:** You can select more than one value. |
| Last Modified From | Select the last modified date from the calendar to display policies having a modified date greater than or equal to the specified date.<br><br>**Validations:**<br>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.* |
| Last Modified To | Select the last modified date from the calendar to display policies having a modified date lesser than or equal to the specified date.<br><br>**Validations:**<br>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 window displays 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 the*Chapter 3: Managing General Features, Saving a Search* section.

## Searching Insurance Policy Using Pre-defined Views

Views search represents the pre-populated search queries. The Views search option allows you to search and filter the list based on the predefined views (for example, Closed Policies).

To search for an Insurance Policy using the Views search option, follow these steps:

1. Navigate to the Insurance Policy Search and List page.

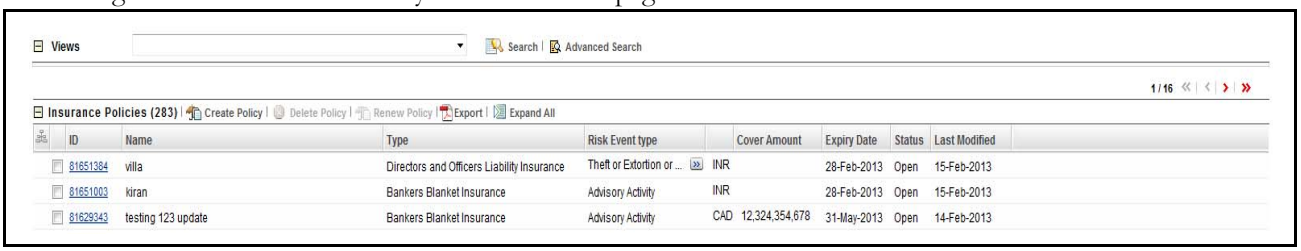



**Figure 236. Views Search List**

2. Select Closed Policies from the **Views** drop-down list. The page displays relevant insurance policies. The list is in descending order of the last modified date.

# *Creating Insurance Policy*

When an organization purchases a new Insurance Policy, the Insurance Owner can create a new Insurance Policy in the OFSOR/GCM application by capturing its details.

The Insurance Search and List page allows you to create a new Insurance Policy by entering valid data in the Insurance Definition page. After creating a policy, you can add or modify the policy details using the Insurance Details page.

To create an Insurance Policy, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click **Create Policy**. The Insurance Policy Definition page is displayed and the status of the Insurance Policy is displayed as New.

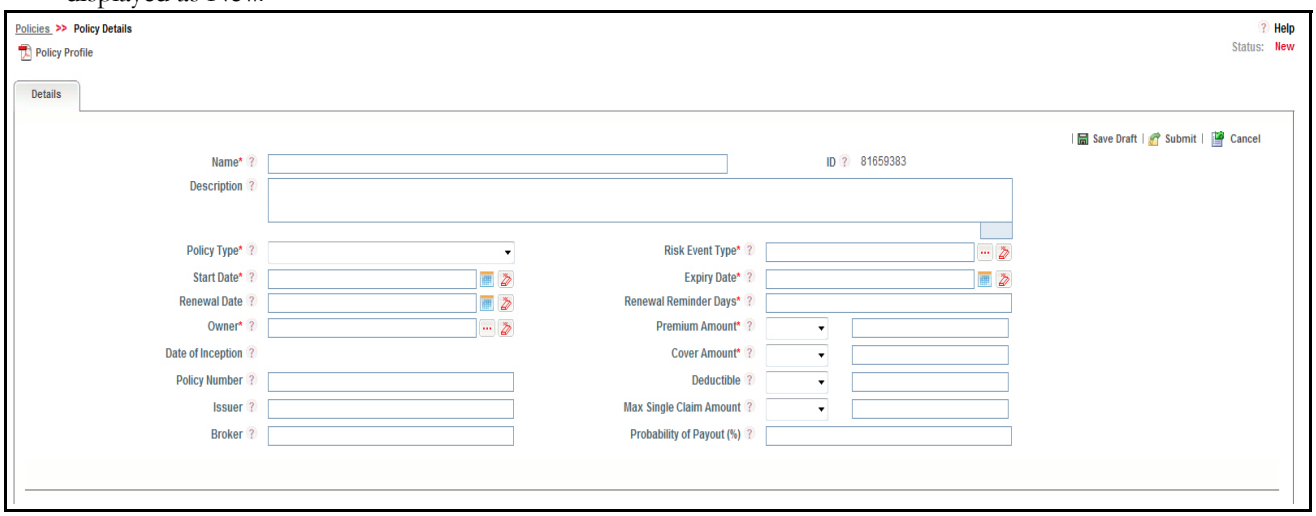



**Figure 237. Insurance Policy Definition page**

3. Enter the following details in the Insurance Policy Definition window:

**Table 129. Components of Insurance Policy Details page**

| Field | Description |
|---|---|
| Name | Enter the complete name of the Insurance Policy.<br>**Note:** You can enter text up to 300 characters.<br>**Validations:**<br>If you exceed the maximum permissible characters in this field, the application displays the following message: *Number of characters exceeded.* |
| ID | Displays the system generated sequential tracking number of an Insurance Policy. This is an auto-generated unique identification number and cannot be modified. |
| Description | Enter the description of the Insurance Policy.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Policy Type | Select the category of Insurance Policy from the drop-down list.<br>Following are the types in the drop-down list:<br>● Fidelity Guarantee Insurance<br>● Third Party Liability<br>● Products Liability Insurance<br>● Professional Indemnity Insurance<br>● Machinery Breakdown Insurance<br>● Bankers Blanket Insurance<br>● Directors and Officers Liability Insurance<br>● Fire Insurance<br>● Workmen's Compensation Insurance |
| Risk Event Type | Select the risk event type as defined by Basel Accord from the hierarchy browser. For example, External Fraud, Internal Fraud, and so on. |
| Start Date | Select the start date of the Insurance Policy from the calendar. This date depicts when the Insurance Policy coverage is likely to start. |
| Expiry Date | Select the expiry date of the Insurance Policy from the calendar. This date depicts the date of expiry of the Insurance Policy. |
| Renewal Date | Select the renewal date of the Insurance Policy from the calendar. |
| Date of Inception | Displays the date on which the Insurance Policy was bought for the first time. |
| Renewal Reminder Days | Enter the number of days before the expiry date to send a reminder to the insurance owner. |
| Owner | Select the Owner from the hierarchy browser User List. For example, Audit Officer, Challenger, and so on. |
| Premium Amount | Select the type of currency and enter the premium amount payable for the Insurance Policy. |
| Cover Amount | Select the type of currency from the drop-down list and enter the amount covered under the Insurance Policy. |
| Max Single Claim Amount | Select the type of currency from the drop-down list and enter the maximum permissible amount for a single claim for the Insurance Policy. |
| Deductible | Select the type of currency from the drop-down list and enter the deductible amount for the Insurance Policy.<br>Deductible is the amount or expenses that must be paid by the insured before an insurer will pay any expenses. |

**Table 129. Components of Insurance Policy Details page**

| Field | Description |
|---|---|
| Policy Number | Enter the policy number of the Insurance Policy.<br>**Note:** If you try to enter more than 20 digits, the application displays the following message: *Number of digists exceeded*. |
| Issuer | Enter the issuer name of the Insurance Policy.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Broker | Enter the broker name of the Insurance Policy. An insurance broker (also known as insurance agent) sells, solicits, or negotiates insurance for compensation.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Probability of Payout (%) | Enter the percentage probability of payout. The Percentage Payout is the percentage of Insurance Policy amount paid by the insurer once a policy is claimed. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the newly created Policy Details page. The status of the Insurance Policy changes to *Draft*.

   Or

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. You are navigated to the newly created Policy Details page. The status of the Insurance Policy changes to *Open*.

   **Note:** Once the Process is saved and is in Draft status, the **Save Draft** button changes to the **Update** button.

## Submitting Insurance Policy in Draft Status

You may choose not to submit the Insurance details while creating a new one and saved it as a draft. You can submit the same Insurance details by entering all mandatory fields.
The Policy Details page allows you to submit the selected Insurance Policy in Draft status.
To submit an Insurance Policy in Draft status, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click **Insurance ID** in Draft status. The Insurance Policy Details page is displayed with the Details tab.

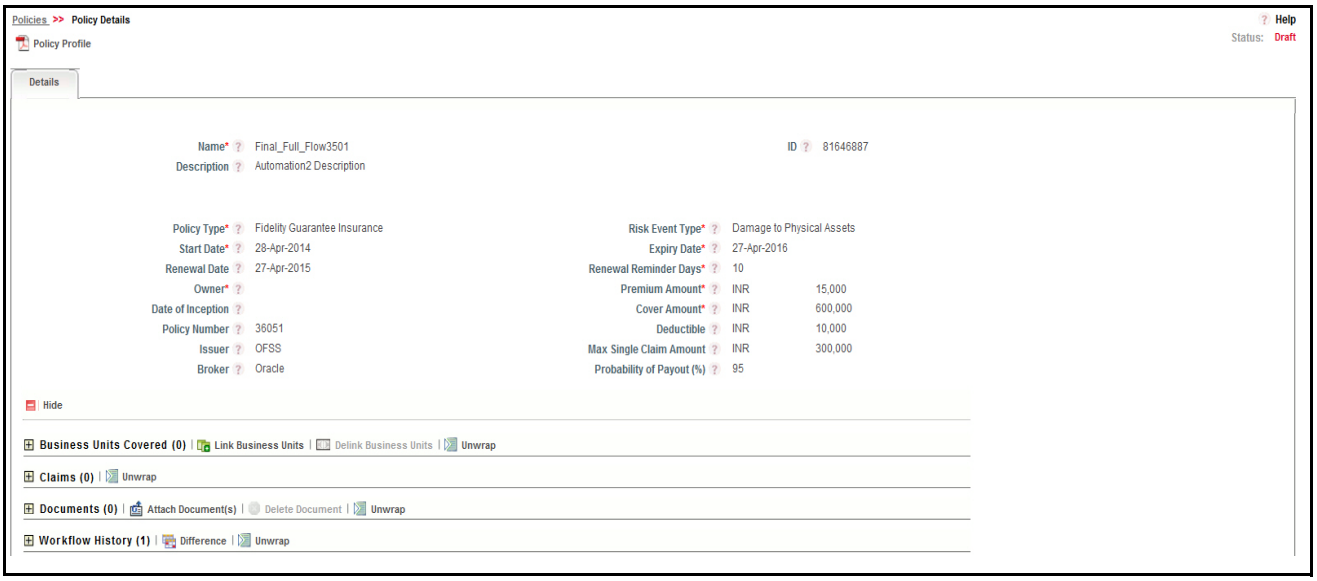



**Figure 238. Insurance Policy Details page**

The Insurance Policy Details page allows you to perform the following tasks in Draft status:

- Editing Insurance Policy
- Linking and delinking applicable business units to Insurance Policy.
- Viewing the Claims details of the selected Insurance Policy.
- Attaching and deleting documents related to Insurance Policy
- Viewing the audit log for the Insurance Policy

For more information on these sections, refer to *Managing Insurance Policy Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To Submit an Insurance Policy, all mandatory 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 Insurance Policy changes to *Open*.

   The Insurance Policy Details page allows you to perform following tasks in *Open* status:

- Editing Insurance Policy
- Linking and delinking applicable business units to Insurance Policy.
- Viewing the Claims details of the selected Insurance Policy.
- Attaching and deleting documents related to Insurance Policy
- Viewing the audit log for the Insurance Policy
- Viewing the components linked to Insurance Policy such as Risks, Controls, Key indicators, Internal incidents, and Business continuity plans

For more information on above sections, refer to *Managing Insurance Policy Details* section.

# Managing Insurance Policy Details

This page allows you to manage some important tabs and functionalities pertaining to the Insurance Policy.

This section explains the following topics:

- Managing Details
- Viewing Linkages

## Managing Details

This page allows you to manage various tabs and functionalities pertaining to the Insurance Policy Details.

The Details tab is displayed in all statuses. This tab shows detailed information about the Insurance Policy.

This section covers the following topics:

- Editing Insurance Policy
- Linking and Delinking Business Units
- Viewing Claims
- Attaching Documents
- Viewing Workflow History

### Editing Insurance Policy

This section describes how to edit and update an existing Insurance Policy. You can edit an Insurance Policy from the Insurance Policy Details page.

This section covers following topics:

- Editing Insurance Policy in Draft Status
- Editing Insurance Policy in Open Status

#### *Editing Insurance Policy in Draft Status*

To edit an Insurance Policy in Draft status, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click Insurance Policy ID in Draft status. The Insurance Policy Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Insurance Policy Details page.

**Note:** If the status of the Insurance Policy is Draft then the Business Units Covered, Claims, Documents and Workflow History sections are enabled.

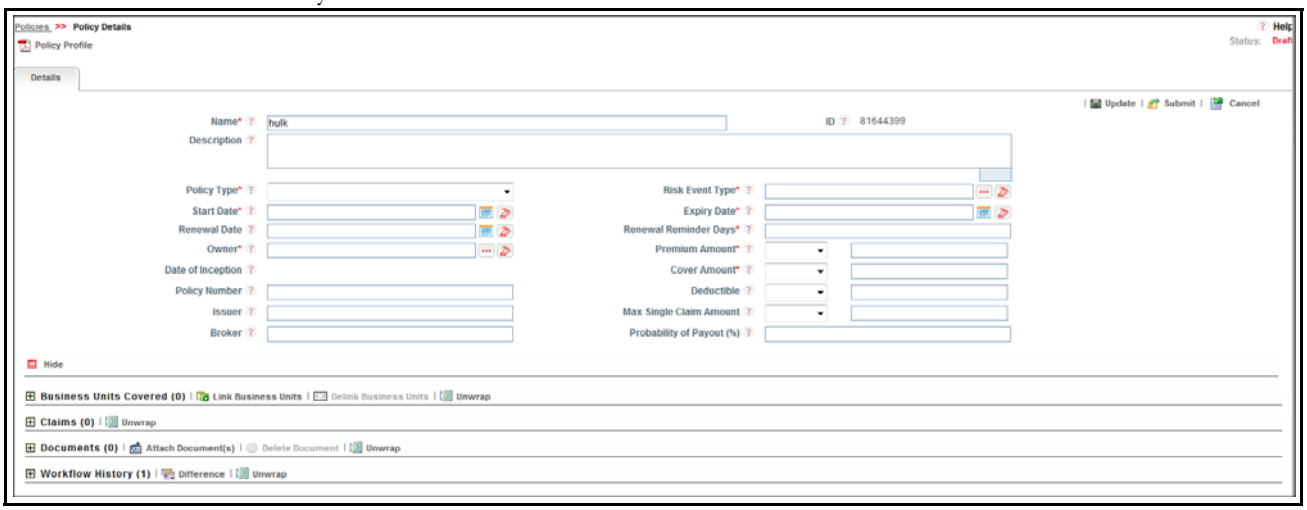



**Figure 239. Editing Insurance Policy Details in Draft Status**

4. Modify the necessary information. For more information on fields, refer to *Table 129*.

   **Note:** All fields are editable for an Insurance Policy in Draft status.

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

   Or,

   click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit the Insurance Policy Details, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*.

6. Click **OK** to confirm the changes. The updated Insurance Policy Details page is displayed.

### *Editing Insurance Policy in Open Status*

To edit an Insurance Policy in Open status, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click Insurance Policy ID in Open status. The Insurance Policy Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Insurance Policy Details page.

   **Note:** If the status of the Insurance Policy is *Open* then the Business Units Covered, Claims, Documents and Workflow History sections are enabled.

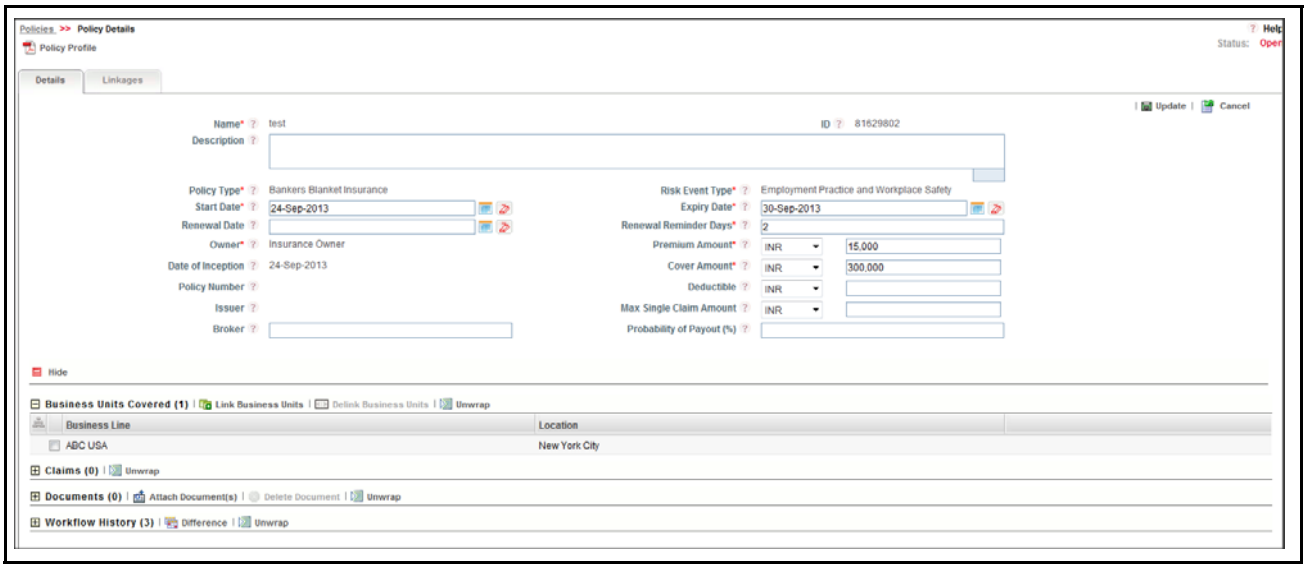



**Figure 240. Editing Insurance Policy Details in Open Status**

4. Modify the necessary information. For more information on fields, refer to *Table 129*.

   **Note:** Only the following fields are editable in Open status.

   - Expiry Date
   - Start Date
   - Renewal Date
   - Premium Amount
   - Cover Amount
   - Deductible
   - Broker
   - Renewal Reminder Days

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

   Or, click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit the Insurance Policy Details, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*.

6. Click **OK** to confirm the changes. The updated Insurance Policy Details page is displayed.

## Linking and Delinking Business Units

Sometimes certain policies are valid only for a certain line of business. In such cases, the policies can be mapped to those Business Units (BUs). Also, if there are risks which are to be covered by the policies, then the BUs of such risks can also be mapped.

For more details on linking and delinking BUs, refer to *Chapter 3: Managing General Features, Managing Linkages* section.

## Viewing Claims

The Details page allows you to view the details of claim amount, recovery amount, claim date, and so on pertaining to an Insurance Policy.

To view claims, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click **Insurance ID**. The Insurance Policy Details page is displayed.
3. Click **View More**. The additional components are displayed.

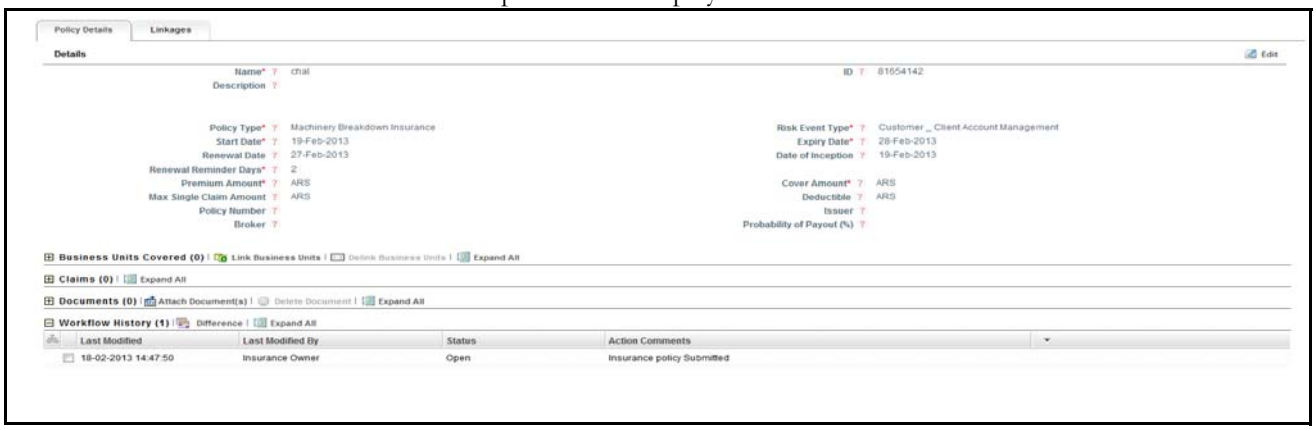



**Figure 241. Insurance Policy Details page**

4. Click **Claims**. The Claim details are expanded.

## Attaching Documents

You can attach the documents pertaining to the Insurance Policy. The Insurance Policy Details page allows you to attach or delete documents related to an Insurance Policy. For more details, refer to *Chapter 3: Managing General Features, Managing Documents* section.

## Viewing Workflow History

The Insurance Policy Details page allows you to view the audit trail of all changes made to an Insurance Policy. For more details, refer to *Chapter 3: Managing General Features, Viewing Workflow History* section.

# Viewing Linkages

This tab allows you to view the records of different modules in Oracle Financial Services Operational Risk linked to the Insurance Policy. The insurance policies which are in Open status are linked to other modules. The records to which an Insurance Policy are linked is listed in this tab.

The Linkages tab has the following sections:

- **Risks:** Displays the Risk records to which the Insurance Policy is linked. All potential Risks which are covered by the Insurance Policy can be listed out.
- **Scenarios:** Displays the Scenario records to which the Insurance Policy is linked. All potential Scenarios which may be materialized and covered by the Insurance Policy can be listed out.
- **Business Continuity Plans**: Displays the Business Continuity Plans to which the Insurance Policy is linked. Business Continuity Planning (BCP) involves identifying an organization's exposure to internal and external threats and providing effective prevention and recovery for the organization. Having an Insurance Policy to

cover the threats will help the Organization in the event of a threat materializing. The list of all such BCPs can be listed here.

To view Linkages, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Click the Insurance ID. The Insurance Policy Details page is displayed.
3. Click **Linkages** tab. The records to which the Insurance Policy is linked are listed.

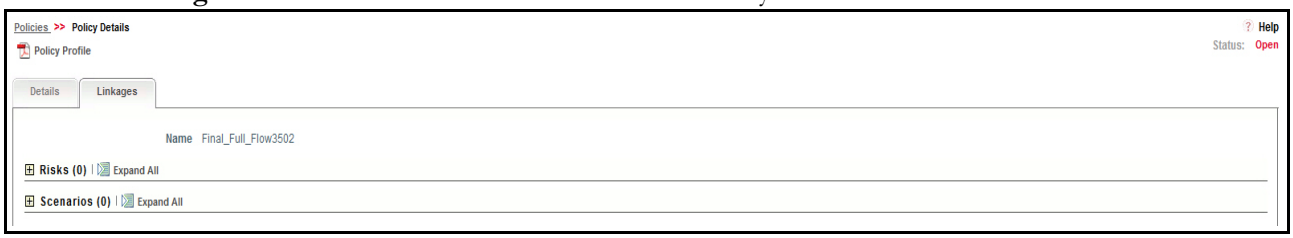



**Figure 242. Linkages page**

4. Click **Risk, Scenarios,** or **Business Continuity Plans** to view the details about these linkages.

## Closing Insurance Policy

An Insurance Policy should be renewed before the expiry date. If it is not renewed before the expiry date, it automatically goes to the Closed status. The closed Insurance Policy can be renewed. For more information on renewing an Insurance Policy, refer to *Renewing Insurance Policy*.

## Renewing Insurance Policy

You can renew a closed Insurance Policy by changing the expiry date to a future date. The Insurance Policy Search and List page allows you to renew a closed Insurance Policy.

To renew an Insurance Policy, follow these steps:

1. Navigate to the Insurance Policy Search and List page.

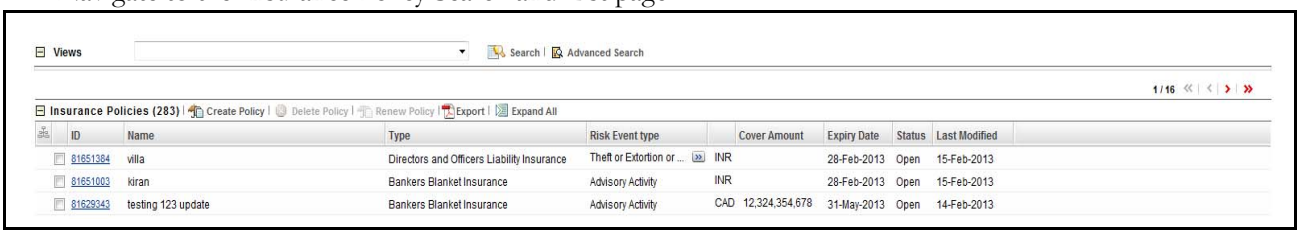



**Figure 243. Views Search List**

2. Click **Views**. The Views drop-down list is displayed.
3. Select **Closed Policies** from the **Views** drop-down list. The Closed Insurance Policy list is displayed.
4. Select the Insurance Policy ID you wish to renew. The Renew button is enabled.
5. Click **Renew** Policy. The Insurance Policy Definition page is displayed.
6. Update the **Expiry Date** to future date.

   **Note:** The expiry date should be greater than or equal to the current system date.

7. Click **Renew**. A Confirmation dialog box is displayed with the following message: *Update Operation Successful*.
8. Click **OK** to confirm the changes. The status of the Insurance Policy changes to *Open*.

## Deleting Insurance Policy

When an organization believes that a certain Insurance Policy has been drafted incorrectly or is not required, it may delete the Policy. The Insurance Policy Search and List page allows you to delete an Insurance Policy.

**Note:** An Insurance Policy can be deleted only when it is in Draft state. Only one record can be deleted at a time.

To delete an Insurance Policy, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Select the required Insurance Policy in Draft status.
3. Click **Delete Policy**. A Confirmation dialog box is displayed with following message: *Are You Sure You Want to Delete this Record?*.
4. Click **OK**. The record is deleted and the updated Insurance Policy list page is displayed.

## Exporting Insurance Policy List

The Exporting Insurance Policy List allows the organization to have a compiled list of all applicable Insurance Policies.

The Insurance Policy Search and List page allows you to export the details of the Insurance Policy. The Insurance Policy details can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: Managing General Features, Exporting Records* section.

## Viewing Insurance Profile Report

The Insurance Policy Profile Report gives current snapshot of the Insurance Policy. It gives you the complete details of the Insurance Policy along with the impacted business lines. You can view the complete details about a particular Insurance Policy in a PDF format.

The Insurance Policy Details page allows you to view all Insurance Policy profiles in a PDF.
To view the Insurance Policy details in a PDF, follow these steps:

1. Navigate to the Insurance Policy Search and List page.
2. Select an Insurance ID to view the Insurance Policy Details page.

3. Click **Insurance Profile** in the Action bar. A File Download Box is displayed.

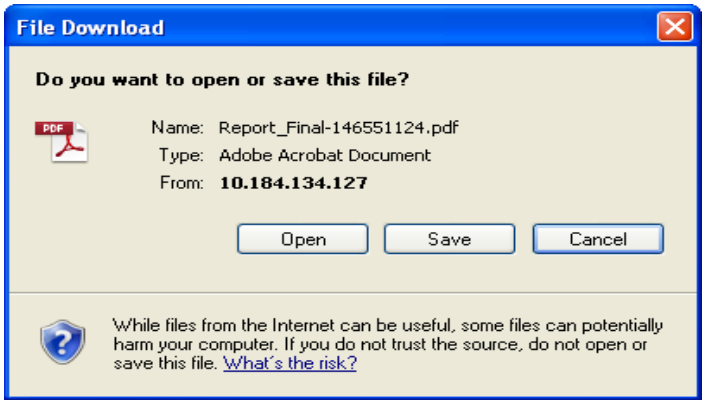
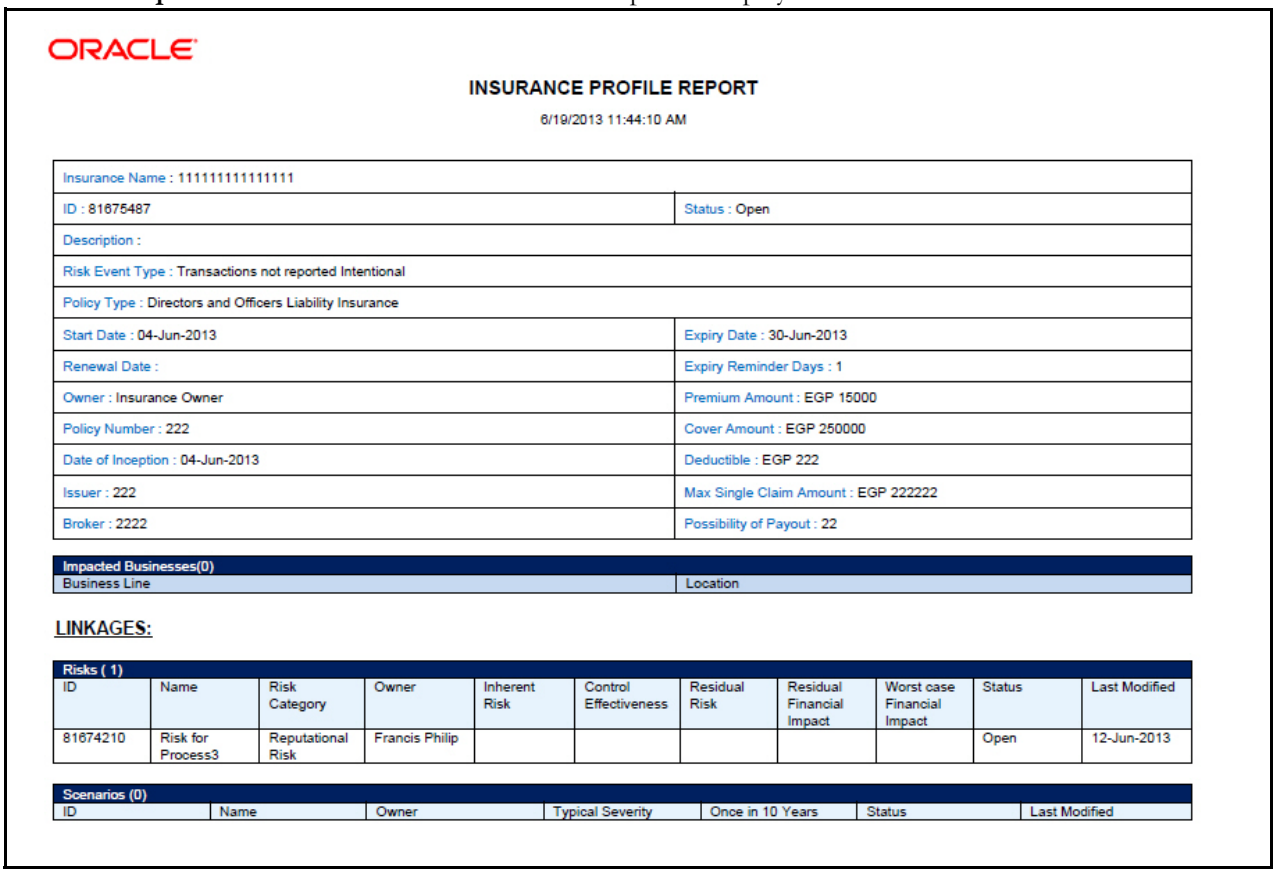



**Figure 244. File Download Box**

4. Click **Open** in the File Download Box. A PDF report is displayed.



ORACLE

INSURANCE PROFILE REPORT

6/19/2013 11:44:10 AM

| | |
|---|---|
| Insurance Name : 111111111111111 | |
| ID : 81675487 | Status : Open |
| Description : | |
| Risk Event Type : Transactions not reported Intentional | |
| Policy Type : Directors and Officers Liability Insurance | |
| Start Date : 04-Jun-2013 | Expiry Date : 30-Jun-2013 |
| Renewal Date : | Expiry Reminder Days : 1 |
| Owner : Insurance Owner | Premium Amount : EGP 15000 |
| Policy Number : 222 | Cover Amount : EGP 250000 |
| Date of Inception : 04-Jun-2013 | Deductible : EGP 222 |
| Issuer : 222 | Max Single Claim Amount : EGP 222222 |
| Broker : 2222 | Possibility of Payout : 22 |

Impacted Businesses(0)

| Business Line | Location |
|---|---|

LINKAGES:

Risks ( 1)

| ID | Name | Risk Category | Owner | Inherent Risk | Control Effectiveness | Residual Risk | Residual Financial Impact | Worst case Financial Impact | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|---|---|
| 81674210 | Risk for Process3 | Reputational Risk | Francis Philip | | | | | | Open | 12-Jun-2013 |

Scenarios (0)

| ID | Name | Owner | Typical Severity | Once in 10 Years | Status | Last Modified |
|---|---|---|---|---|---|---|

**Figure 245. Policy Report**

# CHAPTER 13 Managing Processes

This chapter provides complete details of the Processes module in the Oracle Financial Services Operational Risk application and step-by-step instructions to use this module.

This chapter includes the following topics:

- About Processes
- User Roles and Actions
- Tasks and Notifications
- Processes Workflow
- Accessing Processes Menu
- Searching Processes
- Creating Processes
- Managing Process Details
- Deleting Process
- Exporting Process Details List

## About Processes

Processes are the procedures, programs, and practices that impose order on the bank's pursuit of its objectives. A Process defines how the activities are carried out in a bank or financial institution.

Processes Management is administered in the solution by library-based approach. A library of Processes is set up by the global corporate Operational Risk department. These Processes are then associated to a defined business line or location combinations. Processes from this repository are available as attributes from other components for association. For example, a Process can be associated with a risk or control definition. These Processes are assessed and attested periodically, which is required for SOX certification. The performance of Processes is one of the important measures for Risk and Control assessment. By adhering to the defined Processes set by the regulators or management, a bank can mitigate operational risk to a very substantial level.

Processes are one of the main causes of operational risk that are closely monitored by the management. These Processes may differ from one financial institution to other but they are closely monitored to identify risks and suitable controls to mitigate the evolved risks.

OFSOR/GCM application provides a complete solution for Processes related activities. It allows to set up a library of Processes associates with different business lines and locations. This attests and assesses Processes and also generates Processes reports.

Process Identifier, Process Owner, SOX Controller, and Audit Officer users have the access rights to manage the activities of the Processes module. Processes can be linked to Risk Categories and General Ledger (GL) Accounts. In financial institutions, broader business objectives are achieved through a set of Processes or a series of actions.

These Process(es) expose banks to different types of risks. Risk identification and categorization of the risk is a pre-requisite for close monitoring of the risk and for arriving at an appropriate control measure.

## Processes Reports

The Processes module generates the following reports:

- Critical Processes
- Attestation Processes
- Process-Risk Heatmap
- Process-Control Heatmap
- Process and Losses
- Process and BCM
- Process with High Assessment Rating
- Process Assertions
- Process Tree
- Process Details
- Process Metrics
- Process by Scenarios
- Overdue Actions for Process by Business Line
- Actions Exceeding estimated cost for Process by Business Line
- Overdue Issues for Process by business Line
- Issues Exceeding estimated cost for Process
- Process Assessments

## Salient Features

- Provides a central repository for all types of Processes
- Associates Processes to a selected business line and location
- Links Processes to other entities enabling holistic view
- Assesses and attests Processes
- Generates Processes reports
- Exports Processes details

## *User Roles and Actions*

This section explains the different user roles and action they can perform in Process module OFSOR/GCM application.

This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Processes module of the OFSOR/GCM application:

- **Process Identifier**: This user identifies processes and assigns to Process Owner. The Process Identifier can view, create, edit, submit, and delete Processes. Additionally, this user can link and delink Issues and Actions to Processes, view Processes assessments, and attestations. This user can also create Risks, Controls, and Key Indicators (KIs).
- **Process Owner**: This user can view, create, edit, submit, and delete Processes. The Process Owner can create and link and delink Issues and Actions to Processes. The Process Owner can view, create, edit, and delete Processes Assessments and Attestations. This user can also create Risks, Controls, and Key Indicators (KIs).
- **SOX Controller**: This user can view Processes Assessments and Attestations and also approve Processes Attestations. The SOX Controller can view Processes and create, view, and link and delink Issues and Actions to Processes.
- **Audit Officer**: This user can audit Processes and also view Processes Assessments and Attestations. The Audit Officer can view Processes, as well as view Issues and Actions linked to Processes.

### Actions

The Processes module allows the above users to perform following actions:

- **Creating Processes**: This action allows the user to create a new process. User can save as draft or submit the Process after linking or delinking applicable Business Units, and attaching or deleting documents.
- **Editing Processes**: This action allows the user to edit and update the Processes details in Draft or in Open status.
- **Deleting Processes**: This action allows the user to delete processes. When an organization believes that certain processes have been drafted incorrectly or are not required, they may delete the same.
- **Exporting Processes Details**: This action allows the user to export the details of the Processes. Exported Processes report allows the organization to have a compiled list of all applicable processes.
- **Assessing Processes**: This action allows the user to assess the effectiveness of the Processes. Assessing Processes is to manage both the ongoing risks in the organization as well as the risks from the changing organizational landscape.
- **Attesting Processes:** This action allows the user to attest processes. The Attestation tab is displayed in the Processes Details page only when Process is in open status. The attestation is in scope for the selected Processes.
- **Creating Risks**: This action allows the user to create Risks from Processes module. Risks created from the Processes module are automatically linked to the Processes for which the risk is created.

- **Creating Controls**: This action allows the user to create Controls from Processes module. Controls are established in order to mitigate risks. These controls need to be tested periodically to ensure they are working properly and to facilitate smooth running of the business operations.
- **Creating Key Indicators**: This action allows the user to create Key Indicators from Processes module.
- **Creating Business Continuity Plans**: This action allows the user to create Business Continuity Plans. At the time of natural calamities, it is very important to have preventive measures or action plans in place to deal with such circumstances to ensure business continuity. This is available only in GCM.
- **Creating Issues and Actions**: This action allows the user to create Issues and Actions from Processes module. An action can be created directly if the Issue Creation is turned off.

The following table explains the tasks that can be performed by various users in the Processes module

**Table 130. User Roles and Actions**

| Actions | Roles | | | |
|---|---|---|---|---|
| | Process Identifier | Process Owner | SOX Controller | Audit Office |
| Create Processes | ✔ | ✔ | | |
| View Processes | ✔ | ✔ | ✔ | ✔ |
| Edit Proces Details | ✔ | ✔ | | |
| Submit Processes | ✔ | ✔ | | |
| Delete Processes | ✔ | ✔ | | |
| Add Linkages | ✔ | ✔ | | |
| Create Issues/Actions | ✔ | ✔ | ✔ | |
| Link Issues and Actions | ✔ | ✔ | ✔ | |
| View Issues and Actions | ✔ | ✔ | ✔ | ✔ |
| Audit Processes | | | | ✔ |
| Create/Edit/Delete Processes Attestation | | ✔ | | |
| View Attestations | ✔ | ✔ | ✔ | ✔ |
| Approve Processes Attestation | | | ✔ | |
| View Processes Assessments | ✔ | ✔ | ✔ | ✔ |
| Create/Edit/Delete Processes Assessment | | ✔ | | |
| Create Risk/Control/KI | ✔ | ✔ | | |

**Note:** The Create Risk, Create Control, Create Business Continuity Plan, and Create Key Indicator action buttons are enabled only if the Process Identifier and Process Owner are mapped to the roles of Risk Owner, Control Owner, Business Continuity Plan Owner, and Key Indicator Local Creator.

## Tasks and Notifications

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 all tasks and notifications that each users receives in their Inbox menu on performing a particular action.

**Table 131. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| For mapping Business Units | Notification | Processes Mapped to your Business Unit | Process Owner | Open |
| Submitting Process Details | Notification | You are assigned as the Process Owner | Process Owner | Open |
| Submitting Processes Attestation for approval | Task | Processes Attestation submitted for approval | SOX Controller | Open |

## Processes Workflow

The following figure explains the Processes workflow:

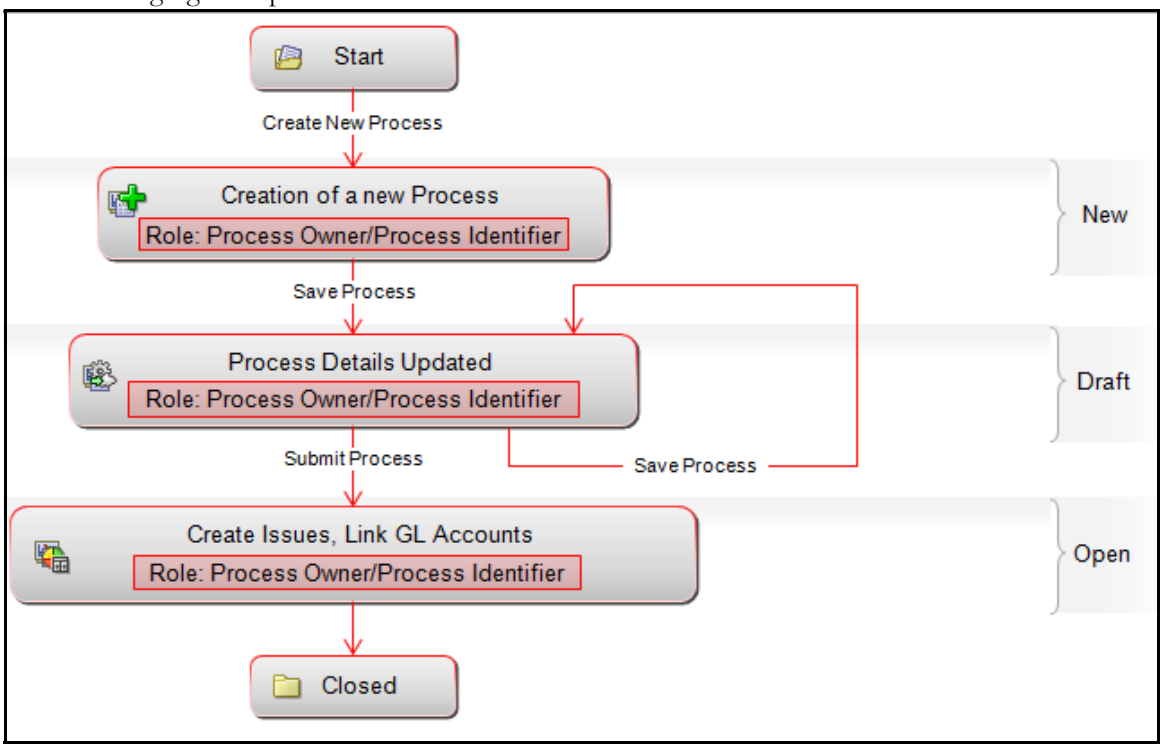



**Figure 246. Processes Workflow**

## Accessing Processes Menu

This section explains how to access Processes module in Oracle Financial Services Operational Risk application.

Users mapped to the role of Process Identifier, Process Owner, Audit Officer, or SOX Controller can access the Processes module.

To access the Processes module, follow these steps:

1. Login to OFSOR/GCM application. The OFSOR/GCM Home page is displayed.
2. Hover over the **BU Profile** primary menu.
3. Click **Processes**. The Processes Search and List page is displayed.

## Searching Processes

This section explains you how to search and filter the existing Processes. The Search and List page allows you to filter the Processes that you want to view and analyze. The Processes search bar 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 Processes Using Basic Search
- Searching Processes Using Advanced Search

- Searching Processes Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Processes Using Basic Search

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

To search Processes using the Basic Search, follow these steps:

1. Navigate to the Processes Search and List page.




**Figure 247. Basic Search**

**Note:** By default, the Processes Search and List page displays all Processes details.

2. Enter the following Search Criteria in the Search fields to filter the Processes list.

**Table 132. Basic Search Criteria**

| Search Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of a scenario. This field allows you to enter a maximum of 20 digits. |
| Process ID | Enter the sequential tracking number of the Process.<br>This field allows you to enter a maximum of 30 numeric values. This field supports wildcard search. |
| Process Name | Enter the name of the Process.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Location | Select the location from the hierarchy browser. Processes are mapped to the location (for example, London, Bangalore, and so on). |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset all the search fields to its default values (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 Processes 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 Processes details such as ID, Name, Status, and so on, then you can filter the Processes using the Advanced Search.

To search Processes using Advanced Search, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click **Advanced Search** from the search section. The Advanced Search fields are displayed.

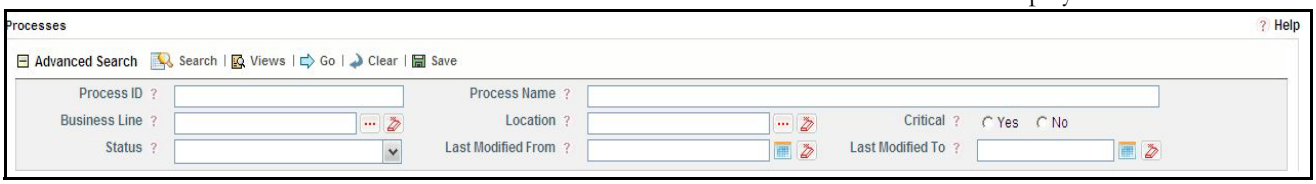



**Figure 248. Advanced Search**

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

**Table 133. Advance Search Criteria**

| Search Criteria | Description |
|---|---|
| Process ID | Enter the sequential tracking number of the Process.<br>This field allows you to enter a maximum of 30 numeric values and supports wild-card search. |
| Process name | Enter the name of the Process.<br>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. The hierarchy browser displays the list of Business Lines. |
| Critical | Select whether the Process is critical in nature by selecting radio buttons. |
| Status | Select the status of the Process from the multi-select drop-down list. Following are the possible values for Status multi-select drop-down list:<br>● Select All<br>● Draft<br>● Open |

**Table 133. Advance Search Criteria**

| Search Criteria | Description |
|---|---|
| Last Modified >= | Select the last modified date from the calendar to display Process having modified date greater than or equal to the specified date.<br>**Note:**<br>If the date entered in Last Modified >= is later than the date entered in Last Modified <=, the application displays the following message: *Please verify the range selected in Last Modified Date.* |
| Last Modified <= | Select the last modified date from the calendar to display Process having last modified date lesser than or equal to the specified date.<br>**Note:**<br>If the date entered in Last Modified >= is later than the date entered in Last Modified <=, 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 details with the given search criteria then Alert window displays 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 Save a Search, refer to *Saving a Search* section.

## Searching Processes Using Pre-defined Views

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

To search Processes using pre-defined views, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click **Views**. The Views multi-select drop-down list is displayed.

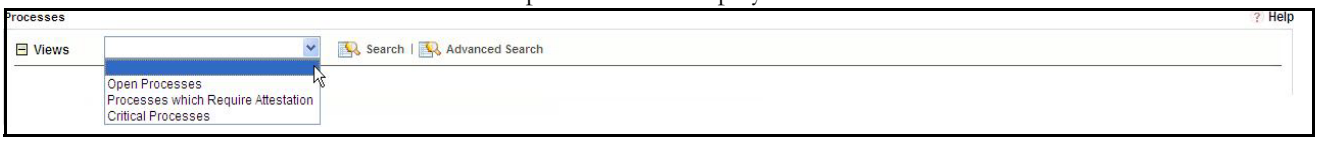



**Figure 249. Predefined Views Search**

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 134. Processes Views**

| Search Criteria | Description |
|---|---|
| Open Processes | Select *Open Processes* from the views drop-down list to display Processes which are in open status in descending order of the last modified date. |
| Critical Processes | Select *Critical Processes* from the views drop-down list to display Processes which are marked as critical (that is, marked as Yes in *Critical* field) in descending order of the last modified date. |
| Processes which require Attestation | Select *Processes which require Attestation* from the views drop-down list to display Processes which are marked as requires attestation (that is, marked as Yes in *Requires Attestation* field) arranged in descending order of the last modified date. |

**Note:** The above three options are the default views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down list.

## Creating Processes

Whenever an organization introduces a new product or business line to its existing businesses, new process is created to mitigate the risks and for the smooth functioning of the business.

Users mapped to the role of Process Identifier or Process Owner can create new Process.

To create a Processes, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click **Create Process**. The Process Definition page is displayed.

   The status of the Process is displayed as *New*.

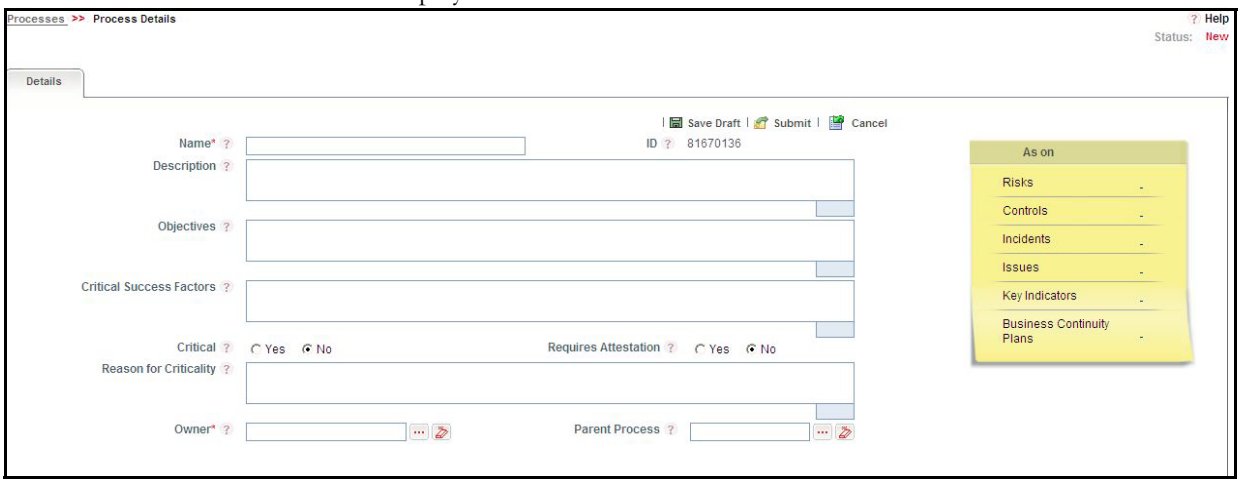



**Figure 250. Process Definition Page**

3. Enter the following information in the Process Definition page.

**Table 135. Fields of Process Definition Page**

| Search Criteria | Description |
|---|---|
| Name | Enter the name of the Process.<br>This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Process details without entering the Process name, the application displays the following message: *Please enter the Process Name.* |
| ID | Displays the sequential tracking number of the Process. This is an auto-generated unique identification number and cannot be modified. |
| Description | Enter a brief description of the Process.<br>This field allows you to enter a maximum of 3000 characters.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*. |
| Objectives | Enter the objectives of the Process.<br>The objective field in the Process Definition page allows entering a maximum of 3000 characters.<br>**Note:** If you try to enter more than 3000 characters in the objectives field, the following error message is displayed: *Number of characters exceeded*. |

**Table 135. Fields of Process Definition Page**

| Search Criteria | Description |
|---|---|
| Critical Success Factor | Enter the factors which influence the performance of the Process.<br>This field allows you to enter a maximum of 3000 characters.<br>**Note:** If you try to enter more than 3000 characters in the Critical Success Factor field, the application displays the following message: *Number of characters exceeded*. |
| Critical | Select whether the Process is critical or not using radio buttons. |
| Requires Attestation | Select whether the Process requires attestation or not using radio buttons. |
| Reason for Criticality | Enter the reason for making the Process critical.<br>This field allows you to enter a maximum of 3000 characters.<br>**Note:**<br>If you try to enter more than 3000 characters in the Reason for Criticality field, the following error message is displayed: *Number of characters exceeded*. This field is mandatory, if Critical field is selected as *Yes*. |
| Owner | Select the person owning or responsible for the Process from the hierarchy browser.<br>The hierarchy browser displays the list of users mapped to the role of Process Owners. |
| Parent Process | Select the Process under which this Process would be listed from the hierarchy browser.<br>The hierarchy browser lists all Processes in open status excluding the present Process.<br>In hierarchy browser, parent node Processes are the Processes, which does not have any parent Process or in other words these can be stated as starting node Process.<br>The child nodes are the Processes which have parent Process or in other words they are leaf nodes to their parent Process. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful*. Click **OK**. The status of the Process changes to *Draft*.

   Or

   Click **Submit**. The following message is displayed: *Add Operation Successful*. Click **OK**. The status of the Process changes to *Open*.

   **Note:** To Submit a process, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered*.

   **Note:** Once the Process is saved and is in Draft status, the **Save Draft** button changes to the **Update** button.

### Submitting a Process in Draft Status

You may choose not to submit the Process details while creating a new one and saved it as a Draft.

This section explains how to submit a Process in Draft status.

Users mapped to the role of Process Identifier or Process Owner can submit a process. The Processes Details page allows you to submit the selected Processes.

To submit the Processes in Draft status, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click the Process ID in Draft status. The Process Details page is displayed.

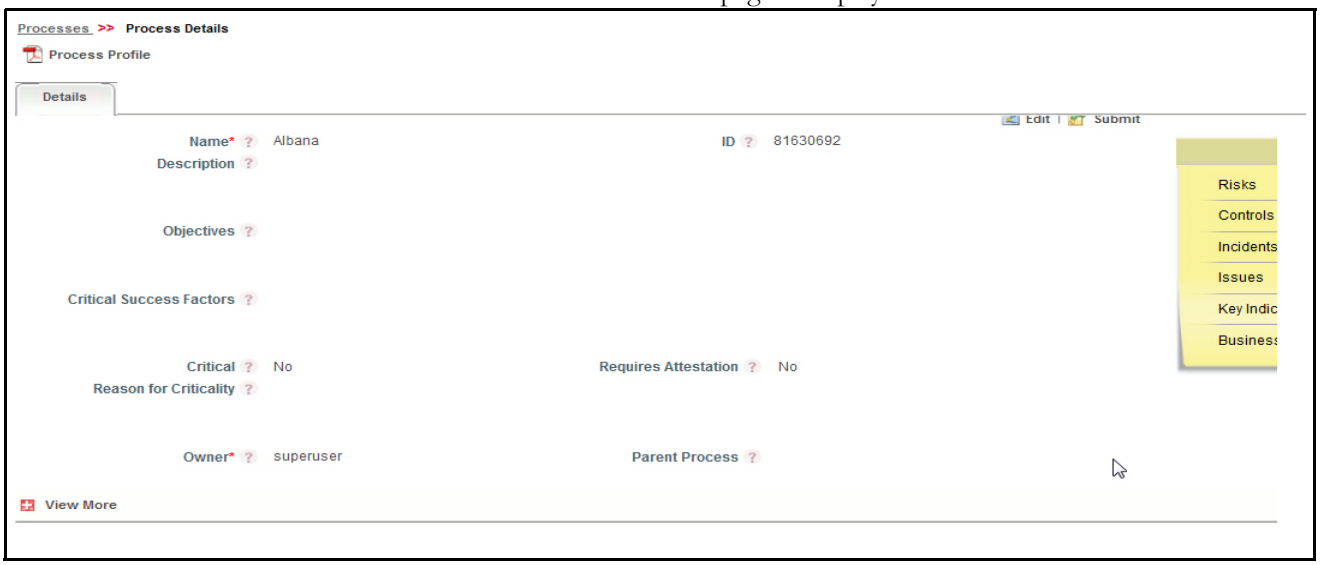



**Figure 251. Process Details Page**

The Proces Details page allows you to perform following tasks in Draft status:

- Editing Processes details
- Mapping and delinking applicable Business Units to Processes
- Viewing the Workflow Histoy for the Processes
- Attaching and deleting documents related to Processes
- Viewing Process Profile Report

  For more information on above tasks, refer to *Managing Process Details* section.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit a process, 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 Process changes to *Open*. A notification is sent to the Process Owner for further actions.

   The Processes Details page allows you to perform following tasks in *Open* status:

   - Editing Processes

- Mapping and delinking applicable business units to Processes
- Linking and delinking General Ledger (GL) account
- Linking and delinking Risk Category
- Viewing the Workflow Histoy for the Processes
- Attaching and deleting documents related to Processes
- Viewing the components linked to Processes such as Risks, Controls, Key indicators, Internal incidents, and Business continuity plans
- Creating, editing, and deleting Processes assessments
- Attesting Processes
- Linking and delinking issues and actions to Processes
- Closing a Process
- Viewing Process Profile Report

For more information on above tasks, refer to *Managing Process Details* section.

# Managing Process Details

Process Details page allows you to manage tabs and functionalities pertaining to the Processes details.

This section explains the following topics:

- Managing Details
- Viewing Linkages
- Managing Assessments
- Managing Process Attestations
- Creating Risks
- Creating Controls
- Creating Key Indicators
- Creating Business Continuity Plans
- Managing Issues and Actions
- Viewing Process Profile Report

## Managing Details

This section describes how to manage Details page. The Details page gives complete information about the Processes. The Details tab is displayed in both Draft and Open status.

This section discusses the following topics:

- Editing Processes Details
- Viewing Processes Additional Information
- Mapping and Delinking Applicable Business Units
- Attaching and Deleting Documents
- Viewing Workflow History

## Editing Processes Details

This section describes you how to edit and update the existing Processes. You can edit a Process in both Draft and Open status. Users mapped to the role of Process Identifier or Process Owner can edit the Process details.

This section covers following topics:

- Editing Processes in Draft Status
- Editing Processes in Open Status

### *Editing Processes in Draft Status*

To edit a Process in Draft status, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID in Draft status. The Processes Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Processes Details page.

   **Note:** If the Processes is in Draft status then the Applicable Business Units, Documents, and Workflow History sections are enabled.

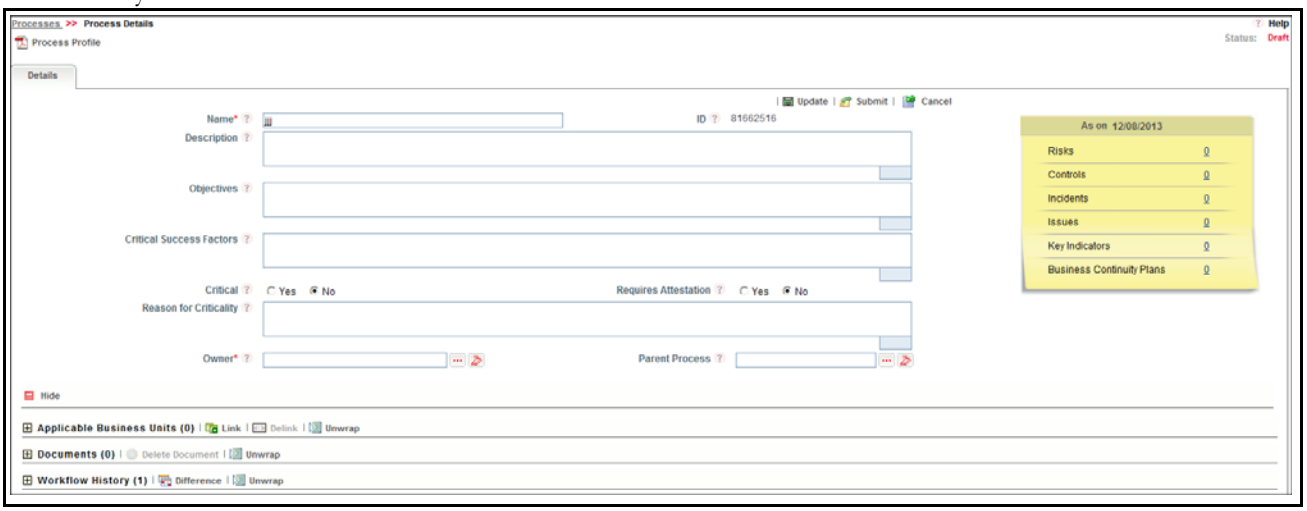



**Figure 252. Editing Processes Details in Draft Status**

4. Modify the necessary information. For more information on the fields, refer to *Table 135*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Or, click **Submit**. The following message is displayed: *Update Operation Successful*.

   **Note:** To submit the Processes Details, it is necessary to enter all mandatory fields.
6. Click **OK** to confirm the changes. The updated Processes Details page is displayed.

### *Editing Processes in Open Status*

To edit a Process in Open status, follow these steps:

1. Navigate to the Processes Search and List page.

2. Click Process ID in Open status. The Processes Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Processes Details page.

   **Note:** If the Processes is in Open status then the Applicable Business Units, Risk Categories, GL Accounts, Documents, and Workflow History sections are enabled along with the Create Risk, Create Control, and Create KI buttons.

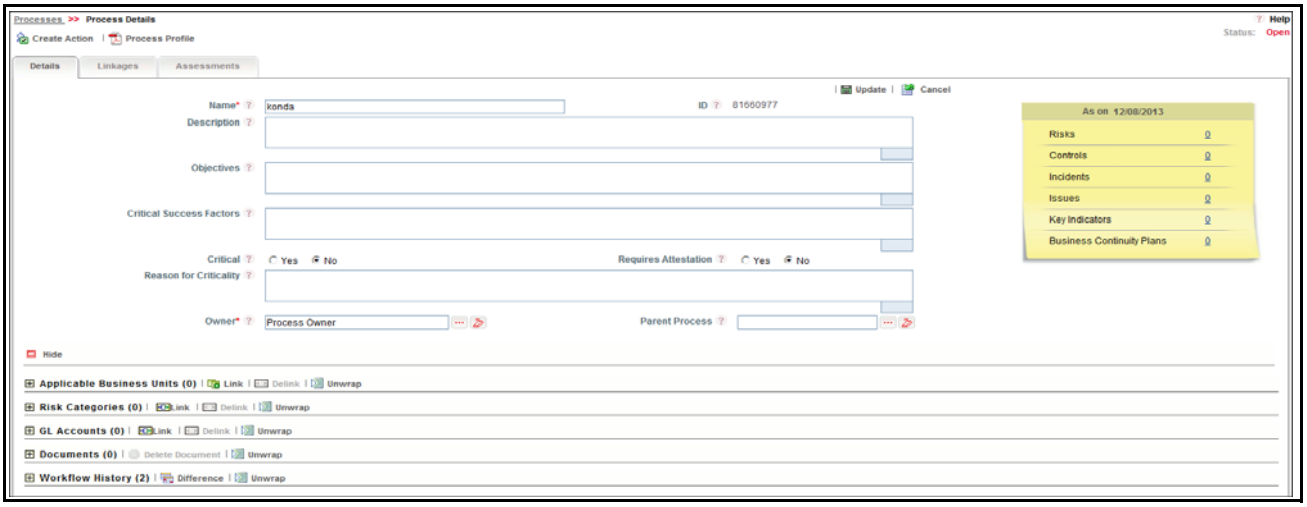



**Figure 253. Editing Processes Details in Draft Status**

4. Modify the necessary information. For more information about the fields, refer to *Table 135*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Processes Details page is displayed.

### Viewing Processes Additional Information

The Additional Information section provides details about the count of components such as risks, controls, insurance policies, key indicators, and so on.

**Note:** You can view additional information only in Open status.

To view Processes Additional Information, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process **ID**. The Processes Details page is displayed with Additional Information.

The additional information provides details about the count of components such as risks, controls, issues, key indicators, and so on to which the Process is linked.




**Figure 254. Processes Additional Information Container**

The following table explains the information displayed in the Additional Information.

**Table 136. Processes Additional Informatin Section**

| Field Name | Description |
|---|---|
| Risks | Displays the count of Open Risks linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Risks section. It displays only the risks linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |
| Controls | Displays the count of Open Controls linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Controls section. It displays only the Controls linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |
| Obligations | Displays the count of Open Obligations linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Obligations section. It displays only the Obligations linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |
| Incidents | Displays the count of Open Incidents linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Incidents section. It displays only the Incidents linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |
| Issues | Displays the count of Open Issues linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Issues section. It displays only the Issues linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |
| Key Indicators | Displays the count of Open Key Indicators linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Key Indicators section. It displays only the Key Indicators linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |

**Table 136. Processes Additional Informatin Section**

| Field Name | Description |
|---|---|
| Business Continuity Plans | Displays the count of all statuses except closed BCP linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only BCP section. It displays only the BCP linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode.<br>**Note:** You can view BCP only if you have installed GCM in your application. |
| GL Accounts | Displays the count of Open GL Accounts linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only GL Accounts section. It displays only the GL Accounts linked to the Process in expanded mode. All other section in the linkages tab are in collapsed mode. |

**Note:** Additional Information displays information as on current date.

### Mapping and Delinking Applicable Business Units

The Processes Details page allows you to link and delink different Business Line and Location combinations to a Process which is in Draft or Open status.

For Process, you can follow a library- based approach where Process is defined at a repository. Later, Process can be assigned to different business unit combinations wherever it is applicable. Whenever a Process is assigned to a business unit, the Process Owner of the business unit is intimated through a notification.

Notifications will be sent to all Process Owners mapped to the selected BU on successful mapping of BU. If the same Process Owner is mapped to all selected Business Units, only one notification will be sent to the Process Owner. Although the Process Owner is the same, notifications are generated separately if mapping for BUs are done individually.

For more information on linking and delinking business units, refer to *Managing Linkages* section.

### Mapping and Delinking Risk Categories

Risk category is a group of potential causes of risk. The whole purpose of Risk Categorization is to systematically identify risks and their root cause in a consistent manner and organize them so that they can be managed efficiently.

The Process Details page allows you to link and delink risk categories to a Process which is in Draft or Open status.

For more information on linking and delinking Risk Categories, refer to *Managing Linkages* section.

### Mapping and Delinking GL Accounts

A General Ledger (GL) is a book containing all accounts to record all transactions related to a company's assets, liabilities, owners' equity, revenue, and expenses. The General ledger works as a central repository for accounting data transferred from all sub-ledgers like accounts payable, accounts receivable, cash management, fixed assets, purchasing, and projects. The General Ledger is the backbone of any accounting system and holds the financial and non-financial data of an organization.

The Processes Details page allows you to link and delink GL accounts to a Process, which is in Open status.

For more information on linking and delinking GL Accounts, refer to *Managing Linkages* section.

### Attaching and Deleting Documents

The Processes Details page allows you to attach or delete documents related to Processes. Users mapped to the role of Process Identifier, Process Owner, Audit Officer, or SOX Controller can attach and delete documents related to Processes module.

For more details on attaching and deleting documents, refer to *Managing Documents* section.

### Viewing Workflow History

The Processes Details page shows the audit trail of all changes made to the Process. Users mapped to the role of Process Owner, Process Identifier, or SOX Controller can view the workflow history.

For more details, refer to *Viewing Workflow History* section.

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

**Table 137. Audit Entry in Workflow History section**

| Pre-action status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| New | Draft | Save Process | Process Owner/Process Identifier | Process Created. |
| Draft | Draft | Save 'Draft' Process | Process Owner / Process Identifier | Process details updated. |
| Draft | Open | Submit Process | Process Owner/ Process Identifier | Process details Submitted. |
| New | Open | Submit Process | Process Owner/ Process Identifier | Process Created. |
| Open | Open | Save Process | Process Owner/ Process Identifier | Process details updated. |
| Open | Open | Submit Process Assessment | Process Owner | Process Assessed - <Assessment ID>. |

## Viewing Linkages

The Linkages tab allows you to view the different modules of Oracle Financial Services Operational Risk linked to the Process. The Linkages tab is displayed in the Processes Details page only when the Process is in Open status.

The application does not support linking of Process to risks, controls, KIs, internal incidents, and BCPs. You can only view the risks, controls, KIs, internal incidents, and BCPs linked to Process from other modules.

The Linkages tab displays the following sections:

- **Risks**: Displays all risks in Draft and Open status linked to Process.
- **Controls**: Displays all controls in Draft and Open status linked to Process.
- **Obligations:** Displays all Obligations in Open and In Review status linked to Process.
- **Key Indicators**: Displays all Key Indicators in Draft and Open status linked to Process.
- **Internal Incidents**: Displays all incidents except closed status linked to Process.

- **Business Continuity Plans**: Displays all BCPs where the Process is an attribute of the BCP. This section displays all BCPs except for the BCPs in closed status linked to the Process. BCP is available only in GCM.

**Note:** The columns in each of the sections are the same as available in the respective Search and List page.

To view the Linkages, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID. The Processes Details page is displayed.
3. Click **Linkages** tab. The records to which the Process is linked are listed.




**Figure 255. Linkages Tab**

4. Click **Risk, Controls, Obligations**, **Key Indicators, Internal Incidents,** or **Business Continuity Plans** to view the details about these linkages.

## Managing Assessments

The main objective of assessing Processes is to manage both the ongoing risks in the organization as well as the risks from the changing organizational landscape. It is fundamentally about assessing the banks business Processes, taking greater accountability for the businesses they own, identifying, managing, and mitigating the risk that exists and looking for those emerging risks which are on the horizon and arriving at appropriate control measures.

The Assessment tab is displayed in the Processes Details page when the Process is in Open status.

This section explains the following topics:

- Creating Process Assessments
- Editing Process Assessments
- Deleting Processes Assessments
- Viewing Process Assessment Additional Information

### Creating Process Assessments

The Processes Details page and Processes Search and List page allows you to create Process assessments. Users mapped to the role of Process Owner can assess Processes in Open status.

To assess Processes, follow these steps:

1. Navigate to the Processes Search and List page. Select a Process and click **Assess Process**. The Processes Assessment page is displayed.

   Or

Navigate to the Assessments tab in the Processes Details page and click **Assess Process**. The Processes Assessment page is displayed.

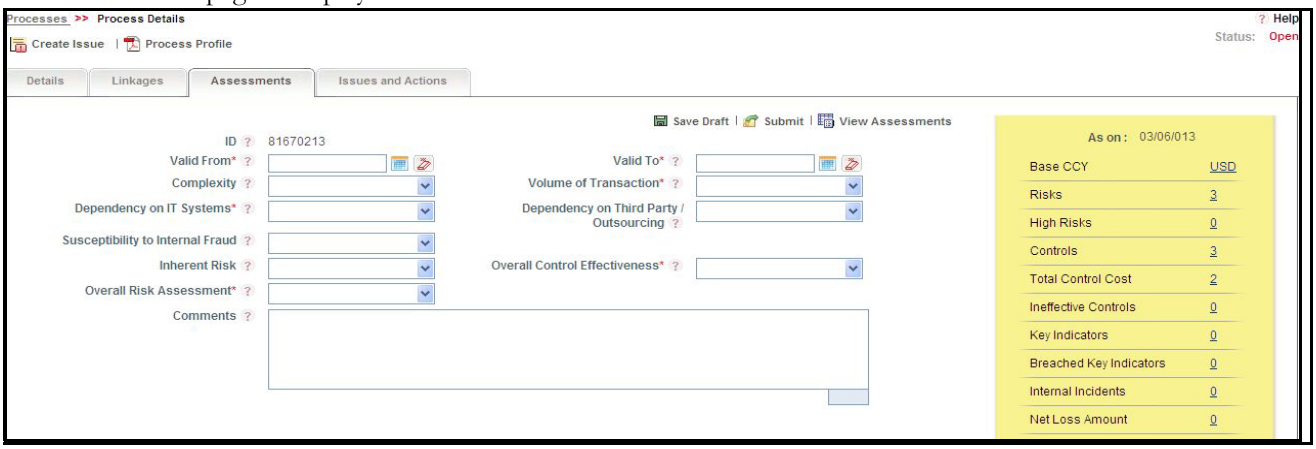



**Figure 256. Process Assessment Page**

2. Enter the following information in the Processes Assessment page.

**Table 138. Fields of Processes Assessment Page**

| Field | Description |
|---|---|
| ID | Displays the auto-generated sequential tracking number of the Processes Assessment. |
| Valid From | Select the From date of validity of the assessment from the calendar. This is the date from which the validity of the Assessment starts.<br>**Note:**<br>● Valid From date must be always lesser than the Valid to date. If you try to save a record with valid from date greater than the Valid to date, the application displays the following message: *Valid To date should be greater than Valid From date.*<br>● Valid From date must not be greater than the system date. If you try to save a record with valid from date greater than the system date, the application displays the following message: *Valid From date should be less than or equal to the system date*. |
| Valid To | Select the To date of validity of the assessment from the calendar. This is the date on which the validity of the Assessment ends.<br>**Note:**<br>● Valid To date must not be greater than the system date. If you try to save a record with valid to date greater than the system date, the application displays the following message: *Valid To date should be less than or equal to system date*. |
| Complexity | Select the rating from the drop-down list based on the size, nature, and complexity of the Process, and its vulnerability to risks in the absence of controls.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low |

**Table 138. Fields of Processes Assessment Page (Continued)**

| Field | Description |
|---|---|
| Volume of Transaction | Select the rating from the drop-down list based on the level of transactions involved in the Process in a given period and whether there are multiple suspense accounts affected.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low |
| Dependency on IT Systems | Select the dependency of Process on information technology from the drop-down list.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low<br>● Not Applicable |
| Dependency on Third party/Outsourcing | Select the degree of dependency of the process on third party/outsourcing, including the operation of key IT applications and key controls.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low<br>● Not Applicable |
| Susceptibility to Internal Fraud | Select the vulnerability to fraudulent activities within the Process.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low |
| Inherent risk | Select the Inherent Risk rating based on the likelihood and the impact before controls is in place to mitigate the risk from the drop-down list.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low |
| Overall Control Effectiveness | Select the overall control effectiveness of the process from the drop-down list.<br>Following are the possible values:<br>● Effective<br>● Qualified<br>● Requires Improvement |
| Overall Risk Assessment | Select the overall assessment of the risk, given the individual assessments for all other criteria from the drop-down list.<br>Following are the possible values:<br>● High<br>● Medium<br>● Low |
| Comments | Enter the factors which affected the overall risk assessment rating of the Process.<br><br>This field allows an entry of maximum 3000 characters. |

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

4. Click **OK**.

   **Note:** The status of the record changes to *Draft*.

5. Click **Submit**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The status of the Process Assessment changes to *Completed.*

   **Note:** To submit a Process Assessment, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

### Editing Process Assessments

This section describes you how to edit and update the existing Process Assessments. Users mapped to the role of Process Owner can edit Process assessments only in *Draft* status.

To edit Process Assessments in Draft status, follow these steps:

1. Navigate to the Assessments tab in the Processes Details page. The Assessments section displays all assessments associated to the Processes.
2. Click **Process Assessment ID**. The Process Assessment page is displayed.
3. Modify the necessary information in the Processes Assessment page. For more information on field descriptions, refer to *Table 138*.
4. Click **Update**. The following message is displayed: *Update operation successful.*
5. Click **OK**. The Processes Details page is updated.

   **Note:** Click **View Assessments** to view the list of assessments pertaining to the Processes.

### Deleting Processes Assessments

Whenever an organization finds that the Processes assessments are not valid and of no use, such Processes assessments can be deleted. Users mapped to the role of Process Owner can delete assessments in *Draft* status.

To delete Processes Assessments, follow these steps:

1. Navigate to the Assessments tab in the Processes Details page.
2. Select the Process Assessments you want to delete from the Assessments section.
3. Click **Delete Assessment**. 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 updated Assessments tab.

### Viewing Process Assessment Additional Information

The Additional Information section provides details about the count of components such as Base CCY (currency), Risks, High Risks, Breached Key Indicators, and so on. The Additional Information section is available in all statuses of the Assessments.

To view Additional Information of Processes Assessment, follow these steps:

1. Navigate to the Process Details page.
2. Click **Assessments** tab. The Assessments section displays all assessments associated to the Process.

3. Click **Process Assessment ID**. The Processes Assessments page displays Process Assessment Additional Information section.




**Figure 257. Process Assessment Additional Information**

The following table explains the additional information details displayed in the Process Assessment page.

**Table 139. Details in Processes Assessment Additional Information Section**

| Field | Description |
|---|---|
| Base CCY | Displays the auto-generated base currency.<br><br>This value is set during the installation of OFSOR/GCM application. |
| Risks | Displays the count of Open risks linked to the Process. This count is a hyperlink. Click the hyperlink to navigate to the linkages tab enabling only Risks section. It displays only the risks linked to the Process in expanded mode. All other sections in the linkages tab are in collapsed mode. |
| High Risks | Displays the count of the linked risks for which the latest assessment rating is *High*. The count is a hyperlink. Click the count hyperlink to navigate to the linkages tab enabling only risks whose latest assessment rating = high in Risks section. All other sections in the linkages tab are in collapsed mode. |
| Controls | Displays the count of Open controls linked to the Process. The count is a hyperlink. Click the count hyperlink to navigate to the linkages tab enabling only controls section. All other section in the linkages tab are in collapsed mode. |
| Total Control Cost | Displays the total cumulative cost of the controls linked to the Process.The count is a hyperlink. |
| Ineffective Controls | Displays the count of linked controls for which the latest overall control rating is *Requires Improvement*. The count is a hyperlink. Click the count hyperlink to navigate to the linkages tab enabling only controls whose latest assessment rating is *Require Improvement* in the controls section. All other sections in the linkages tab are in collapsed mode. |
| Key Indicators | Displays the count of key indicators(KIs) linked to the Process.The count is a hyperlink. Click the hyperlink to navigate to the linkages tab to look at the list of KIs linked to the Process. All other sections in linkages tab are in collapsed mode. |
| Breached Key Indicators | Displays the count of Key Indicators linked to the Process whose latest assessment rating is *Red*. The count is a hyperlink. Click the count hyperlink to navigate to the linkages tab enabling only KIs whose latest assessment rating is *Require Improvement* in the KIs section. All other sections in linkages tab are in collapsed mode. |
| Internal Incidents | Displays the count of Internal Incidents linked to the Process.The count is a hyperlink. Click the count hyperlink to navigate to the list of Incidents with only Incidents section. All other sections in the linkages tab are in collapsed mode. |
| Net Loss Amount | Displays the sum of net loss and the currency of the net loss.<br>The count is a hyperlink. Click the hyperlink to navigate to the linkages tab displaying all incidents linked to the Process.<br>All other sections in the linkages tab are in collapsed mode. |
| Reports | Displays embedded reports. This report shows latest four assessment trend of selected process in a bar chart. |

## Managing Process Attestations

The Attestation tab in the Process Details page and Search and List page allows you to attest processes. The Attestation tab is displayed in the Process Details page only when the process is in Open status and the Requires Attestation field in Process Definition page is selected as *Yes*.

This section explains the following topics:

- Creating Process Assessments
- Editing Process Assessments
- Deleting Processes Assessments
- Viewing Process Assessment Additional Information

### Creating Process Attestation

The Processes Details page and Processes Search and List page allows you to create Process Attestation. Users mapped to the role of Process Owner can attest Processes in Open status.

To attest Processes, follow these steps:

1. Navigate to the Processes Search and List page. Select a Process and click **Attest Process**. The Processes Attestation page is displayed.

   Or

   Navigate to the Assessments tab in the Processes Details page and click **Attest Process**. The Processes Attestation page is displayed.

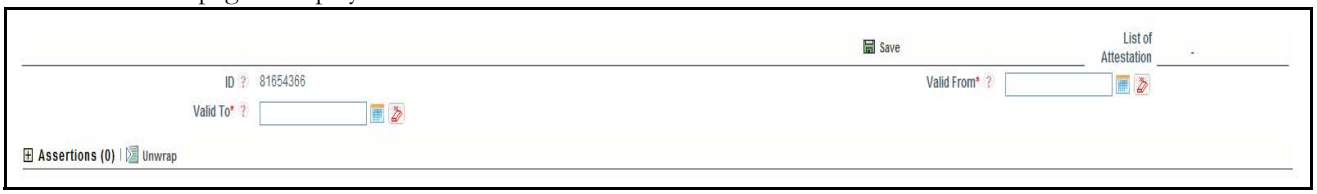



**Figure 258. Process Attestation Page**

2. Enter the pertinent information in the Processes Attestation page.

   The following table describes the fields of the Processes Attestation page.

**Table 140. Fields of Processes Attestation Page**

| Field | Description |
|---|---|
| ID | Displays the auto-generated sequential tracking number of the Processes Attestation. |
| Valid From | Select the From date of validity of the attestation from the calendar. This is the date from which the validity of the Attestation starts.<br>**Validations:**<br>● Valid From date must be always lesser than the Valid to date. If you try to save a record with valid from date greater than the Valid to date, the application displays the following message: *Valid To date should be greater than Valid From date.*<br>● Valid From date must not be greater than the system date. If you try to save a record with valid from date greater than the system date, the application displays the following message: *Valid From date should be less than or equal to the system date*. |
| Valid To | Select the To date of validity of the attestation from the calendar. This is the date on which the validity of the Assessment ends.<br>**Validations:**<br>● Valid To date must not be greater than the system date. If you try to save a record with valid to date greater than the system date, the application displays the following message: *Valid To date should be less than or equal to system date*. |

3. Click **Save**. The following message is displayed: *Add Operation Successful.*
4. Click **OK**.

   **Note:** The status of the record changes to *Draft*.
5. Click **Submit**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The status of the Process Assessment changes to *Completed.*

   **Warning:** To submit a Process Assessment, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

### Editing Process Attestation

This section describes you how to edit and update the existing Process Attestation. Users mapped to the role of Process Owner can edit Process attestation only in *Draft* status.

To edit Process Attestation in Draft status, follow these steps:

1. Navigate to the Attestation tab in the Processes Details page. The Attestation section displays all attestation associated to the Processes.
2. Click **Process Attestation ID**. The Process Attestation page is displayed.
3. Modify the necessary information in the Processes Attestation page. For more information on field descriptions, refer to *Table 140*.
4. Click **Update**. The following message is displayed: *Update operation successful*.
5. Click **OK**. The Processes Details page is updated.

### Deleting Processes Attestation

Whenever an organization finds that the Processes Attestation are not valid and of no use, such Processes Attestation can be deleted. Users mapped to the role of Process Owner can delete Attestation in *Draft* status.

To delete Processes Attestation, follow these steps:

1. Navigate to the Attestation tab in the Processes Details page.
2. Select the Process Attestation you want to delete from the Attestation section.
3. Click **Delete Attestation**. 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 updated Attestation tab.

## Creating Risks

Risk identification is the first step in proactive risk management Processes. It provides an opportunity to the user to raise a risk before it adversely affect the business operations while reviewing the processes.

The Processes module allows you to create risks associated to the Processes. Risks can be created from Processes module if the Process Identifier and Process Owner are mapped to the role of Risk Owner.

**Note:** Process must be in Open status to create Risk.

To create Risks for a Process, follow these steps:

1. Navigate to the Process Search and List page.
2. Click **Process ID**. The Process Details page is displayed.
3. Click **Create Risk**. The Risk Details page is displayed.

For more information on creating risks and the fields in the Risk Details page, refer to *Creating a Risk* section.

The Process field in the Risks details page is auto-populated with the Process name for which the Risks is created. You can also edit the Process name in the Risks Details page.

The Risk created from the Processes module are automatically linked to the Process for which the risk is created. On saving or submitting the risk, the Risk is displayed in the risks section of the Linkages tab.

## Creating Controls

Controls are established in order to mitigate risks. These controls need to be tested periodically to ensure they are working properly and to facilitate smooth running of the business operations.

The Controls can be created from the Processes module if the Process Identifier and the Process owner are mapped to the role of Control Owner.

The Processes module allows you to create Controls associated to the Process.

**Note:** Process must be in Open status to create Controls.

To create Controls for Processes, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID. The Process Details page is displayed.
3. Click **Create Controls**. The Control Details page is displayed.

   For more information on how to create controls, refer to *Creating a Control* section chapter.

   The Process field in the Control details page is auto-populated with the Process name for which the Control is created. You can also edit the Process name in the Control Details page.

   The controls created from the Process module are automatically linked to the Process for which the control is created. On saving or submitting the control, the Control is displayed in the Controls section of the Linkages tab.

## Creating Key Indicators

Key Indicators (KI) can be created from the Processes module if Process Identifier and Process Owner is mapped to the role of KI Owner.

The Processes module allows you to create Key Indicators associated to the Process.

**Note:** Process must be in Open status to create KI.

To create KI for processes, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process **ID**. The Process Details page is displayed.
3. Click **Create KI**. The KI Details page is displayed.

   For more information on how to create KIs, refer to *Creating a Key Indicator*.

   The *Process* field in the KI details page is auto-populated with the Process name for which the KI is created. You can also edit the Process name in the KI Details page.

   The KI created from the Process module are automatically linked to the Process for which the KI is created. On saving/submitting the KI, the record is displayed in the KIs section of the Linkages tab.

## Creating Business Continuity Plans

In cases of natural calamities such as flood, earthquakes, extreme weather conditions, or in case of massive failures in internal infrastructure or disruption of services such as power where people may not be able to enter the office premises, it is very important to have preventive measures or action plans in place to deal with such circumstances to ensure business continuity.

The Processes module allows you to create Business Continuity Plans (BCP) associated to the Process.

**Note:** You can create BCP only if you have installed GCM in your application.

The Process Identifier and Process Owner mapped to the role of BCP Owner can create BCP from the Process module.

**Note:** Process must be in Open status to create BCP.

To create BCP for processes, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID. The Process Details page is displayed.
3. Click **Create BCP.** The BCP Details page is displayed.

   For more information on how to create BCPs, refer to *Chapter 10, Managing Business Environment Scorecard.*

   The *Process* field in the BCP details page is auto-populated with the Process name for which the BCP is created. You can also edit the Process name in the BCP Details page.

   The BCP created from the Processes module are automatically linked to the Process for which the BCP is created. On saving or submitting the BCP, the record is displayed in the BCP section of the Linkages tab.

## Managing Issues and Actions

An issue can be defined as a problem statement and actions are plans or activities taken up to resolve those issues. The Processes module allows you to create, link and delilnk, and delete issues and actions associated to the Processes.

This section covers following topics:

- Creating Issues
- Creating Actions Through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting Actions
- Closing Issues and Actions

### Creating Issues

When you identify a particular issue or a problem statement that poses as an operational risk to an organization, you can create issues and subsequently create neccessary action plans to resolve or address those issues.

Users mapped to the role of Process Identifier, Process owner, and SOX Controller can create issues from Process module.

**Note:** Process must be in Open status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID. The Process Details page is displayed.
3. Click **Create Issue**. The Issue Details page is displayed.

   For more information on the fields in the Issue Details page, refer to *Creating Issues* section.

   If the issue is created from the Process module, the *component* field in the Issue Details page displays as *Process* and the *Primary Source* field displays the *Process Name* for which the issue is created.

### Creating Actions Through 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 Owners or Action Creators can create Action Plans for their Issues.

**Note:** The issue must be in Open status to create action plan.

For more information on Creation of Actions for Issues, refer to *Creating Actions from Issues* section.

### Creating Actions Directly

You can directly create Actions if the Issue Creation is turned off. This feature is configured during the installation of the OFSOR/GCM application or can be configured later.

Users mapped to the role of Process Identifier, Process owner, and SOX Controller can create Actions from Process module

To create actions directly, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID. The Process Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

For more information on Creation of Actions for Issues, refer to *Creating Issues* section.

If an Action is initiated from the Process module, the Component and Primary Source fields in the Actions Details page displays as Process and Process Name respectively

### Linking and Delinking Issues and Actions

The Issues and Actions tab allows you to link and delink issues and actions to Process. You can link existing issues or actions to the Process. If the issue or action is created from the Process module, the issue or action will be automatically shown in the issue or action list of the Process.

Users mapped to the role of Issue Owner can link existing Actions to Issues which are in Open status.

Users mapped to the role of Process Identifier, Process Owner, or SOX Controller can link and delink Issues to a Process in *Open* status. You can only link issues which are in *Open* status.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Processes Search and List page.
2. Click Process ID. The Processes Details page is displayed.
3. Click **Issues and Action** tab. The Issues and Actions section expands.

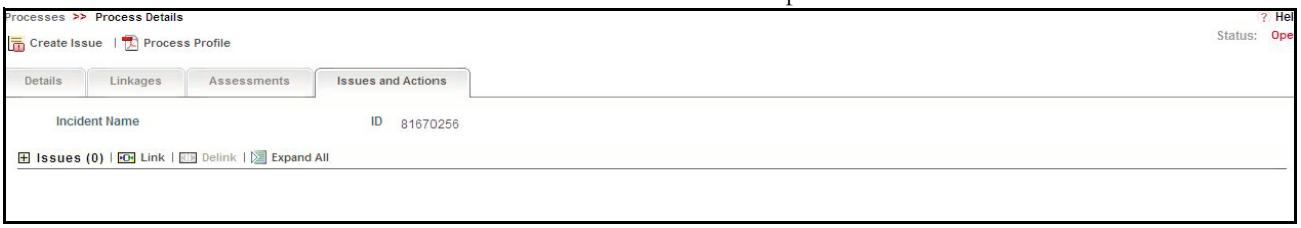



**Figure 259. Issues and Actions Tab**

For more information on linking and delinking Issues and Actions, refer to *Managing Issue Details* section.

### Deleting Actions

The Process module allows you to delete action plans in draft status.

Users mapped to the role of Issue Owner can delete Actions in draft status if Issue Creation is turned on.

If Issue Creation is turned off, Users mapped to the role of Process Owner, Process Identifier, or SOX Controller can delete draft Actions linked to Process.

For more information on deleting Actions for Issues, refer to *Managing Actions Details* section.

### Closing Issues and Actions

Actions can be closed once they are complete. If all actions for an Issue is addressed, then Issues can be closed.

If an Action is abandoned mid-way, it can be force closed. Once all actions are closed, Issue can be closed.

Only users mapped to the role of Action Owner can close or force close actions. Only an Issue Owner can close Issues.

For more information on Closing Issues and Actions, refer to *Closing an Issue* section.

## Viewing Process Profile Report

The Process profile report gives current snapshot of the selected Processes. It gives you the details of the Processes along with its assessments and associated entities as on date.

You can view the complete details of selected Processes in a PDF.

To view the Process details in a PDF, follow these steps:

1. Navigate to the Process Search and List page.
2. Click **Process ID**. The Process Details page is displayed.
3. Click **Process Profile**. A File Download Box is displayed.

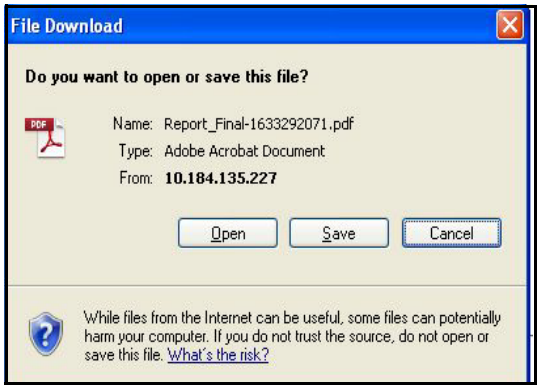
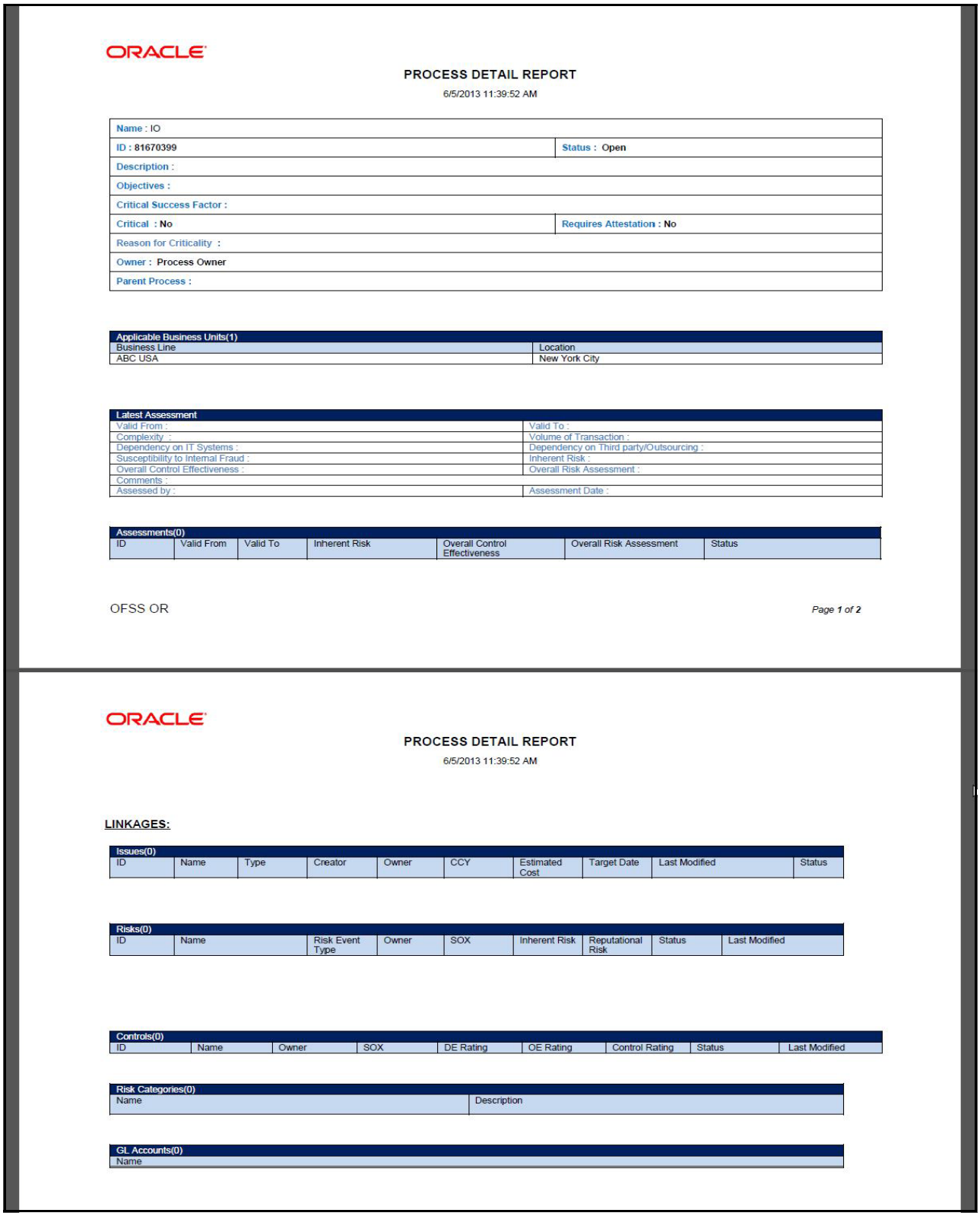



**Figure 260. File Download Box**

4. Click **Open** in the File Download Box. A PDF report is generated.
5. The generated PDF report displays the following information:
   a. The BUs mapped to the Process
   b. Process Details
   c. Process Assessment Details
   d. Process Attestation Details
   e. The issues, actions, risks, controls, key indicators, internal incidents, risk categories, GL accounts, obligations, and business continuity plans linked to the Process.

**Note:** Business continuity plans is not available in GCM.



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PROCESS DETAIL REPORT

6/5/2013 11:39:52 AM

| | |
|---|---|
| Name : IO | |
| ID : 81670399 | Status : Open |
| Description : | |
| Objectives : | |
| Critical Success Factor : | |
| Critical : No | Requires Attestation : No |
| Reason for Criticality : | |
| Owner : Process Owner | |
| Parent Process : | |

**Applicable Business Units(1)**

| Business Line | Location |
|---|---|
| ABC USA | New York City |

**Latest Assessment**

| | |
|---|---|
| Valid From : | Valid To : |
| Complexity : | Volume of Transaction : |
| Dependency on IT Systems : | Dependency on Third party/Outsourcing : |
| Susceptibility to Internal Fraud : | Inherent Risk : |
| Overall Control Effectiveness : | Overall Risk Assessment : |
| Comments : | |
| Assessed by : | Assessment Date : |

**Assessments(0)**

| ID | Valid From | Valid To | Inherent Risk | Overall Control Effectiveness | Overall Risk Assessment | Status |
|---|---|---|---|---|---|---|

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*Page 1 of 2*

ORACLE

PROCESS DETAIL REPORT

6/5/2013 11:39:52 AM

**LINKAGES:**

**Issues(0)**

| ID | Name | Type | Creator | Owner | CCY | Estimated Cost | Target Date | Last Modified | Status |
|---|---|---|---|---|---|---|---|---|---|

**Risks(0)**

| ID | Name | Risk Event Type | Owner | SOX | Inherent Risk | Reputational Risk | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|

**Controls(0)**

| ID | Name | Owner | SOX | DE Rating | OE Rating | Control Rating | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|

**Risk Categories(0)**

| Name | Description |
|---|---|

**GL Accounts(0)**

| Name |
|---|

**Figure 261. Process Profile (Sample PDF Generated)**

## Deleting Process

You can delete draft Process which may not be applicable for the business or organization. The Process Search and List page allows you to delete Process.

Users mapped to the role of Process Identifier or Process Owner can delete Process in *Draft* status.

To delete a Process, follow these steps:

1. Navigate to the Process Search and List page.
2. Select the check box of the Process in Draft status.
3. Click **Delete Process**. 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 Process Search and List page.

## Exporting Process Details List

Exporting Process details list allows you to view a compiled list of all Processes.

The Process Search and List page allows you to export the Process list into an Excel template.

For more information on Exporting Process, refer to *Exporting Records* section.

# CHAPTER 14 Managing Information Library

This chapter provides an overview of the Information Library module in the OFSOR/GCM application and provides step-by-step instructions to use this module and covers the following topics:

- About Information Library
- User Roles and Actions
- Information Library Workflow
- Accessing Information Library
- Searching Information Library
- Creating Information Library
- Managing Information Library Details
- Closing an Information Library Record
- Deleting an Information Library Record
- Exporting Information Library Records to Excel

## About Information Library

The Information library in Oracle Financial Services Operational Risk acts as a repository of information which helps an organization to manage their information assets. They help in analyzing and planning further actions. There are various types of information libraries, such as financial models, regulatory bodies, and so on. For example, any changes in the government regulations that are to be followed by an organization can be captured in the Regulatory bodies information library. Similarly, any changes or modifications made to any of the available libraries can be tracked and managed in appropriate information libraries. You can link an information library with other entities such as Risks, Controls, and so on.

You can create the following types of information libraries:

- **Financial Models**: This library includes the lists of mathematical models designed to represent the performance of a business, project or organization.
- **End User Computing**: This library includes a group of approaches to computing that aims at integrating end users with the application.
- **Internal IT systems**: This library includes a list of IT systems used within the organization.
- **Peers**: This library includes a list of competitors in the same domain.
- **Regulatory Bodies**: This library includes a list of regulatory bodies applicable to the organization.
- **Vendors**: This library includes all the vendors who transact with the organization.
- **Applications**: This library includes all the applications which are essential to the organization.
- **Projects**: This library includes a list of current projects applicable to the organization.

- **Risk Drivers**: This library includes key metrics which impact in the mitigation or materialization of Operational Risk.
- **Miscellaneous**: This library includes all other models that are not covered in this list.

### Salient Features

The Information Libraries provides the following features to help organizations manage their risk:

- Information Libraries act as a central repository for storing the information which helps an organization in analyzing and planning further actions.
- Creating new Information Library records in the Information Libraries.
- Link scenarios to information library records and view linked entities such as Risks, Controls, and so on.
- Auditing Information Library records.

## *User Roles and Actions*

This section covers the following topics:

- User Roles
- User Actions

### User Roles

This module is designed for users mapped to the roles of Library Creator and Library Approver. Their roles and responsibilities, as they operate within the application, include the following:

- **Library Creator**: This user is responsible for creating the information libraries and help an organization in managing their information assests. This user can create, edit, delete, link scenarios, upload reference documents, submit the library record for approval and close the information library.
- **Library Approver**: This user is primarily responsible for approving or rejecting the library records submitted by the Library Creator. This user can also edit the library records and upload the reference documents.

### User Actions

The User Roles described above can perform the following actions:

- **Creating an Information Library**: This action allows a Library Creator to create a new Information Library.
- **Deleting an Information Library**: This action allows a Library Creator to delete an Information Library record in Draft status.
- **Closing an Information Library**: This action allows a Library Creator to close an Information Library.
- **Exporting the Information Library List**: This action allows a Library Creator to export the list of Information Library records to Excel format.
- **Submitting the Information Library Record**: This action allows a Library Creator to submit an Information Library record for approval.

- **Approving an Information Library Record**: This action allows a Library Approver to approve an Information Library record.
- **Rejecting an Information Library Record** This action allows a Library Approver to reject an Information Library record.

**Note:** If an Auditor user is mapped to role of Library Creator or Library Approver, then that user can audit the information library records.

## *Information Library Workflow*

The following diagram depicts the life cycle of the Information Library module:

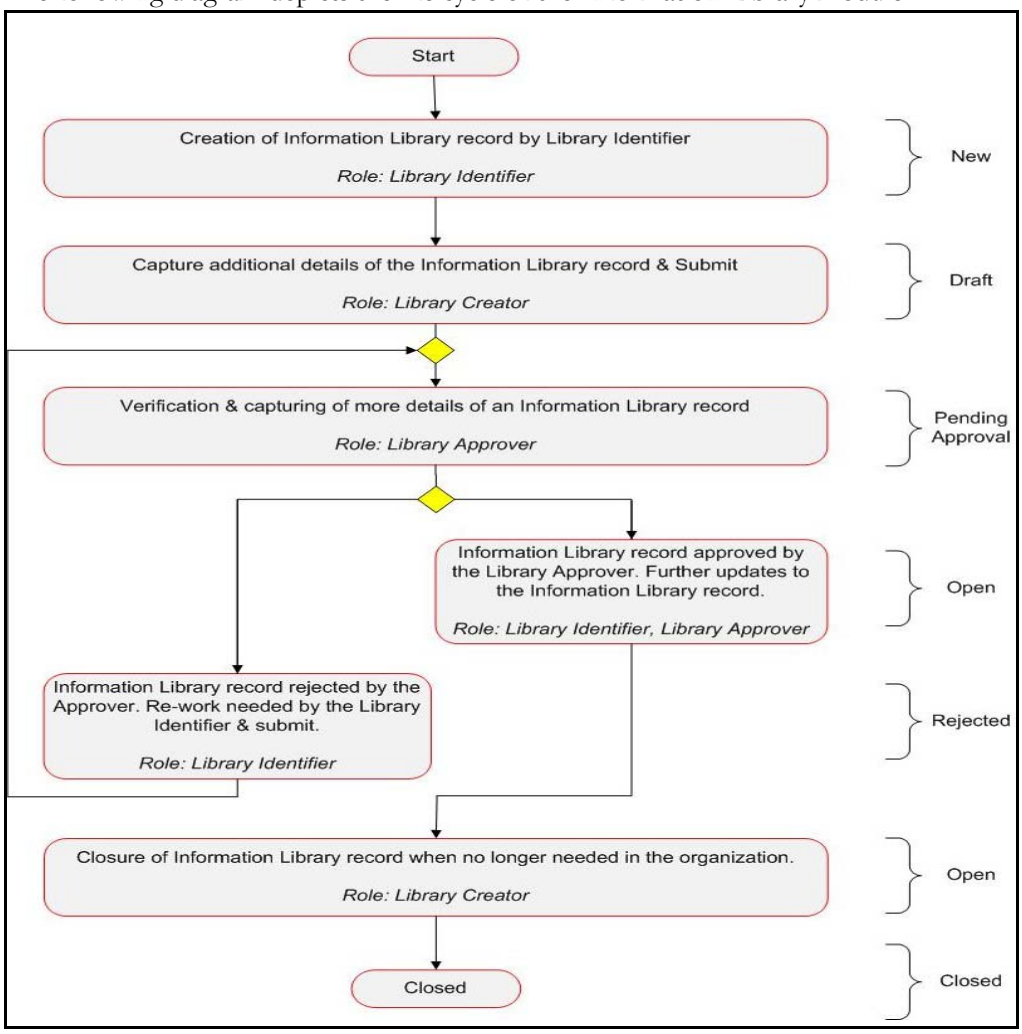



**Figure 262. Information Library Workflow**

# Accessing Information Library

The Oracle Financial Services Operational Risk Home page allows you to access the Information Library module.

To access the Information Library module, follow these steps:

1. Login to OFSOR/GCM. The OFSOR/GCM Home page is displayed.
2. Click **BU Profile** primary menu, hover over **Information Library** and then select the required type of Information Library.

   The Information Library Search and List page is displayed.

# Searching Information Library

The Information Library Search and List page enables you to filter the information library records that you want to view and analyze. The Information Library search bar supports three types of search- Baisc Search, Advanced Search, Search by Views. You can use only one search at a time.

This section explains the following topics:

- Searching Information Library Using Basic Search
- Searching Information Library Using Advanced Search
- Searching Information Library Using Pre-defined Views

## Searching Information Library Using Basic Search

This search is based on a limited set of search such as ID and Name, and helps to retrieve the relevant Information Library details.

To search for an Information Library using the Basic Search, follow these steps:

1. Navigate to the required Information Library Search and List page.




**Figure 263. Searching Information Library with Basic Search**

**Note**: By default, the Information Library search and list page displays all the records.

2. Enter the following Search Criteria in the Search fields to filter the Information Library list.

**Table 141. Basic Search Bar**

| Criteria | Description |
|---|---|
| ID | Filters the information library list by the ID entered in the entered in this field. |
| Name | Filters the information library list by the name of the information library records that matches the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset all the search fields to its default values (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 Information Library Using Advanced Search

Advanced Search offers the same search fields as provided for a Basic Search along with additional fields. If you know any of the information library details such as ID, Name, Status, Owner, Approver, and so on, then you can filter the information library records using the Advanced Search.

To search for an Information Library using Advanced Search, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. Click **Advanced Search** from the Search bar.

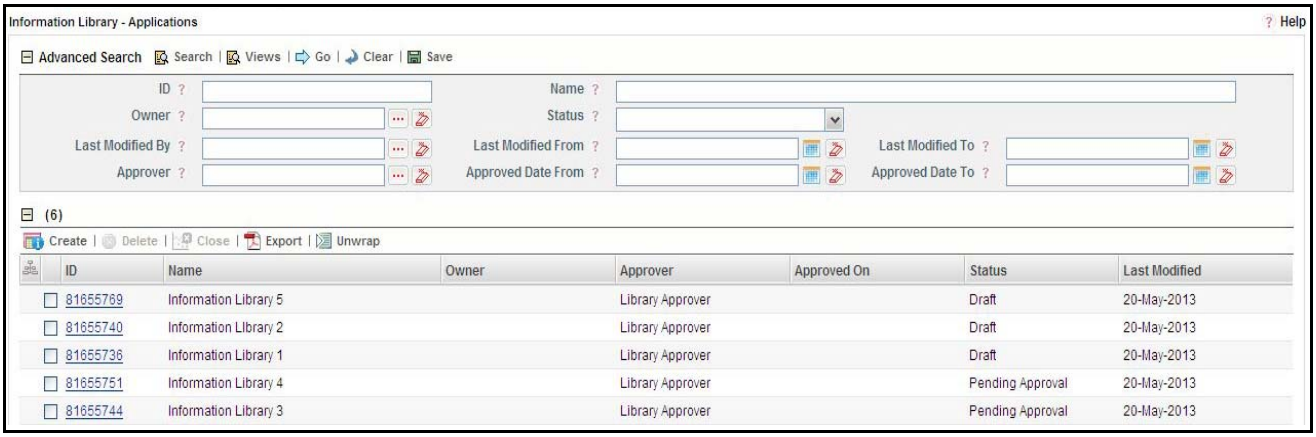



**Figure 264. Searching Information Library with Advanced Search**

3. Enter the following search criteria to filter the Information Library search list.

**Table 142. Advanced Search Bar**

| Criteria | Description |
|---|---|
| ID | Filters the information library list by the ID entered in the entered in this field. |
| Name | Filters the information library list by the name of the information library records that matches the search criteria. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Owner | Select an owner from the hierarchy browser to display the list of information library records owned by the selected user. |
| Status | Select any status from the multi-select list options to filter the information library list by the current status of library record.<br><br>Following are the possible values:<br>● Select All<br>● Draft<br>● Pending Approval<br>● Rejected<br>● Open<br>● Closed |
| Last Modified By | Select a user from the hierarchy browser to display the list of information library records modified by the select user. |

**Table 142. Advanced Search Bar**

| Criteria | Description |
|---|---|
| Last Modified From | Select a date from the calendar to display the list of information library records 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 information library records whose last modified date is lesser than or equal to the specified date. |
| Approver | Select the information library approver from the hierarchy browser to display the list of information library records approved by the selected user. |
| Approved Date From | Select the *Approved Date From* from the calendar to display the list of information library records having approved date greater than or equal to the specified date. |
| Approved Date To | Select the *Approved Date To* from the calendar to display the list of information library records having approved date lesser than or equal to the specified date. |

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

   **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.*

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

## Searching Information Library Using Pre-defined Views

Views search represent pre-populated search queries and helps you to filter the information libraries based on the pre-defined views.

To search for information libraries using pre-defined views, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

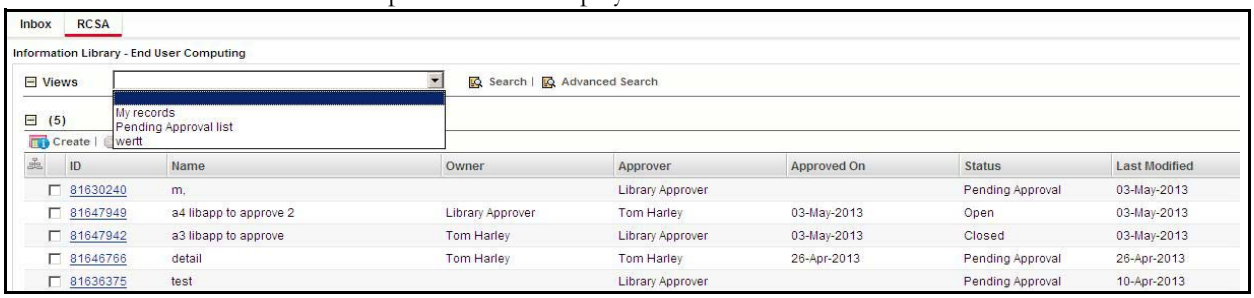



**Figure 265. Searching Information Library with Pre-defined Views**

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 143. Information Library View Type**

| View Type | Description |
|---|---|
| My Records | Select My Records from the drop-down list to display libraries assigned to the specific user.<br><br>**Note**: When the My Records option is selected, the system filters the records in the following manner:<br>● For a user mapped to the role of Library Creator, the search list displays records which are created by the user, that is in *Draft* and *Open* status.<br>● For a user mapped to the role of Library Approver, the search list displays records for which the currently logged in user is the approver. |
| Pending Approval List | Select Pending Approval List from the drop-down list to display information library records which are currently in pending approval status. |

**Note:** The application provides a **Save Search** option in the search bar that allows you to save your search criteria and add it to the list of pre-defined views drop-down option. For more information on *Saving a Search*, refer to*Chapter 3: Managing General Features, Saving a Search* section.

## *Creating Information Library*

You can create a new information library record in an Information Library, when you want to add any changes in information assets of an organization. For example, if a new IT system is added to the organization, you can create a new information library record in the Internal IT Systems Information Library. You can create a new information library record in any of the information library such as Financial Models, End User Computing, Internal IT systems, Peers, Regulatory Bodies, Vendors, Applications, Projects, Risk Drivers, and Miscellaneous

To create an Information Library, follow these steps:

1. Navigate to the required Information Library Search and List page where you want to create a new information library.

2. Click **Create**. The Information Library Definition page is displayed and the status of the information library record is displayed as *New*.

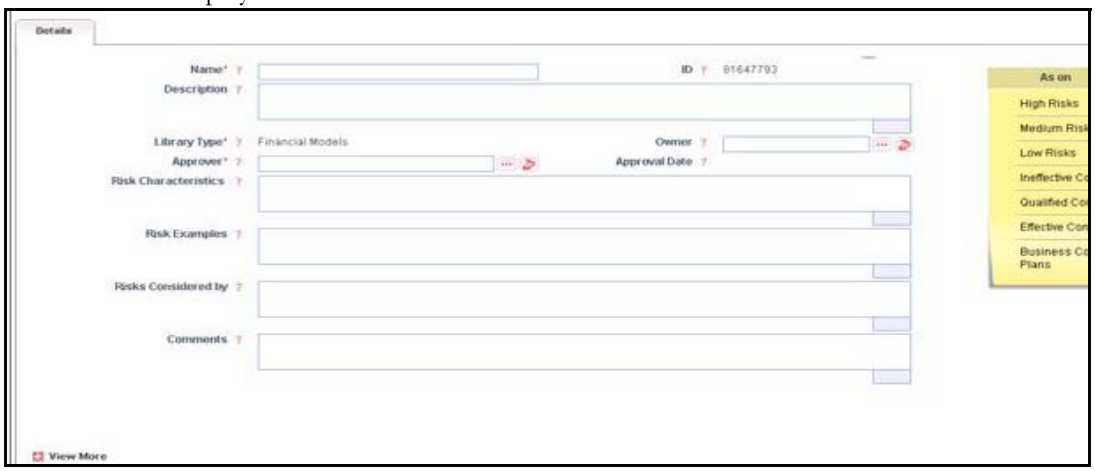



**Figure 266. Information Library Definition Page**

3. Enter the following information in the Information Library Definition page.

**Table 144. Fields of Information Library Definition Page**

| Field Name | Description |
|---|---|
| Name | Enter the name of the information library record. This field allows you to enter a maximum of 300 characters. |
| ID | Displays the sequential tracking number auto-generated for the new information library record. |
| Description | Enter the detailed description about the information library record. You can enter a maximum of 3000 characters in this field. |
| Library type | Displays the type of information library. This field is auto-populated. |
| Owner | Select an owner for the information library record using the hierarchy browser.<br><br>**Note:** Only users mapped to the role of Library Creator are listed in the hierarchy browser. |
| Approver | Select an approver for the information library record using the hierarchy browser.<br><br>**Note**: Only users mapped to the role of Library Approver are listed in the hierarchy browser. |
| Approval Date | Displays the date of approval of the information library record. This field is auto-populated once the information library is approved by Library Approver. |
| Risk Characteristics | Enter an abstract of different characteristics associated to the information library. You can enter a maximum of 3000 characters in this field. |
| Risk Examples | Enter any risk examples associated with the information library record. You can enter a maximum of 3000 characters in this field. |
| Risk Considered by | Enter the names of the risk reviewers who will be reviewing the information library record. You can enter a maximum of 3000 characters in this field. |
| Comments | Enter any comments/additional information about the information library record in this field. You can enter a maximum of 3000 characters in this field. |

**Table 144. Fields of Information Library Definition Page (Continued)**

| Field Name | Description |
|---|---|
| Approval/Rejection Reasons | Enter the reasons for approving or rejecting the information library record. You can enter a maximum of 3000 characters in this field.<br><br>**Note**: This field is available only when the information library record is in *Approved*, *Rejected* or *Closed* statuses. |
| Reasons for Closure | Enter the reasons for closing the information library record. You can enter a maximum of 3000 characters in this field.<br><br>**Note**: This field is available only when the information library record is in *Closed* status. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The status of the record changes to *Draft*.

   You are navigated to the newly created information library record's Details page from where you can take further actions such as edit, submit, attach documents, view workflow history, and view the record details in PDF report.

# Managing Information Library Details

This section covers the following topics:

- Editing Information Library Details
- Submitting Information Library Record in Draft Status
- Approving or Rejecting an Information Library Record

## Editing Information Library Details

The Details tab in the Information Library Details page allows you to edit the information library record details. A Library Creator user can edit an information library in Draft, Open and Rejected statuses whereas a Library Approver user can edit an information library only in Open status.

Refer to *Table 144* for more details on the fields of Information Library record details. The fields in this tab are auto-populated with data entered while creating the information library. By default, this tab is non-editable.

The section covers the following topics:

- Editing Information Library Record in Draft or Rejected Status
- Editing Information Library Record in Open Status

### Editing Information Library Record in Draft or Rejected Status

Only users mapped to the role of Library Creator can edit an information library record in Draft and Rejected status using **Edit** from the Information Library Details page.

To edit information library details in Draft or Rejected status, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. Click an Information Library ID in Draft status that you want to edit. The Information Library Details page is displayed.

   Or:

   From the **Open Tasks** tab in the **Inbox** menu, click the required **Tasks ID** in Rejected status you want to edit. The Information Library Details page is displayed.
3. From the Details tab, click **Edit**. The Information Library Definition page is displayed.
4. Modify the necessary information library record details.

   **Note**: You cannot edit the following fields in Draft or Rejected status:

   - ID
   - Library Type
   - Approval Date
5. Click **Update.** The following message is displayed: *Update Operation Successful.*

   Or:

   Click **Submit** to directly save and submit the information library record. The following message is displayed: *Update Operation Successful.*

6. Click **OK**. The updated information library details page is displayed and the status of the library record changes to *Pending Approval*.

### Editing Information Library Record in Open Status

When an information library is approved by the Library Creator, the status of the library record changes to *Open*. Both Library Creator and Library Approver user can update or modify the library record details in *Open* status using the **Edit** button in the information library details page.

Once an information library is edited in *Open* status, the Library Creator or Library Approver user submits the library record and the status changes to *Pending Approval*. Subsequently, the Library Approver must approve the information library which in turn changes to *Open* status.




**Figure 267. Workflow of Editing Information Library in Open Status**

To edit information library details in Open status, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. Click an Information Library ID in *Open* status that you want to edit.

   The Information Library Details page is displayed.
3. From the **Details** tab, click **Edit**. The Information Library Definition page opens.
4. Modify the necessary information library record details.
5. Click **Update**. The following message is displayed: *Update Operation Successful*.
6. Click **OK**. You will remain in the Edit Definition page.
7. Click **Cancel** to navigate back to View mode.
8. From the **Linkages** tab, you can also link and delink scenarios to an information library record.

## Submitting Information Library Record in Draft Status

A Library Creator user can submit an information library record in Draft status. The Information Library Details page allows you to submit the selected information library record.

To submit the information library record in Draft status, follow these steps:

1. Navigate to the Information Library Search and List page.
2. Click the information library **ID** in Draft status.

   The Information Library Details page is displayed.

   The Information Library Details page allows you to view additional information, attach documents, and view workflow history. For more information, refer to *Chapter 3: Managing General Features, Viewing Workflow History* section.

   This page also allows you to edit the information library details. For more information, refer to *Editing Information Library Details*.

3. Click **Submit**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.

   The status of the information library changes to *Pending Approval.* A task is sent to the Library Approver.

## Approving or Rejecting an Information Library Record

Users mapped to role of Library Approver can either approve or reject an information library record when a Library Creator user submits for approval after editing or updating an information library record details. When a Library Approver approves or rejects an information library record, the status of the library record changes to Open or Rejected respectively.

**Note:** Only users mapped to the Library Approver role can approve or reject an information library record in *Pending Approval* status.

To approve or reject an information library, follow these steps:

1. From the **Open Tasks** tab in the **Inbox** menu, click the required **Tasks ID** in *Pending Approval* status that you to approve or reject.

   Or

   Navigate to the Information Library Search and List page and click the required **Information Library ID** in *Pending Approval* status that you want approve or reject.

   The Information Library Details page is displayed.
2. Click either **Approve** or **Reject**.

   The Approve or Reject Library Comments window is displayed.
3. Enter the approval or rejection comments.

   **Note:** The Comments box in the window allows entering a maximum of 3000 characters. As you begin entering the comments, the word count displayed below the comments box keeps decreasing. If you try to enter more than 3000 characters in the Approval or Rejection Comments box, the following message is displayed: *Number of characters exceeded.*

   If you do not provide approval or rejection comments in the window, the following validation message is displayed: *Please provide the reasons for Approval/Rejection*.
4. Click **Approve** or **Reject**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The system refreshes and displays the information library record in *Open* status if approved or as *Rejected* if the library record is rejected.

**Note:**

- When a Library Approver approves an information library record, a notification is sent to the Library Creator user about the approval.
- If a Library Approver rejects an information library record, a task is sent to the Library Creator user.

## Viewing Information Library Record Profile Report

The Information Library Details page allows you to view information library details in a PDF.

To view the information library details in a PDF, follow these steps:

1. Navigate to the Information Library Search and List page.
2. From the Information Library list matrix, select the required **Information Library ID**.

   The Information Library Details page is displayed.
3. Click **Profile**. A File Download Box is displayed.

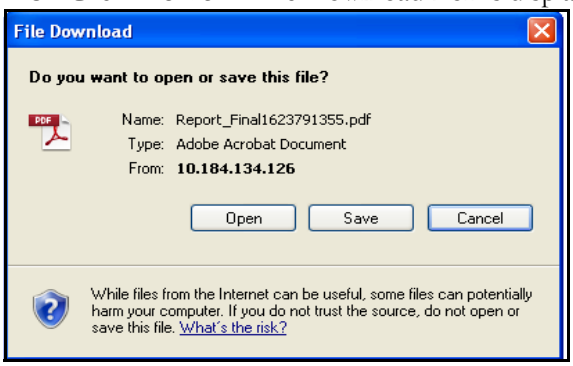
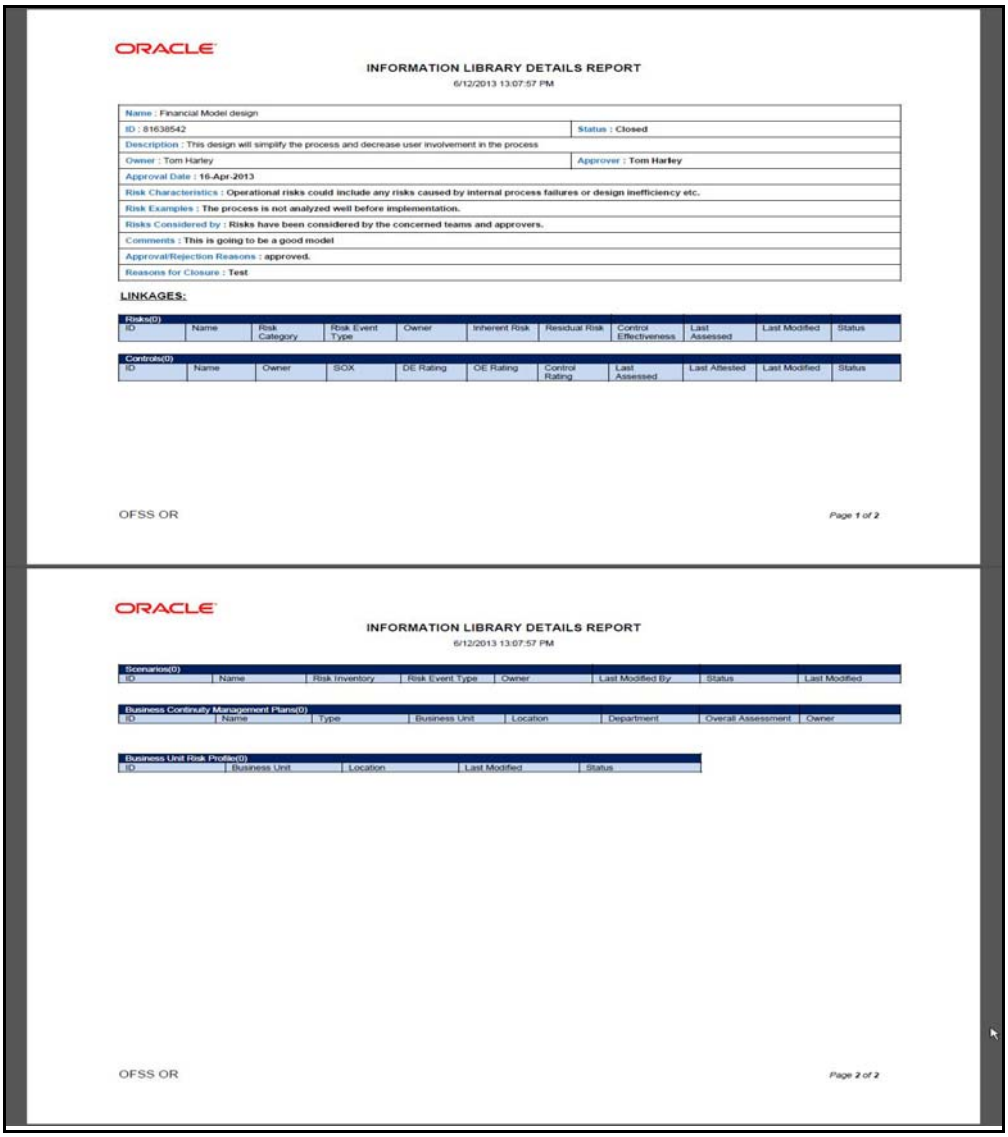



**Figure 268. File Download Window**

4. Click **Open** to view the Information Library Profile Report.



ORACLE

INFORMATION LIBRARY DETAILS REPORT

6/12/2013 13:07:57 PM

| | |
|---|---|
| Name : Financial Model design | |
| ID : 81638542 | Status : Closed |
| Description : This design will simplify the process and decrease user involvement in the process | |
| Owner : Tom Harley | Approver : Tom Harley |
| Approval Date : 16-Apr-2013 | |
| Risk Characteristics : Operational risks could include any risks caused by internal process failures or design inefficiency etc. | |
| Risk Examples : The process is not analyzed well before implementation. | |
| Risks Considered by : Risks have been considered by the concerned teams and approvers. | |
| Comments : This is going to be a good model | |
| Approval/Rejection Reasons : approved. | |
| Reasons for Closure : Test | |

LINKAGES:

Risks(0)

| ID | Name | Risk Category | Risk Event Type | Owner | Inherent Risk | Residual Risk | Control Effectiveness | Last Assessed | Last Modified | Status |
|---|---|---|---|---|---|---|---|---|---|---|

Controls(0)

| ID | Name | Owner | SOX | DE Rating | OE Rating | Control Rating | Last Assessed | Last Attested | Last Modified | Status |
|---|---|---|---|---|---|---|---|---|---|---|

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INFORMATION LIBRARY DETAILS REPORT

6/12/2013 13:07:57 PM

Scenarios(0)

| ID | Name | Risk Inventory | Risk Event Type | Owner | Last Modified By | Status | Last Modified |
|---|---|---|---|---|---|---|---|

Business Continuity Management Plans(0)

| ID | Name | Type | Business Unit | Location | Department | Overall Assessment | Owner |
|---|---|---|---|---|---|---|---|

Business Unit Risk Profile(0)

| ID | Business Unit | Location | Last Modified | Status |
|---|---|---|---|---|

OFSS OR

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**Figure 269. Information Library Record Profile Report**

## Closing an Information Library Record

If the information library record is no longer required, a Library Creator can close it in *Open* status. You can close an information library record either from Information Library Search and List page or from the Details page.

Once the information library is closed, the status of the library record changes from *Open* to *Closed*.

**Note:** Only users mapped to the role Library Creator can close information library records in *Open* status.

To close an information library record, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. From the Information Library List, select the required **Information Library ID** in Open status that you want to close. and click **Close**.

   Or:

   From the Information Library List, click an **Information Library ID** in Open status that you want to close. The Information Library Details page is displayed. From the Details page, click **Close**.

   A window is displayed.

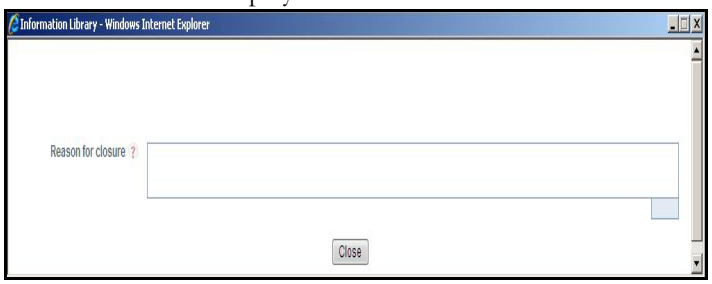



**Figure 270. Reason for Closure Window**

3. Enter the reason for closure.

   **Note**: You can enter text up to 3000 characters.

4. Click **Close**. The following message is displayed: *Update Operation Successful.*

   If you click close without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure*

5. Click **OK**.

   The system refreshes and displays the library record in *Closed* status either in Information Library List matrix or in Information Library Details page depending upon from where the closure was performed.

## Deleting an Information Library Record

Users mapped to the role of Library Creator can delete an information library record from Information Library Search and List page. For example, if an old IT system is retiring due to organization's end-of-life policies on IT systems you can delete the concerned information library record from the IT Systems Information Library. A Library Creator can delete library records only when in Draft status.

To delete an information library, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. From the Information Library list matrix, select the required **Information Library ID** in *Draft* status.
3. Click **Delete**. 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 application refreshes and displays the Information Library Search and List page.

## Exporting Information Library Records to Excel

The Information Library Search and List page allows you to export information library records into an excel sheet.

To export the list of information library records to excel, follow these steps:

1. Navigate to the required Information Library Search and List page.
2. From the Information Library list matrix, select the required **Information Library ID**.
3. Click **Export**.

   The selected information library records are exported to excel.

# CHAPTER 15 Managing BU Risk Profiles

This chapter provides information about the BU Risk Profiles module and step-by-step instructions to use this module.

This section discusses the following topics:

- About BU Risk Profile
- User Roles and Actions
- Accessing BU Risk Profile
- Searching BU Risk Profiles
- Creating Financial Attestation
- Managing BU Risk Profile Details

## *About BU Risk Profile*

The BU Risk Profile module helps a business organization's senior management resources such as a Business Unit Head, Director or Vice President and so on to have a complete overview of the risks and related threats pertaining to a particular business unit.

BU Risk Profile primarily allows you to examine the overall exposure of risks of a Business Unit towards the operational risks. This in turn helps an organization to effectively plan and address the key risks as well as achieving an ideal risk profile for a business unit.

Business Unit Risk Profile allows a Business Unit Owner to monitor and examine the risk profile of a business unit. This helps in analyzing the business operations in addition to the risk and control self assessment practices of an organization. The BU Risk Profile brings together all the risks as well as other parameters associated with the risks in one place so that the Business Heads and other senior management resources managing the operational risk can examine those risks. The BU Risk Profile allows a Business Unit Owner to review the metrics for a selected business unit.

### Salient Features

The BU Risk Profile provides the following features to help organizations manage their business unit risk:

- To overview the risks and related threats pertaining to a particular business unit.
- Effectively plan and address the key risks and achieving an ideal risk profile for a business unit.
- Review the metrics for a selected business unit.

# User Roles and Actions

This section explains the different user roles and related actions that can be performed in the BU Risk Profile module of OFSOR/GCM application.

This section covers the following topics:

- User Roles
- Actions

## User Roles

This module is designed for users mapped to the role of BU Owner, CEO and Business Unit Head. Their roles and responsibilities, as they operate within the application, include the following:

- **BU Owner**: This user can view the risk profile of a Business Unit and Location and create financial attestation for them.
- **CEO**: This user is the Cheif Executive Officer of an organization and can view the risk profile of a Business Unit.
- **Business Head**: This user can view the risk profile of a Business Unit.

## Actions

The User Roles described above can perform the following actions:

- **Creating Financial Attestation**: This action allows a BU Owner to create a new financial attestation on a Business Unit.

## Accessing BU Risk Profile

Users mapped to the role of BU Owner, CEO and BU Head can access the **BU Risk Profile** menu.

To access the **BU Risk Profile** menu, follow these steps:

1. Login to OFSOR/GCM application.
2. Hover over **BU Profile** primary menu, and select **BU Risk Profile**. The BU Risk Profiles Search and List page is displayed.

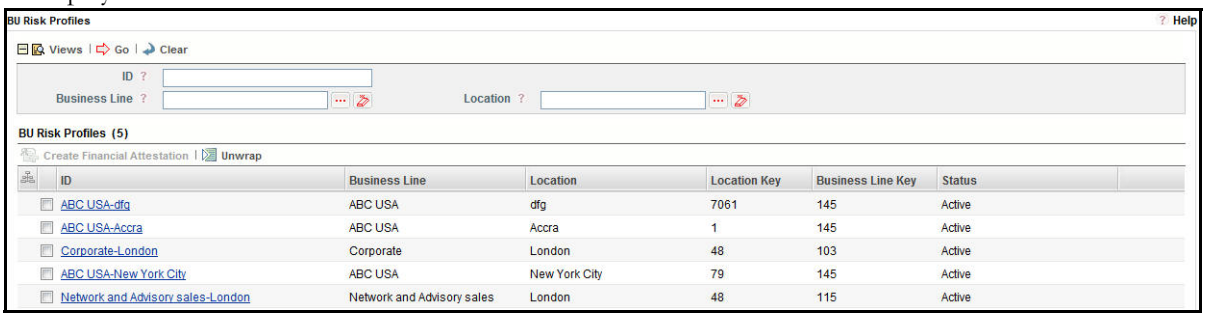



**Figure 271. BU Risk Profile Search and List Page**

A BU Owner can perform a search either through simple Search or by Views search criteria.

## Searching BU Risk Profiles

The BU Risk Profile Search and List enables you to filter the list of BU Risk Profile that you want to view and analyze. The BU Risk Profile search bar supports two types of search-Basic Search and Pre-defined Views.

This section explains the following topics:

- Searching BU Risk Profiles Using Basic Search
- Searching BU Risk Profiles Using Pre-defined Views

**Note:** The OFSOR/GCM 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 BU Risk Profiles Using Basic Search

This search is based on Business Line and Location search components that helps you to filter the required list of BU Risk Profiles.

**Note**: A BU Risk Owner, CEO and Business Unit Head can search for business line and location components only for which they are mapped to.

To search for BU Risk Profile using the search components, follow these steps:

1. Navigate to the BU Risk Profile Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.




**Figure 272. Searching BU Risk Profiles with Search Components**

2. Enter the search criteria to filter the list of BU Risk Profile.

   The following table provides the description for each search component that display in the BU Risk Profile Search bar.

**Table 145. Basic Search Bar Components**

| Criteria | Description |
|---|---|
| Business Line | Select the business line from the hierarchy browser button.<br><br>**Note:** The hierarchy browser window displays only those business lines for which the logged in user is mapped. |
| Location | Select the business line from the hierarchy browser button.<br><br>**Note:** The hierarchy browser window displays only those locations for which the logged in user is mapped. |

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

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

## Searching BU Risk Profiles Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of BU Risk Profiles based on pre-defined views.

To search for BU Risk Profiles using the pre-defined views, follow these steps:

1. Navigate to the BU Risk Profile Search and List page.
2. Click **Views**. The Views drop-down list is displayed.




**Figure 273. Searching BU Risk Profile with Pre-defined Views**

3. Select 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 146. BU Risk Profile View Type**

| View Type | Description |
|---|---|
| BU Risk Profile with High Risks | This option displays the list of BU Risk Profiles whose risks are rated as High. |

## Creating Financial Attestation

A BU Owner can create financial attestation on a BU Risk Profile from BU Risk Profile Search and List page.

To create financial attestation, follow these steps:

1. Navigate to BU Risk Profile Search and List page.
2. Select a BU Risk Profile on which you want to create a financial attestation.
3. Click **Create Financial Attestation**. The Financial Attestation Definition page displays.

   The status of the financial attestation is displayed as *New*.

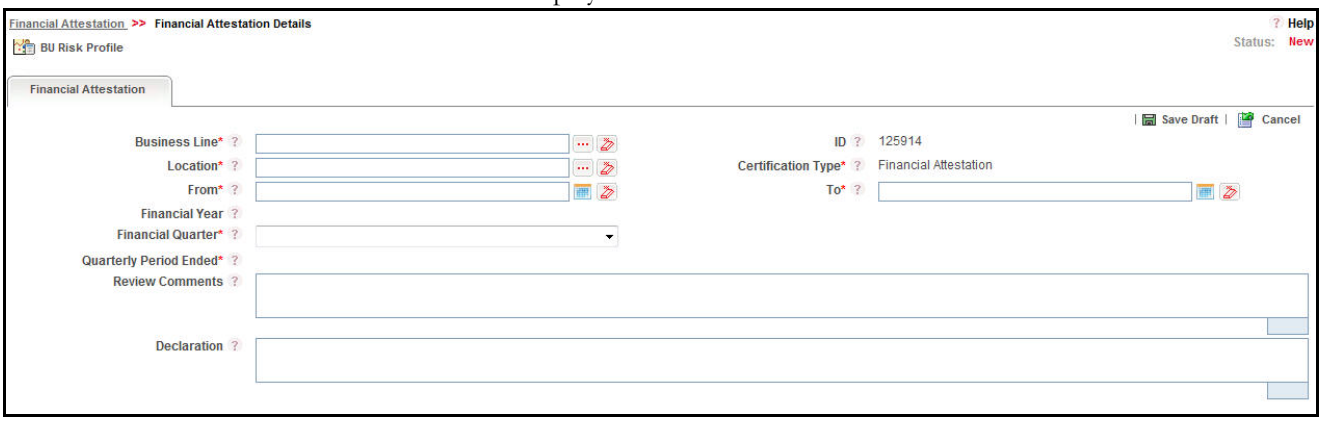



**Figure 274. Financial Attestation Definition Page**

4. Enter the information in the Financial Attestation Definition page. The following table describes the components of Financial Attestation Definition page:

**Table 147. Components of Financial Attestation Definition Page**

| Field Name | Description |
|---|---|
| Business Line | Select the business line from the hierarchy browser button for which the financial attestation is valid. The hierarchy browser displays only those business lines for which the logged-in user is mapped.<br><br>**Note:** This field is a mandatory field. |
| Location | Select the business location from the hierarchy browser button for which the financial attestation is valid. The hierarchy browser displays only those business locations for which the logged-in user is mapped.<br><br>**Note:** This field is a mandatory field. |
| ID | Displays the sequential tracking number created for the financial attestation.<br><br>**Note:** This field is automatically populated. |
| Certification Type | This field is automatically populated as Financial Attestation. You cannot edit this field. |
| From | Select a date from calender button specifying from when the financial attestation is valid.<br><br>**Note:** This field is a mandatory field. |

**Table 147. Components of Financial Attestation Definition Page**

| Field Name | Description |
|---|---|
| To | Select a date from calender button specifying until when the financial attestation is valid.<br><br>**Note:** This field is a mandatory field. |
| Financial Year | Displays the financial year based on the dates selected in From and To fields. You cannot edit this field. |
| Financial Quarter | Select the financial quarter for which the financial attestation is valid from the drop-down list. |
| Quarterly Period Ended | Displays the quarterly period ended date based on the Financial Year and the Financial Quarter fields. You cannot edit this field. |
| Review Comments | Enter any comments or additional information about the financial attestation of up to 3000 characters in this field. |
| Declaration | Enter any declaration about the financial attestation of up to 3000 characters in this field. |

5. Click **Save Draft**. The *Add Operation Successful* message box displays.
6. Click **OK**. The Assertions tab is displayed in the Financial Attestation Definition page. The status of the record changes to *Draft*.
   **Note**: To submit a financial attestation, it is mandatory to answer all the questions in the **Assertions** tab. You can update responses to the questions in the Assertions section.
7. After answering all the questions, you can click **Save** to save the answered questions or **Submit** to save and submit the assertions.

   **Note**: Once you submit the assertions, you cannot edit the answers to questions.
8. Click **Financial Attestation** tab.
9. Click **Edit**. The Details page changes into an editable mode.
10. Click **Submit**. The following message is displayed: *Update Operation Successful*.

    Click **OK**. The Financial Attestation is complete and the status changes to *Completed*.

# Managing BU Risk Profile Details

The BU Risk Profile brings together all the risks as well as other parameters associated with the risks in one place so that the Business Heads and other senior management resources managing the operational risk can esamine those risks. The BU Risk Profile Details page allows a Business Unit Owner to review the metrics for a selected business line and location combination.

This section covers the following topics:

- Viewing BU Risk Profile Details
- Viewing Additional BU Risk Profile Information
- Viewing Reference Information

## Viewing BU Risk Profile Details

This section includes the following topics:

- Viewing Business Unit Details
- Viewing Business Environment
- Viewing Risks
- Viewing Scenarios
- Viewing Obligation Details
- Viewing Incidents

### Viewing Business Unit Details

When a BU Risk Owner, CEO and Business Unit Head navigates to the BU Risk Profile Details page, they can view the Business Unit details of the selected BU Risk Profile.

The Business Unit Details includes the following information:

**Table 148. Business Unit Details Field Description**

| Criteria | Description |
|---|---|
| Business Line | Displays the business line of the selected BU Risk Profile. |
| Location | Displays the location of the selected BU Risk Profile. |
| Parent BU | Displays the Parent BU of the selected BU Risk Profile. |
| Legal Entity | Displays the Legal Entity of the selected BU Risk Profile. |
| BU Head | Displays the BU Head of the selected BU Risk Profile. |
| Deputy BU | Displays the Deputy BU of the selected BU Risk Profile<br><br>**Note:** This field will display information based on the mapping of the logged in BU Risk Owner, CEO and Business Unit Head user with the Business Line, Location, and Legal Entity. If there are multiple values, then the information is displayed as comma seperated values. |
| Business Objectives | Displays the business objectives defined in the scorecard.<br><br>**Note:** The business objectives is populated from the BES record for the selected Business Line and Location. |

## Viewing Business Environment

A BU Risk Owner, CEO and Business Unit Head can view the Business Environment details of the selected BU Risk Profile from the BU Risk Profile Details page.

The Business Environment section includes the following two sections:

- Additional Business Objectives
- Scorecard

### *Additional Business Objectives*

The Additional Business Objectives section displays the additional business objectives as entered in the Business Environment Scorecard.

### *Scorecard*

The Scorecard section displays the updated value of the Business Environment Scorecard (BES). The following table explains the values displayed in the Scorecard section:

| Field | Description |
|---|---|
| Parameter | Displays the name of the parameter that affects the business. |
| Score - Low Impact to High Impact | Displays the score of the business environment in the order of Low Impact to High Impact. |
| Reason | Displays the reason for the displayed parameter. |
| Last Score | Displays the last score of the BES record. |

## Viewing Risks

A BU Risk Owner, CEO and Business Unit Head can view the Risks details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Risks** section displays a heat map of all the risks specific to the selected BU Risk Profle. This section also displays the list of all the risk records associated with the BU Risk Profile in *Open* status with a link to navigate to the risk details page.

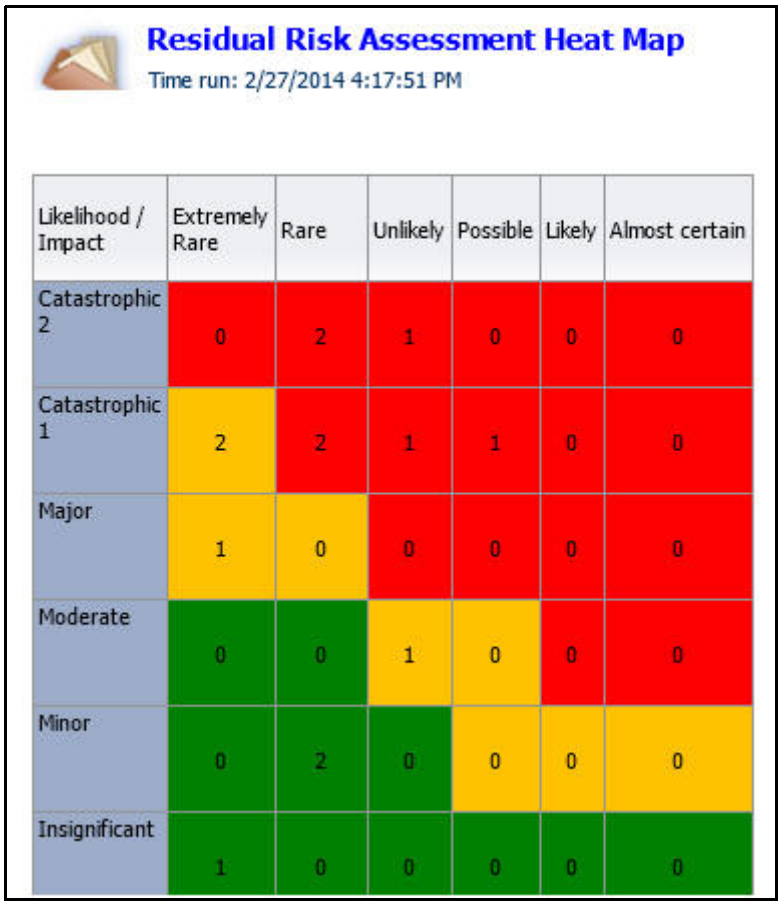



**Figure 275. Residual Risk Assessment Heat Map**

This report displays the count of residual risk rating for each combination of impact and likelihood. Only risks inopen status are considered in this report. Click on the risk count in the table to view the risk details. For information, refer to *Chapter 23, Managing Dashboards*.

A BU Risk Owner, CEO and Business Unit Head can filter the required risks using the **Filter** option.

To filter the risks, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. From the **Details** tab, expand the **Risks** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Risks** section. A pop-up window is displayed.

The following table describes the each component displayed in the Risks filter:

**Table 149. Risks Filter Descriptions**

| Filter Condition | Description |
|---|---|
| All Risks | Select this checkbox to filter all the risks in Open status. When you select this filter option, all other risk filter options are disabled.<br><br>**Note:** By default, this option is selected. |
| Risks where Residual Financial Impact more than | Select a currency from the drop-down list and enter an amount in the text box to filter the risks where residual financial impact more than the entered values.<br><br>Note: The currency conversion for the entered amount is done between the Risk CCY and the Selected CCY based on the exchange rates.<br><br>If this filter option is applied along with other filter conditions, then the risks records that meet all the filter condition are fetched in the Risks Lists. |
| Risks where Worst Case Financial Impact is more than | Select a currency from the drop-down list and enter an amount in the text box to filter the risks with worst case financial impact more than the entered values.<br><br>Note: The currency conversion for the entered amount is done between the Risk CCY and the Selected CCY based on the exchange rates.<br><br>If you are selecting only this filter option, then the risks records are fetched in the Risks Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the risks records that meet all the filter condition are fetched in the Risks Lists. |
| Risks where annual expected occurrence of the risk is more than | Enter a numeric value in the text box to filter the risks where the number of event per annum is more than the entered times.<br><br>If you are selecting only this filter option, then the risks records are fetched in the Risks Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the risks records that meet all the filter condition are fetched in the Risks Lists.<br>. |
| Inherent Risk Rating | Select the inherent risk rating from the multi-select drop-down to filter the risks records with the selected inherent risk rating.<br><br>If you are selecting only this filter option, then the risks records are fetched in the Risks Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the risks records that meet all the filter condition are fetched in the Risks Lists. |
| Residual Risk Rating | Select the residual risk rating from the multi-select drop-down to filter the risks records with the selected residual risk rating.<br><br>If you are selecting only this filter option, then the risks records are fetched in the Risks Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the risks records that meet all the filter condition are fetched in the Risks Lists. |

3. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.

## Viewing Scenarios

A BU Risk Owner, CEO and Business Unit Head can view the Scenario details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Scenarios** section displays the list of all the scenario records associated with the BU Risk Profile in *Open* status with a link to navigate to the scenario details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required scenario using the **Filter** option.

To filter the scenarios, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. From the **Details** tab, expand the **Scenarios** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Scenarios** section. A pop-up window is displayed.

   The following table describes the each component displayed in the Scenarios filter:

**Table 150. Scenarios Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Scenarios | Select an option from the drop-down list to filter all the scenario records in Open status. When you select this filter option, all other scenarios filter options are disabled.<br><br>Note: You can select multiple options using the checkbox.<br><br>If you select Primary from the drop-down list, then the all the scenario records in Open status where the primary Business Line and Location are same as the viewed BU Risk Profile are filtered in the Scenarios Lists. By default, this option is selected.<br><br>If you select Impacted from the drop-down list, then the all the scenario records in Open status where the Impacted BU are same as the viewed BU Risk Profile are filtered in the Scenarios Lists. |
| Scenarios linked to selected Risks | Select this checkbox to filter all the scenarios linked to the risks in the Risks Lists displayed in the BU Risk Profile.<br><br>If you are selecting only this filter option, then the scenario records are fetched in the Scenarios Lists as per this filter irrespective of Business Line and Location |
| Scenarios where the financial Impact is more than | Select a currency from the drop-down list and enter an amount in the text box to filter the scenarios where the financial impact for the selected BU Risk Profile is more than the entered amount.<br><br>If you are selecting only this filter option, then the scenario records are fetched in the Scenarios Lists as per the entered value.<br>If this filter option is applied along with other filter conditions, then the scenario records that meet all the filter condition are fetched in the Scenarios Lists |

**Table 150. Scenarios Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| Scenarios where the Net Non Financial Impact is | Select an option from the drop-down list to filter the scenario records where the Net Non Financial Impact for the selected BU Risk Profile matches the entered value.<br><br>Note: You can select multiple options using the checkbox.<br>If you are selecting only this filter option, then the scenario records are fetched in the Scenarios Lists as per the entered value.<br>If this filter option is applied along with other filter conditions, then the scenario records that meet all the filter condition are fetched in the Scenarios Lists |
| Scenario probable occurrence Once in | Enter the number of years in the text box to filter the scenario records for the selected BU Risk Profile where the typical frequency matches the entered value.<br><br>If you are selecting only this filter option, then the scenario records are fetched in the Scenarios Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the scenario records that meet all the filter condition are fetched in the Scenarios Lists |

3. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.

## Viewing Obligation Details

A BU Risk Owner, CEO and Business Unit Head can view the Obligation details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Obligation** section displays the list of all the obligation records associated with the BU Risk Profile in *Open* status with a link to navigate to the obligation details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required obligations using the **Filter** option.

To filter the scenarios, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. From the **Details** tab, expand the **Obligation** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Obligations** section. A pop-up window is displayed.

The following table describes the each component displayed in the Scenarios filter:

**Table 151. Obligation Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Obligations | Select this checkbox to filter all the obligation records in Open status in the Obligation Lists.<br><br>When you select this filter option, all other obligation filter options are disabled. |
| Obligations which are linked to Risks | Select this checkbox to filter the obligation records that are linked to the risks available in the Controls Lists in the BU Risk Profile<br><br>When you select this filter option, all other obligation filter options are disabled. |
| Obligations which are | Select an option from the drop-down list to filter the obligation records as per the selected value.<br><br>Note: You can select multiple options using the checkbox.<br><br>If this filter option is applied along with other filter conditions, then the scenario records that meet all the filter condition are fetched in the Obligations Lists |

3. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.

## Viewing Incidents

A BU Risk Owner, CEO and Business Unit Head can view the Incident details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Incidents** section displays a heat map of all the incident records specific to the selected BU Risk Profle. This section also displays the list of all the incident records associated with the BU Risk Profile in Open status with a link to navigate to the incidents details page.

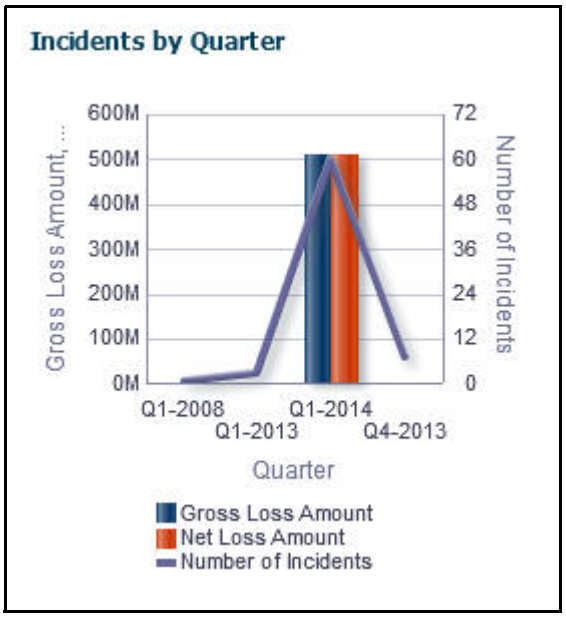



**Figure 276. Incidents by Quarter**

This report displays the gross loss amount, net loss amount, and the number of incidents for a time period. Incidents in all statuses except closed are considered in this report. For information, refer to Chapter 23, *Managing Dashboards*.

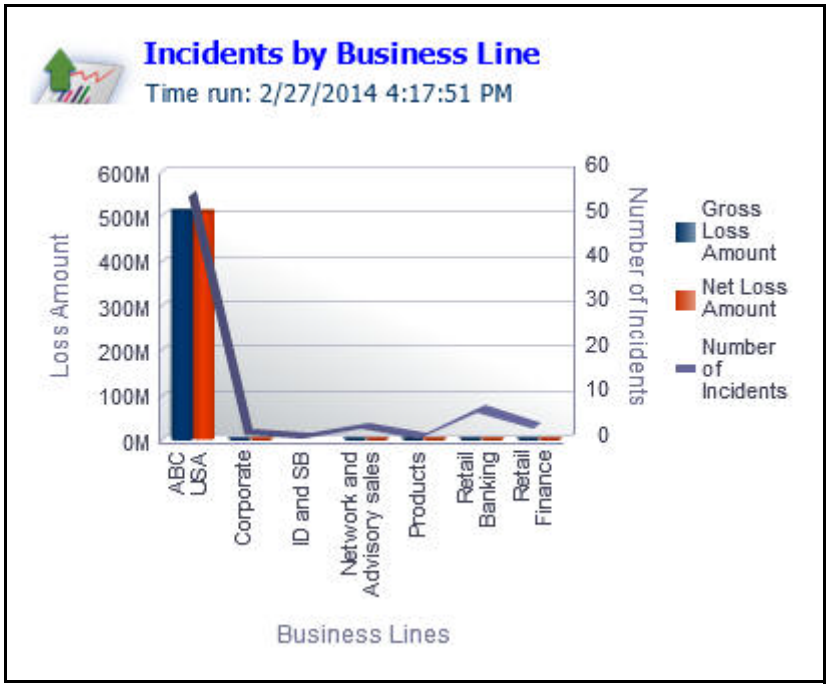



**Figure 277. Incidents by Business Line**

This report displays the gross loss amount, net loss amount, and the number of incidents by business line. Incidents in all statuses except closed are considered in this report. By default, this report displays the first level of business line. If required, you can drill down to the last level. For information, refer to *Chapter 23, Managing Dashboards*

A BU Risk Owner, CEO and Business Unit Head can filter the required incidents using the **Filter** option.

To filter the incidents, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. From the **Details** tab, expand the **Incidents** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Incidents** section. A pop-up window is displayed.

The following table describes the each component displayed in the Incidents filter:

**Table 152. Incidents Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Incidents | Select this checkbox to filter all the incident records in all statuses except in Closed status. If the logged in user role is mapped to the Confidential User role, then the incident records includes Confidential and/or Legal Incidents.<br><br>When you select this filter option, all other obligation filter options are disabled. |
| Incidents Reported in the past | Select an option from the drop-down to filter the list of incident records in all statuses except in Closed status for which the Incident Identified Date falls within the selected value. |
| Incidents which have a gross loss greater than | Select a currency from the drop-down list and enter an amount in the text box to filter the list of incident records having a gross loss greater than the entered amount<br><br>If you are selecting only this filter option, then the incident records are fetched in the Incidents Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Incidents Lists |
| Incidents which have a net loss greater than | Select a currency from the drop-down list and enter an amount in the text box to filter the list of incident records having a net loss greater than the entered amount.<br><br>If you are selecting only this filter option, then the incident records are fetched in the Incidents Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Incidents Lists |
| Incidents which are | Select an option from the drop-down list to filter the incident records as per the selected option.<br><br>**Note**: You can select multiple options using the checkbox.<br><br>If you are selecting only this filter option, then the incident records are fetched in the Incidents Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Incidents Lists |

3. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
4. Click **OK**.

## Viewing Additional BU Risk Profile Information

This section includes the following topics:

- Viewing Controls
- Viewing Key Indicators
- Viewing Insurance
- Viewing Change Initiatives
- Viewing Issues
- Viewing Actions
- Viewing Impacted Entities

### Viewing Controls

A BU Risk Owner, CEO and Business Unit Head can view the Control details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Controls** section displays the list of all the control records associated with the BU Risk Profile in *Open* status with a link to navigate to the control details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required control using the **Filter** option.

To filter the control, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.
3. Expand the **Controls** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Controls** section. A pop-up window is displayed.

   The following table describes the each component displayed in the Incidents filter:

**Table 153. Controls Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Controls | Select this checkbox to filter all the control records in Open statuses.<br><br>When you select this filter option, all other control filter options are disabled. |
| Controls which are linked to the Risks | Select this checkbox to display the list of control records in Open status which are linked to the risks. |
| Controls which are linked to the Obligations | Select this checkbox to display the list of control records in Open status which are linked to the obligations.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Controls Lists |

**Table 153. Controls Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| Controls which are rated | Select an option from the drop-down list to filter the control records as per the selected assessment rating.<br><br>Note: You can select multiple options using the checkbox.<br><br>If you are selecting only this filter option, then the control records are fetched in the Controls Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Controls Lists |
| Key Controls | Select this checkbox to filter all the controls where the value for the field is records in Open statuses.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Controls Lists |
| Controls where the Control Costs are greater than | Select a currency from the drop-down list and enter an amount in the text box to filter the list of control records where the control costs are greater than the entered amount.<br><br>If you are selecting only this filter option, then the control records are fetched in the Control Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the control records that meet all the filter condition are fetched in the Control Lists. |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The filtered control records are displayed in the Controls List.

## Viewing Key Indicators

A BU Risk Owner, CEO and Business Unit Head can view the Key Indicator details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Key Indicators** section displays the list of all the key indicator records associated with the BU Risk Profile in *Open* status with a link to navigate to the key indicator details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required key indicator using the **Filter** option.

To filter the key indicator, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.
3. Expand the **Key Indicator** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Key Indicator** section. A pop-up window is displayed.

The following table describes the each component displayed in the Key Indicator filter:

**Table 154. Key Indicators Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Key Indicators | Select this checkbox to filter all the key indicator records in Open statuses.<br><br>When you select this filter option, all other control filter options are disabled. |
| Key Indicators which are linked to Risks | Select this checkbox to display the list of key indicator records in Open status which are linked to the risks. |
| Key Indicators which are linked to Controls | Select this checkbox to filter the list of key indicator records in Open status which are linked to controls.<br><br>If this filter option is applied along with other filter conditions, then the key indicator records that meet all the filter condition are fetched in the Key Indicators Lists |
| Key Indicators which are | Select an option from the drop-down list to filter the key indicator records as per the selected assessment rating.<br><br>Note: You can select multiple options using the checkbox.<br><br>If you are selecting only this filter option, then the key indicator records are fetched in the Key Indicator Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the incident records that meet all the filter condition are fetched in the Controls Lists |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Key Indicators Lists displays the filtered key indicator records.

## Viewing Insurance

A BU Risk Owner, CEO and Business Unit Head can view the Insurance details of the selected BU Risk Profile from the BU Risk Profile Details page. The **Insurance** section displays the list of all the insurance policy records associated with the BU Risk Profile in *Open* status with a link to navigate to the Insurance Details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required insurance policy records using the **Filter** option.

To filter the insurance, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.
3. Expand the **Insurance** section and click 

. A pop-up window is displayed.

   Or:

   Click 

 from **Insurance** section. A pop-up window is displayed.

The following table describes the each component displayed in the Insurance filter:

**Table 155. Insurance Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Policies | Select this checkbox to filter all the insurance records in Open statuses.<br><br>When you select this filter option, all other control filter options are disabled. |
| Policies linked to Risks | Select this checkbox to display the list of insurance records in Open status which are linked to the risks.<br><br>If you are selecting only this filter option, then the insurance records are fetched in the Insurance Lists as per the selected value. |
| Policies linked to Scenarios | Select this checkbox to filter the list of insurance records in Open status which are linked to scenarios.<br><br>If you are selecting only this filter option, then the insurance records are fetched in the Insurance Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the insurance records that meet all the filter condition are fetched in the Insurance Lists |
| Policies linked to Business Continuity Plans | Select this checkbox to filter the list of insurance records in Open status which are linked to business continuity plans.<br><br>If you are selecting only this filter option, then the insurance records are fetched in the Insurance Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the insurance records that meet all the filter condition are fetched in the Insurance Lists |
| Policies with Cover Amount more than | Select a currency from the drop-down list and enter an amount in the text box to filter the list of insurance records where the cover amount of policies are greater than the entered amount.<br><br>If you are selecting only this filter option, then the insurance records are fetched in the Insurance Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the insurance records that meet all the filter condition are fetched in the Insurance Lists. |
| Policies with Claims | Select this checkbox to filter the list of insurance policies in Open statuses which have claims against them.<br><br>If you are selecting only this filter option, then the insurance records are fetched in the Insurance Lists as per the entered value.<br><br>If this filter option is applied along with other filter conditions, then the insurance records that meet all the filter condition are fetched in the Insurance Lists |
| Insurance Policy with Claims made within | Enter the number of years in the text box to display all the insurance policy records in all statuses except in Closed status whose date of claims falls within the entered value.<br><br>If this filter option is applied along with other filter conditions, then the insurance records that meet all the filter condition are fetched in the Insurance Lists |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Insurance Lists displays the filtered insurance policy records.

## Viewing Change Initiatives

A BU Risk Owner, CEO and Business Unit Head can view the Change Initiatives details of the selected BU Risk Profile from the BU Risk Profile Details page. The Change Initiatives section displays the list of all the change initiative records associated with the BU Risk Profile in *Open* status with a link to navigate to the Change Initiatives Details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required change initiative records using the **Filter** option.

To filter the change initiatives, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.
3. Expand the **Change Initiatives** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Change Initiatives** section. A pop-up window is displayed.

The following table describes the each component displayed in the Change Initiatives filter:

**Table 156. Change Initiatives Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Change Initiatives | Select an option from the drop-down list to filter the change initiative records as per the selected value.<br><br>Note: You can select multiple options using the checkbox.<br><br>If you select Primary from the drop-down list, then all the change initiative records in Open, In Review and Pending Approval are filtered.<br><br>If you select Impacted from the drop-down list, then all the change initiative records that have Impacted BU similar to the selected BU Risk Profile are filtered. The change initiative records in Change Initiatives Lists are filtered in Open, In Review and Pending Approval statuses. |
| Change Initiatives having the Deliver Risk of | Select an option from the drop-down list to filter the change initiative records having the Delivery Risk as per the selected value.<br><br>Note: You can select multiple options using the checkbox. |

**Table 156. Change Initiatives Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| Change Initiatives in last | Select an option from the drop-down list to filter the change initiative records that have the Start Date greater than or equal to the selected value.<br><br>If this filter option is applied along with other filter conditions, then the change initiative records that meet all the filter condition are fetched in the Change Initiatives Lists |
| Change Initiatives with materiality | Select an option from the drop-down list to filter the change initiative records where the Materiality of the change initiative is as per the selected value.<br><br>Note: You can select multiple options using the checkbox.<br><br>If this filter option is applied along with other filter conditions, then the change initiative records that meet all the filter condition are fetched in the Change Initiatives Lists |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Change Initiatives Lists displays the filtered change initiative records.

## Viewing Issues

A BU Risk Owner, CEO and Business Unit Head can view the Issues details of the selected BU Risk Profile from the BU Risk Profile Details page. The Issues section displays the list of all the issues associated with the BU Risk Profile in *Open* status with a link to navigate to the Issues Details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required issues using the **Filter** option.

To filter the issues, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.
3. Expand the **Issues** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Issues** section. A pop-up window is displayed.

The following table describes the each component displayed in the Issues filter:

**Table 157. Issues Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Issues | Select this checkbox to filter all the issues in Open statuses.<br><br>When you select this filter option, all other issues filter options are disabled. |
| Issues created in last | Select an option from the drop-down list to filter the issues that have the Created Date greater than or equal to the selected value.<br><br>If this filter option is applied along with other filter conditions, then the issues that meet all the filter condition are fetched in the Issues Lists |
| Issues which exceed the estimated cost by | Enter a percentage in the text box to filter list of the issues where the [(actual cost - estimated cost)/Estimated Cost ] * 100 is more than the specified percentage is more than the specified percentage. |
| Issues which are Overdue by more than | Enter the number of days in the text box to filter the list of issues where the Target Completion Date is less than the current System Date by the number of days specified. |
| Issues which are | Select an option from the drop-down list to filter the list of issues which are of High Priority or High Criticality or both.<br><br>Note: You can select multiple options using the checkbox.<br><br>If you are selecting only this filter option, then the issues are fetched in the Issues Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the issues that meet all the filter condition are fetched in the Issues Lists |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Issues Lists displays the filtered issue records.

## Viewing Actions

A BU Risk Owner, CEO and Business Unit Head can view the Actions details of the selected BU Risk Profile from the BU Risk Profile Details page. The Actions section displays the list of all the actions records associated with the BU Risk Profile in *Open* status with a link to navigate to the Actions Details page.

A BU Risk Owner, CEO and Business Unit Head can filter the required actions records using the **Filter** option.

To filter the actions, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.
3. Expand the **Actions** section and click 

. A pop-up window is displayed.

Or:

Click Filter from **Actions** section. A pop-up window is displayed.

The following table describes the each component displayed in the Actions filter:

**Table 158. Actions Filter Descriptions**

| Filter Conditions | Description |
|---|---|
| All Actions | Select this checkbox to filter all the actions in Open statuses.<br><br>When you select this filter option, all other filter options are disabled. |
| Actions linked to selected Issues | Select this checkbox to filter the list of actions which are linked to the issues in Issues List.<br><br>If you are selecting only this filter option, then the actions are fetched in the Actions Lists as per the selected value. |
| Action which exceed the estimated cost by | Enter a percentage in the text box to filter list of the actions where the [(actual cost - estimated cost)/Estimated Cost ] * 100 is more than the specified percentage.<br><br>If you are selecting only this filter option, then the actions are fetched in the Actions Lists as per the selected value. |
| Action which are Overdue by | Enter the number of days in the text box to filter the list of actions where the Target Completion Date is less than the current System Date by the number of days specified. |
| Action Criticality is | Select an option from the drop-down list to filter the list of actions in Open status based on the criticality.<br><br>Note: You can select multiple options using the checkbox. |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The Actions Lists displays the filtered action records.

## Viewing Impacted Entities

A BU Risk Owner, CEO and Business Unit Head can view the impacted entities of the selected BU Risk Profile from the BU Risk Profile Details page. This section includes the entities namely, Processes, Products and Other Entities. The Impacted Entities section displays the list of all the impacted entity records associated with the BU Risk Profile and with a link to navigate to the entity details page.

A BU Risk Owner, CEO and Business Unit Head can filter the entity records using the **Filter** option.

To filter the impacted entities, follow these steps:

1. Navigate to the BU Risk Profile Details page.
2. Click **Additional Information** tab.

3. Expand the **Actions** section and click Filter. A pop-up window is displayed.

   Or:

   Click Filter from **Impacted Entities** section. A pop-up window is displayed.

   The following table describes the each component displayed in the Impacted Entities filter:

**Table 159. Impacted Entities Filter Descriptions**

| Section Name | Filter Conditions | Descriptions |
|---|---|---|
| Process | All Processes | Select this checkbox to filter all the processes in Open statuses which are mapped to the selected Business Unit Risk Profile.<br><br>When you select this filter option, all other filter options are disabled. |
| | Processes linked to Risks | Select this checkbox to filter the list of processes in Open status which are linked to risks.<br><br>If you are selecting only this filter option, then the process records are fetched in the Processes Lists as per the selected value. |
| | Critical Processes | Select this checkbox to filter the list of critical processes in Open status which are mapped to the selected Business Unit Risk Profile.<br><br>If you are selecting only this filter option, then the process records are fetched in the Processes Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the issues that meet all the filter condition are fetched in the Processes Lists. |
| | Processes which require attestation | Select this checkbox to filter the list of process records in Open status that require attestation.<br><br>If you are selecting only this filter option, then the processes are fetched in the Processes Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the processes that meet all the filter condition are fetched in the Processes Lists. |
| | Processes where the Overall Risk Assessment is | Select an option from the drop-down list to filter the list of processes based on the Overall Risk Assessment rating.<br><br>The Processes Lists display process records in Open status that are mapped to the selected Business Unit Risk Profile.<br><br>Note: You can select multiple options using the checkbox.<br><br>If you are selecting only this filter option, then the processes are fetched in the Processes Lists as per the selected value.<br><br>If this filter option is applied along with other filter conditions, then the process records that meet all the filter condition are fetched in the Processes Lists. |

**Table 159. Impacted Entities Filter Descriptions**

| Section Name | Filter Conditions | Descriptions |
|---|---|---|
| Products | Products linked to Risks | Select this checkbox to filter the list of products linked to risks for the selected Business Unit Risk Profile. |
| | Products linked to Incidents | Select this checkbox to filter the list of products linked to incidents for the selected Business Unit Risk Profile. |
| | Products linked to Issues | Select this checkbox to filter the list of products linked to the issues for the selected Business Unit Risk Profile. |
| Other Entities | Other Entities linked to Risks | Select this checkbox to filter the list of information libraries in Open statuses that are linked to the risks for the selected Business Unit Risk Profile. |
| | Other Entities linked to Incidents | Select this checkbox to filter the list of information libraries in Open statuses that are linked to the incidents for the selected Business Unit Risk Profile |
| | Other Entities linked to Business Continuity Plans | Select this checkbox to filter the list of information libraries in Open statuses that are linked to the Business Continuity Plans for the selected Business Unit Risk Profile. |

4. After selecting the required filter conditions, click **Save**. The following message is displayed: *Update Operation Successful.*

   Click **OK**. The Impacted Entities Lists displays the filtered records.

## Viewing Reference Information

A BU Owner can view the reference information associated with the selected BU Risk Profile information from BU Risk Profile Details page. The Reference Information includes the reference data fetched from Financial Impact Scales and the completeness check of all the linked records.

This section includes the following topics:

- Viewing Reference Data
- Viewing Completeness Check

### Viewing Reference Data

This section displays the reference data associated with the selected Business Unit Risk Profile. This section includes the following three sub-sections

- **Threshold**: This section displays the threshold details defined for the selected Business Unit Risk Profile in the Financial Impact Scales under the **Admin** menu. Refer *Setting Financial Impace Scales* for more information.
- **Impact Scales**: This section displays the impact scales used for Risk Assessment defined in the Financial Impact Scales under the **Admin** menu. Refer *Setting Financial Impace Scales,* for more information.
- **Frequency**: This section displays the frequency used for the risk assessment defined in the Financial Impact Scales under the **Admin** menu. Refer *Setting Financial Impace Scales,* for more information.

## Viewing Completeness Check

A BU Owner can view the completeness check of a Risk Event Type node from the Reference Information tab. The Completeness Check section displays all the nodes of Risk Event Type (RET) and includes entities namely, Risks, Controls, Obligations, Scenarios, Insurance, BCP, KI, Incidents, Issues, Actions, and Change Initiatives.

# CHAPTER 16 Managing Financial Attestation

This chapter provides information about the Financial Attestation module and step-by-step instructions to use this module.

This section discusses the following topics:

- About Financial Attestation
- User Roles and Actions
- Accessing Financial Attestation
- Searching Financial Attestation
- Creating Financial Attestation
- Managing Financial Attestation Details
- Deleting a Financial Attestation
- Exporting Financial Attestation

## About Financial Attestation

The Regulatory Authorities require banks to provide financial statements and assertions. In the Financial Statements and Assertions, the CEO and the Board must attest the following items: the key risks of the bank have been identified, effective measures are in place to manage those risks and mitigating controls, and define the plans for corrective actions to address any deficiency identified in the risk management system.

### Salient Features

The following are the salient features

- Attest that the key risks of the bank have been identified.
- Attest that effective measures are in place to manage the identified risks and mitigating controls.
- Define the plans for corrective actions to address any deficiency identified in the risk management system.

## User Roles and Actions

This section explains the different user roles and related actions that can be performed in the Financial Attestation module of OFSOR/GCM application.

This section covers the following topics:

- User Roles
- Actions

## User Roles

This module is designed for users mapped to the role of BU Owner, CEO and Business Unit Head. Their roles and responsibilities, as they operate within the application, include the following:

- **BU Owner**: This user can view the risk profile of a Business Unit and Location and create financial attestation for them.
- **CEO**: This user is the Cheif Executive Officer of an organization and can view the risk profile of a Business Unit.
- **Business Head**: This user is the head of a business unit and can view the risk profile of a Business Unit.

## Actions

The User Roles described above can perform the following actions:

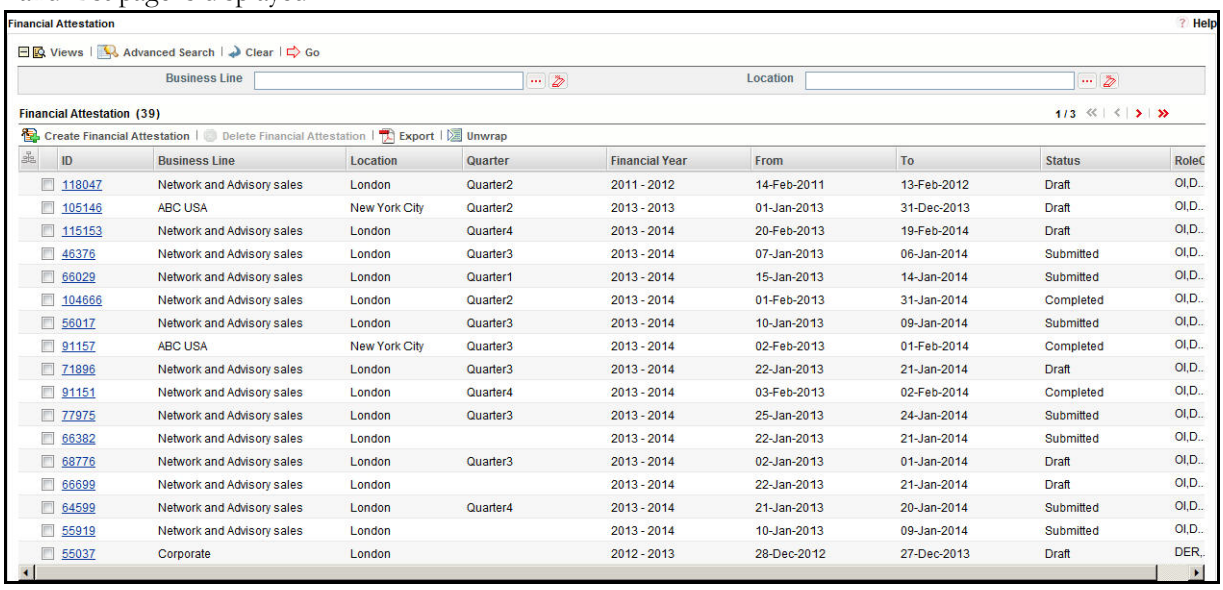
- **Creating Financial Attestation**: This action allows a BU Owner to create a new financial attestation on a Business Unit.
- **Submitting Financial Attestation**: This action allows a BU Owner to submit a finanancial attestation.

# *Accessing Financial Attestation*

Users mapped to the role of BU Owner, CEO or a Business Unit Head can access the **Financial Attestation** menu.

To access the **Financial Attestation** menu, follow these steps:

1. Login to OFSOR/GCM application either as BU Owner, CEO or Business Unit Head user.
2. Hover over **BU Profile** primary menu, and select **Financial Attestation**. The Financial Attestation Search and List page is displayed.




| ID | Business Line | Location | Quarter | Financial Year | From | To | Status | RoleC |
|---|---|---|---|---|---|---|---|---|
| 118047 | Network and Advisory sales | London | Quarter2 | 2011 - 2012 | 14-Feb-2011 | 13-Feb-2012 | Draft | OI,D.. |
| 105146 | ABC USA | New York City | Quarter2 | 2013 - 2013 | 01-Jan-2013 | 31-Dec-2013 | Draft | OI,D.. |
| 115153 | Network and Advisory sales | London | Quarter4 | 2013 - 2014 | 20-Feb-2013 | 19-Feb-2014 | Draft | OI,D.. |
| 46376 | Network and Advisory sales | London | Quarter3 | 2013 - 2014 | 07-Jan-2013 | 06-Jan-2014 | Submitted | OI,D.. |
| 66029 | Network and Advisory sales | London | Quarter1 | 2013 - 2014 | 15-Jan-2013 | 14-Jan-2014 | Submitted | OI,D.. |
| 104666 | Network and Advisory sales | London | Quarter2 | 2013 - 2014 | 01-Feb-2013 | 31-Jan-2014 | Completed | OI,D.. |
| 56017 | Network and Advisory sales | London | Quarter3 | 2013 - 2014 | 10-Jan-2013 | 09-Jan-2014 | Submitted | OI,D.. |
| 91157 | ABC USA | New York City | Quarter3 | 2013 - 2014 | 02-Feb-2013 | 01-Feb-2014 | Completed | OI,D.. |
| 71896 | Network and Advisory sales | London | Quarter3 | 2013 - 2014 | 22-Jan-2013 | 21-Jan-2014 | Draft | OI,D.. |
| 91151 | Network and Advisory sales | London | Quarter4 | 2013 - 2014 | 03-Feb-2013 | 02-Feb-2014 | Completed | OI,D.. |
| 77975 | Network and Advisory sales | London | Quarter3 | 2013 - 2014 | 25-Jan-2013 | 24-Jan-2014 | Submitted | OI,D.. |
| 66382 | Network and Advisory sales | London | | 2013 - 2014 | 22-Jan-2013 | 21-Jan-2014 | Submitted | OI,D.. |
| 68776 | Network and Advisory sales | London | Quarter3 | 2013 - 2014 | 02-Jan-2013 | 01-Jan-2014 | Draft | OI,D.. |
| 66699 | Network and Advisory sales | London | | 2013 - 2014 | 22-Jan-2013 | 21-Jan-2014 | Draft | OI,D.. |
| 64599 | Network and Advisory sales | London | Quarter4 | 2013 - 2014 | 21-Jan-2013 | 20-Jan-2014 | Submitted | OI,D.. |
| 55919 | Network and Advisory sales | London | | 2013 - 2014 | 10-Jan-2013 | 09-Jan-2014 | Submitted | OI,D.. |
| 55037 | Corporate | London | | 2012 - 2013 | 28-Dec-2012 | 27-Dec-2013 | Draft | DER.. |

**Figure 278. Financial Attestation Search and List Page**

A BU Owner, CEO or a Business Unit Head can perform a search either through simple Search or by Views search criteria.

## Searching Financial Attestation

The Financial Attestation Search and List allows you to filter the list of financial attestations that you want to view and analyze. The Financial Attestation search bar 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 Financial Attestation Using Basic Search
- Searching Financial Attestation Using Advanced Search
- Searching Financial Attestation Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Financial Attestation Using Basic Search

This search is based on limited search criteria that helps you to filter the required list of financial attestation. If you know the Business Line and Location, then you can filter the financial attestations using the basic search components.

To search for financial attestations using Search components, follow these steps:

1. Navigate to the Financial Attestation Search and List page.

   **Note**: By default, the **Search** option is selected in the Search bar.

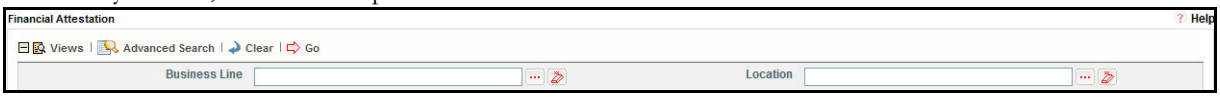



**Figure 279. Searching Financial Attestations with Search Components**

2. Enter the search criteria to filter the list of financial attestations.

The following table provides the description for each search component that display in the Financial Attestation Search bar.

**Table 160. Search Bar Components**

| Field Name | Description |
|---|---|
| Business Line | Select the business line from the hierarchy browser button.<br><br>**Note:** The hierarchy browser window displays only those business lines for which the logged in user is mapped. |
| Location | Select the business line from the hierarchy browser button.<br><br>**Note:** The hierarchy browser window displays only those locations for which the logged in user is mapped. |

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

**Note**:

- Using the context menu option on a column name in the Financial Attestations List, you can click the **Field Chooser** option to choose additional fields to be displayed in the list section.

## Searching Financial Attestation Using Advanced Search

Advanced Search offers the same search fields as provided for a basic search along with additional fields. If you know details such as Business Line, Location, ID, Financial Year and so on, then you can filter the financial attestation records using the Advanced Search components.

To search for financial attestation records using advanced search components, follow these steps:

1. Navigate to the Financial Attestation Search and List page.
2. Click **Advanced Search**. The Advanced Search components are displayed.

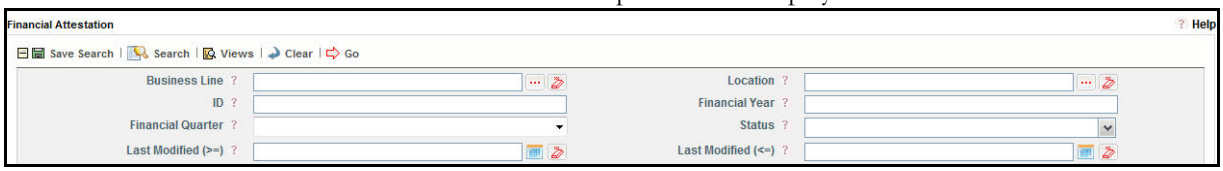



**Figure 280. Searching Financial Attestations with Advanced Search Components**

3. Enter the search criteria to filter the list of financial attestation records.

The following table describes each search component that display in the Financial Attestation Search bar.

**Table 161. Advanced Search Bar Components**

| Field Name | Description |
|---|---|
| Business Line | Select the business line from the hierarchy browser button.<br><br>**Note:** The hierarchy browser window displays only those business lines for which the logged in user is mapped. |
| Location | Select the business line from the hierarchy browser button.<br><br>**Note:** The hierarchy browser window displays only those locations for which the logged in user is mapped. |

**Table 161. Advanced Search Bar Components (Continued)**

| Field Name | Description |
|---|---|
| ID | Enter the sequential tracking number of the Financial Attestation.<br><br>**Note:** This field accepts a maximum of 20 numeric characters. |
| Financial Year | Enter the financial year to filter the list of related financial attestations. |
| Financial Quarter | Select a financial quarter from the drop-down list to display the list of financial attestations for with the selected quarter. |
| Status | Select any status from the multi-select drop-down list options to filter the list of financial attestations having their Status as specified in the search criteria.<br><br>The following are the options displayed in the drop-down list:<br>● Select All<br>● Draft<br>● Completed |
| Last Modified (>=) | Select a date from the calendar to display the list of financial attestations 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 financial attestations whose last modified date is less than or equal to the specified date. |

4. Click **Go**. The relevant search list is displayed. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

   **Note**:

   - Using the right-click option on columns within the List header allows you to specify the sorting options such as Sort Ascending, Sort Descending, Clear Sort, Group By Tree, Group By Tab, Field Chooser and Transpose.
   - You can also save a search criteria in the Advanced search components as a pre-populated search query. The saved search is then displayed as a pre-defined view in the **Views** drop-down option. For more information on Saving a Search, refer to *Chapter 3: Managing General Features, Saving a Search* section.

## Searching Financial Attestation Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of financial attestations based on pre-defined views.

To search for financial attestations using pre-defined views, follow these steps:

1. Navigate to the Financial Attestation Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

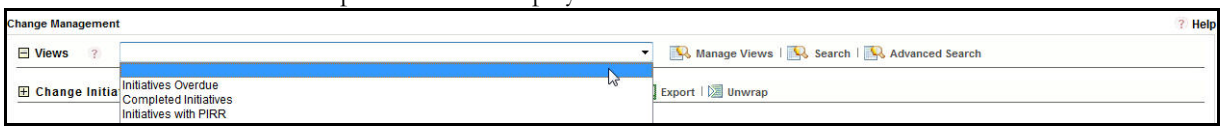



**Figure 281. Searching Financial Attestation with Pre-defined Views**

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 162. Financial Attestations View Type**

| View Type | Description |
|---|---|
| Financial Attestation for Current Year | This option displays the list of financial attestations having the current year as Financial Year. The records displayed in the Financial Attestation List in are sorted in descending order of Last Modified Date.<br><br>**Example** - For the Financial Year 2011-2012, any Financial Attestations which have the financial year as 2011-12 or 2012 are displayed in the Financial Attestation List. |
| My Financial Attestation | This option displays the list of financial attestations which are created by the logged-in user. The records displayed in the Financial Attestation List in are sorted in descending order of Last Modified Date. |
| Completed Financial Attestation | This option displays the list of financial attestations which are in *Submitted* status. The records displayed in the Financial Attestation List in are sorted in descending order of Last Modified Date. |

**Note:** After performing a **Views** search when you navigate to Search or Advanced Search, the search bar will retain the last performed search criteria, and will display the relevant results in the Financial Attestation List.

## *Creating Financial Attestation*

The Financial Attestation Search and List page allows a BU Owner to create financial attestations.

**Note**:A BU Owner can also create financial attestation on BU Risk Profiles from BU Risk Profile Search and List page.

To create financial attestations, follow these steps:

1. Navigate to Financial Attestation Search and List page.
2. Click **Create Financial Attestation**. The Financial Attestation Definition page displays.

   The status of the financial attestation is displayed as *New*.

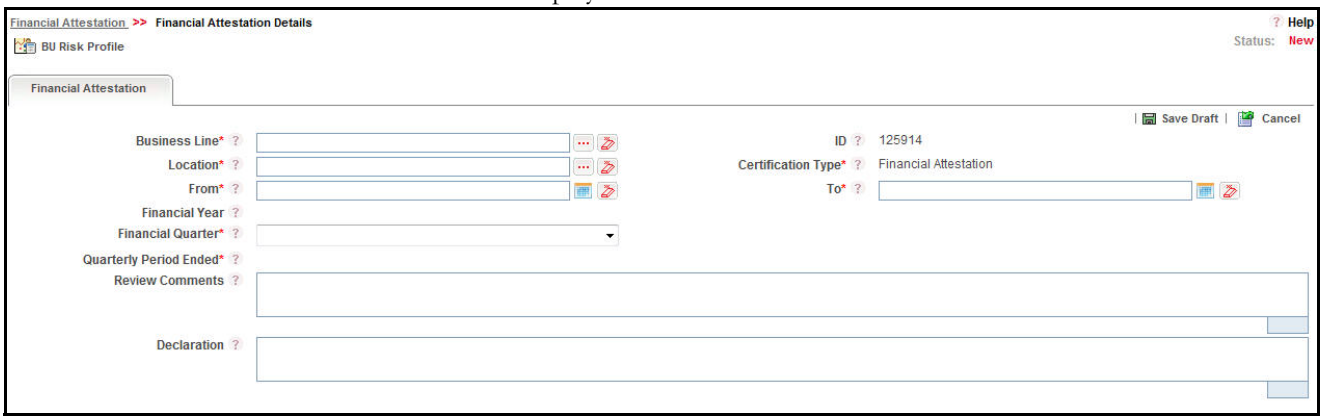



**Figure 282. Financial Attestation Definition Page**

3. Enter the information in the Financial Attestation Definition page. The following table describes the components of Financial Attestation Definition page:

**Table 163. Components of Financial Attestation Definition Page**

| Field Name | Description |
|---|---|
| Business Line | Select the business line from the hierarchy browser button for which the financial attestation is valid. The hierarchy browser displays only those business lines for which the logged-in user is mapped.<br><br>**Note:** This field is a mandatory field. |
| Location | Select the business location from the hierarchy browser button for which the financial attestation is valid. The hierarchy browser displays only those business locations for which the logged-in user is mapped.<br><br>**Note:** This field is a mandatory field. |
| ID | Displays the sequential tracking number created for the financial attestation.<br><br>**Note:** This field is automatically populated. |
| Certification Type | This field is automatically populated as Financial Attestation. You cannot edit this field. |
| From | Select a date from calender button specifying from when the financial attestation is valid.<br><br>**Note:** This field is a mandatory field. |
| To | Select a date from calender button specifying until when the financial attestation is valid.<br><br>**Note:** This field is a mandatory field. |
| Financial Year | Displays the financial year based on the dates selected in From and To fields. You cannot edit this field. |
| Financial Quarter | Select the financial quarter for which the financial attestation is valid from the drop-down list. |
| Quarterly Period Ended | Displays the quarterly period ended date based on the Financial Year and the Financial Quarter fields. You cannot edit this field. |
| Review Comments | Enter any comments or additional information about the financial attestation of up to 3000 characters in this field. |
| Declaration | Enter any declaration about the financial attestation of up to 3000 characters in this field. |

4. Click **Save Draft**. The *Add Operation Successful* message box displays.
5. Click **OK**. The Assertions grid is displayed in the Financial Attestation Definition page. The status of the record changes to *Draft*.
   **Note**: To submit a financial attestation, it is mandatory to answer all the questions in the **Assertions** tab. You can update responses to the questions in the Assertions section.
6. After answering all the questions, you can click **Save** to save the answered questions or **Submit** to save and submit the assertions.

   **Note**: Once you submit the assertions, you cannot edit the answers to questions.
7. Click **Financial Attestation** tab.

8. Click **Edit**. The Details page changes into an editable mode.
9. Click **Submit**. The following message is displayed: *Update Operation Successful*.

   Click **OK**. The Financial Attestation is complete and the status changes to *Completed*.

# *Managing Financial Attestation Details*

A BU Owner can review the financial attestation and answer the questions in assertions tab from Financial Attestation Details page.

This section covers the following topics:

- Viewing Financial Attestation Details
- Editing and Submitting Financial Attestation Details
- Attaching and Deleting Documents
- Submitting Assertions
- Viewing BU Risk Profile
- Viewing Financial Attestation Profile Report

## Viewing Financial Attestation Details

A BU Risk Owner can view the details of the financial attestation from the Financial Attestation Details page.

To view the financial attestation details, follow these steps:

1. Navigate to the Financial Attestation Search and List page.
2. Click a Financial Attestation ID in Draft or Completed status.

   The Financial Attestation Details page is displayed and the **Financial Attestation** tab is selected by default.

   When the financial attestation is in *Draft* status, you can perform the following actions:

   - Edit Financial Attestation
   - Attach and Delete Documents
   - Submitting Assertions

## Editing and Submitting Financial Attestation Details

A BU Owner can edit the details of a financial attestation when in *Draft* status from the Financial Attestation Details page.

To edit a financial attestation in *Draft* status, follow these steps:

1. Navigate to the Financial Attestation Details page.
2. From Financial Attestation tab, click **Edit**. The Details page changes into an editable mode and displays **Update**, **Submit** and **Cancel** buttons.

   A BU Owner can perform the following actions when the financial attestation is in *Draft* status:

   - Edit financial attestation details
   - Attach and delete documents
   - Answer questions in Assertions
   - Submit the financial attestations

- View workflow history

3. Modify the necessary financial attestation details.
4. Click **Update**. The following message is displayed: *Update Operation Successful.* Click **OK** to confirm the changes. The Details page remains in editable mode.

   Or:

   Click **Submit**. The following message is displayed: *Update Operation Successful.* Click **OK** to confirm the changes. The status of the financial attestation changes to Submitted.

   **Note**: To submit a financial attestation, you must answer all the assertions.

## Attaching and Deleting Documents

The Attach and Delete Documents section in Financial Attestation tab allows you to attach or delete documents related to a financial attestation. A BU Owner can attach and delete documents after the status of the financial attestation changes to Draft status.

**Note:** You cannot attach and delete document to a financial attestation when it is in Submitted status. For more details on attaching and deleting documents, refer to *Chapter 3: Managing General Features, Managing Documents* section.

## Submitting Assertions

A Questionnaire with the purpose as Financial Attestation in *Open* status is automatically populated in the Assertions tab for BU Owner to answer the questions and subsequently submit the assertions.

**Note**: If there are no questionnaire in *Open* status, then you cannot submit the financial attestation.

To submit the asserstions, follow these steps:

1. Navigate to the Financial Attestation Details page.
2. Click **Assertions** tab.

   A Questionnaire in Open status with the purpose as Financial Attestation is automatically populated.
3. Answer the questions using the radio buttons and enter coments in the Comments column.

   **Note**: If you want to update the questionnaire, you must navigate to the Questionnaire module.

   The following table lists the default questions displayed in the assertions tab:

**Table 164. Default Questions in Assertions**

| | Default Questions | Response Options | | |
|---|---|---|---|---|
| 1 | Based on my knowledge, the financial statements, and other financial information included in the report, fairly present in all material respects the financial condition and for, the periods presented | Yes | No | NA |
| 2 | Any fraud, whether or not material, that involves management or other employees who have a significant role in the issuer's internal controls | Yes | No | NA |
| 3 | Have reviewed the reports to be submitted | Yes | No | NA |
| 4 | I am /have Responsible for establishing and maintaining internal controls | Yes | No | NA |

**Table 164. Default Questions in Assertions**

| | Default Questions | Response Options | | |
|---|---|---|---|---|
| 5 | I am /have Evaluated the effectiveness of the issuer's internal controls as of a date within 90 days prior to the report | Yes | No | NA |
| 6 | Indicated in the report whether or not there were significant changes in internal controls including any corrective actions with regard to significant deficiencies and material weaknesses | Yes | No | NA |
| 7 | I am /have Presented in the report their conclusions about the effectiveness of their internal controls based on their evaluation as of that date | Yes | No | NA |
| 8 | I have designed such internal controls that ensure material information of the firm and its consolidated subsidiaries is known to me by others within the entities in which periodic reports is prepared | Yes | No | NA |
| 9 | Deficiencies in design/operation of internal controls which adversely affects firms ability to record, process, summarize, report financial data and identified for issuers auditors in internal controls | Yes | No | NA |

4. After answering all the questions, you can click **Save** to save the answered questions or **Submit** to save and submit the assertions.

   **Note**: Once you submit the assertions, you cannot edit the answers to questions.
5. Click **Financial Attestation** tab.
6. Click **Edit**. The Details page changes into an editable mode.
7. Click **Submit**. The following message is displayed: *Update Operation Successful*.
8. Click **OK**. The Financial Attestation is complete and the status changes to *Completed*.

### Viewing BU Risk Profile

A BU Risk Owner can view and navigate to the BU Risk Profile Details of the financial attestation from the Financial Attestation Details page. Click **BU Risk Profile** button on the Financial Attestation Details page to navigate to the BU Risk Profile Details page.

### Viewing Financial Attestation Profile Report

A BU Owner can view the Financial Attestation Certification from the Financial Attestation Details page.

To view the issue details in a PDF, follow these steps:

1. Navigate to the Financial Attestation Details page.
2. Click **Financial Attestation Certificate**. A File Download Box is displayed.
3. Click Open to view the Financial Attestation Certificate Report.

## *Deleting a Financial Attestation*

A BU Owner can delete a financial attestation when it is in Draft status.

To delete a financial attestation, follow these steps:

1. Navigate to the Financial Attestation Search and List page.
2. Select a financial attestation in Draft status.
3. Click **Delete Financial Attestation**.
4. Click **OK**. The following window is displayed: *Delete Operation Successful.*
5. Click **OK**. The selected financial attestation is deleted.

## Exporting Financial Attestation

A BU Owner can export the list of financial attestation displayed in the Financial Attestation Search and List page to an Excel format.

**Note:** You cannot export individual financial attestations to Excel.

To export the Financial Attestation list to Excel, follow these steps:

1. Navigate to the Financial Attestation 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 an IE 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.
9. All the financial attestations in the Financial Attestation Search and List page are exported into an excel template.

# CHAPTER 17 Managing Compliance

This chapter explains details of the Compliance module of the Oracle Financial Services Operational Risk application and step-by-step instructions to use it.

This chapter includes the following topics:

- About Compliance
- Managing Regulations or Policies
- Managing Obligation Library
- Managing Obligations
- Managing Compliance Plan
- Managing SOX 302 Certification
- Managing SOX 404 Certification

## About Compliance

Compliance is conforming to a rule, such as a specification, policy, standard or law. Regulatory compliance describes the goal that financial institutions or the banks aspire to achieve in their efforts to ensure that personnel are aware of and take steps to comply with relevant laws and regulations.

Due to the increasing number of regulations and need for operational transparency, organizations are increasingly adopting consolidated and harmonized sets of compliance controls. This approach is used to ensure that all necessary governance requirements can be met without unnecessary duplication of effort and activity from resources.

In the present uncertain financial environment where regulations or policies change often and in order to accommodate and comply with the regulations or policies, the system should offer ability to track or monitor events, tasks, processes, controls, and systems have been complied with. The Compliance module helps banks or financial organizations to capture regulations or policies and associated obligations and make sure the regulations or policies which effect the functioning of the organization have been complied with.

### Salient Features of Compliance Module

The Compliance provides the following features to help organizations manage their operational risk:

- A central repository for Regulations or Policies and Obligations
- Creating Compliance plans by Obligations and Regulations or Policies
- Periodic assessment of Regulations or Policies and Obligations
- Link to other entities enabling holistic view
- Compliance Plan Attestations

# Managing Regulations or Policies

This section provides information about Regulations or Policies in the Compliance module of the Oracle Financial Services Operational Risk application and step-by-step instructions to use this section.

This section covers following topics:

- About Regulations and Policies
- User Roles and Actions
- Tasks and Notifications
- Regulations or Policies Workflow
- Accessing Regulations or Policies Menu
- Searching Regulations or Policies
- Creating Regulations or Policies
- Managing Regulations or Policies Details
- Deleting Regulations or Policies
- Closing Regulations or Policies
- Exporting Regulations or Policies List

## About Regulations and Policies

Regulations and Policies are requirements, restrictions, and guidelines imposed on the banks and financial institutions by government bodies, regulatory authorities, or organizations itself. These banks and financial institutions should comply with these regulations and policies to maintain transparency.

The objectives of Regulations and Policies:

- To reduce the level of risk to which bank creditors are exposed (that is, to protect depositors)
- To reduce the risk of disruption resulting from adverse trading conditions for banks causing multiple or major bank failures
- To reduce the risk of banks being used for criminal purposes. For example, laundering the proceeds of crime
- To protect banking confidentiality
- To direct credit to favored sectors

The Compliance module allows you to capture new regulations or policies made by bank, financial institutions, or organizations and maintain a repository. This also helps to map obligations to these newly created regulations or policies.

### Salient Features

The Regulations and Policies provides the following features to help organizations manage their risk:

- Provides an ability for bank, organization, or financial institutions to capture regulations or policies
- Maps regulations or policies to Obligations
- Generates regulations or policies report

- Exports regulations or policies

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

This section is designed for users mapped to the role of Compliance Identifier. This user manages the entire process involved in Regulations or Policies. The Compliance Identifier creates, edits, deletes, and closes Regulations or Policies and also links and delinks to an obligation library.

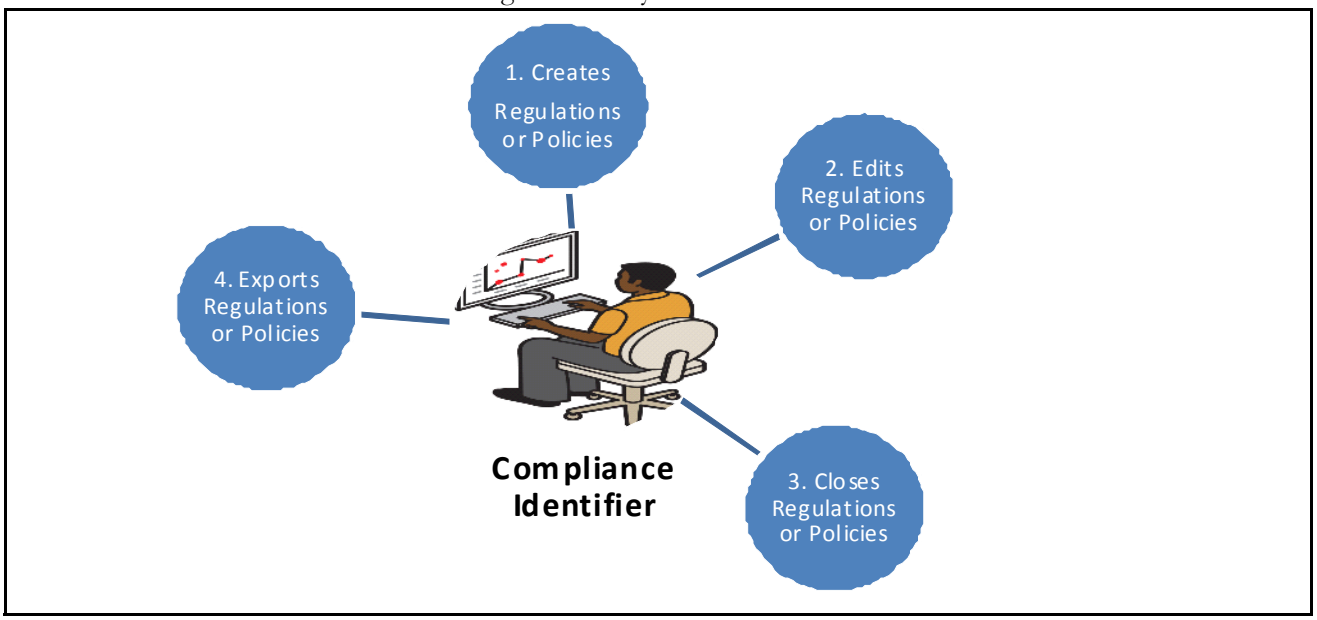



**Figure 283. User Roles and Actions**

### Actions

The Regulations and Policies section allows Compliance Identifier to perform the following actions in the application:

- **Creating Regulations or Policies**: This action allows users to create new Regulations and Policies. Once users create Regulations and Policies they can save as draft or submit the details. They can also link or delink an obligation library, and attach or delete the documents.
- **Editing Regulations or Policies**: This action allows users to edit and update the Regulations and Policies details in Draft or in Open status.
- **Closing Regulations or Policies**: If the Regulations or Policies are no longer required, users can close it in Open status.
- **Deleting Regulations or Policies**: When an organization believes that a certain Regulations or Policies have been drafted incorrectly or are not required such regulations and Policies can be deleted. This action allows users to delete Regulations and Policies.

- **Exporting Regulations or Policies Details**: The Exported Regulations or Policies report allows the organization to have a compiled list of all applicable Regulations or Policies. This action allows users to export the details of the Regulations or Policies.

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the section. 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 165. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| On submitting Regulation or Policy | Notification | Regulation/Policy - New Regulation/Policy identified | Obligation Identifier | Open |
| On updating Regulation or Policy with material changes | Task | Regulation/Policy modified with material changes | Obligation Identifier | Open |

## Regulations or Policies Workflow

The following figure explains the Regulations or Policies workflow:

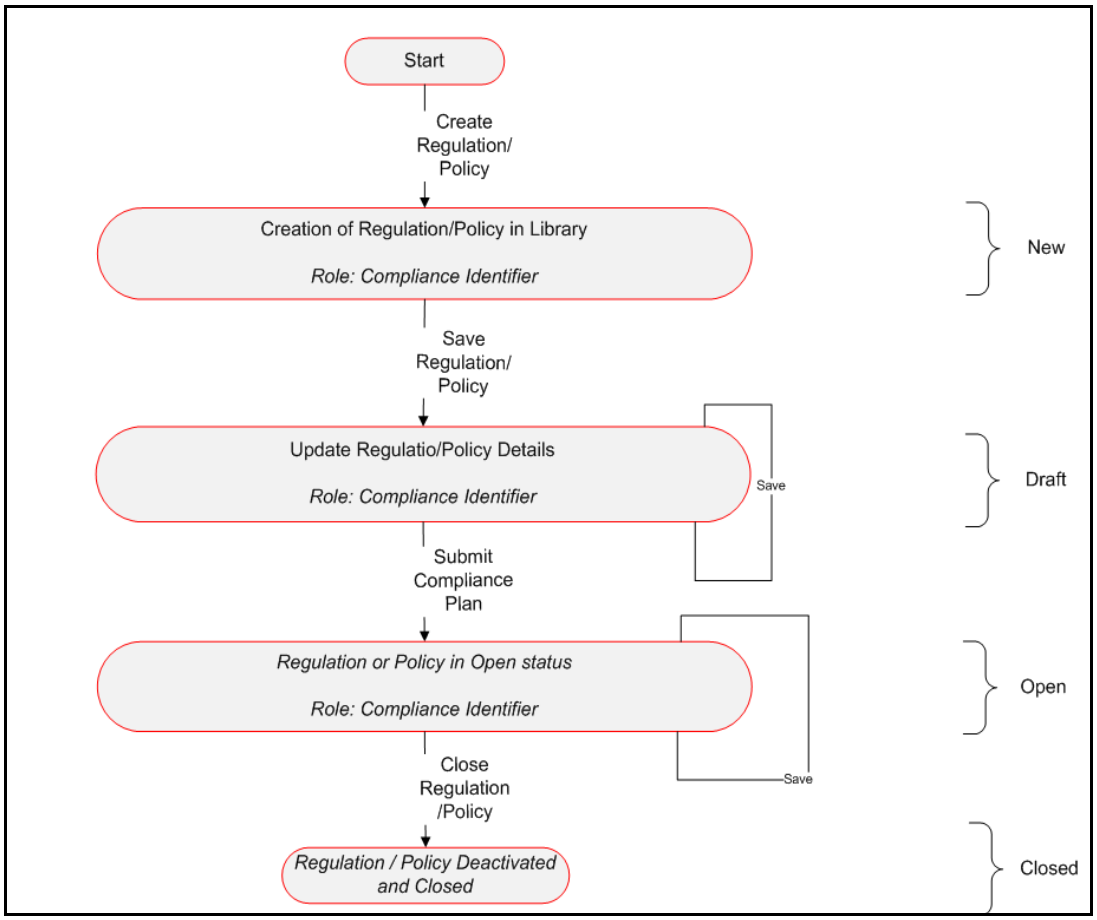



**Figure 284. Regulations or Policies Workflow**

## Accessing Regulations or Policies Menu

This section explains how to access the Regulations or Policies section in Oracle Financial Services Operational Risk application.

To access the Regulations or Policies section, follow these steps:

1. Login to the OFSOR application as Compliance Identifier. The OFSOR Home page is displayed.
2. Hover over the **Compliance** primary menu and click **Regulations/Policies**. The Regulations or Policies Search and List page is displayed.

## Searching Regulations or Policies

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

This section explains the following topics:

- Searching Regulations or Policies Using Basic Search
- Searching Regulations or Policies Using Advanced Search
- Searching Regulations or Policies Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Regulations or Policies Using Basic Search

This search is based on limited set of search criteria. It helps you to retrieve the relevant Regulation or Policy details.

To search for Regulations or Policies using the Basic Search, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.

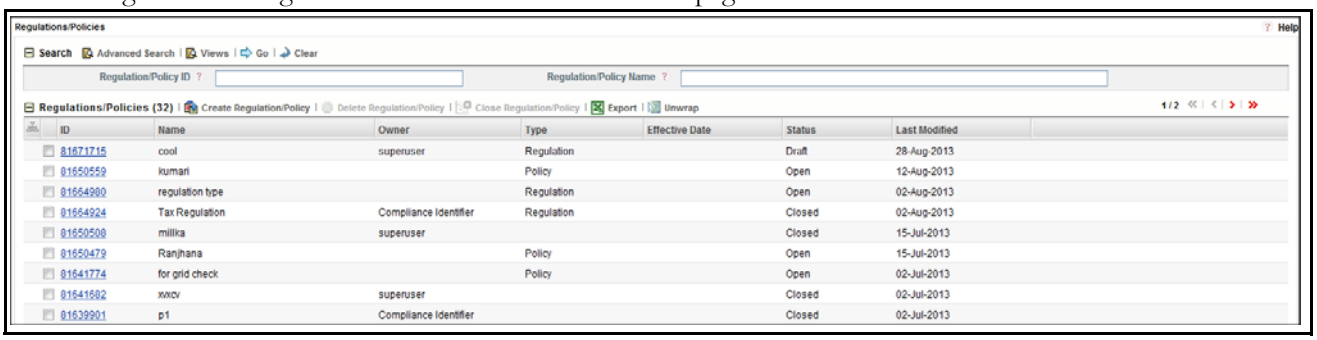



**Figure 285. Searching Regulations or Policies Using Basic Search**

**Note:** By default, the Regulations or Policies Search and List page displays all Regulations or Policies details.

2. Enter the search criteria to filter the Regulations or Policies list.

   The following table provides a list of search fields.

**Table 166. Criteria for Basic Search**

| Criteria | Description |
|---|---|
| Regulations or Policies ID | Enter the sequential tracking number of the Regulations or Policies.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Regulations or Policies Name | Enter the name of the Regulations or Policies.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

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

### Searching Regulations or Policies Using Advanced Search

Advanced search provides more specific search capabilities. It offers the same search fields as provided for a basic search along with an expanded set of additional fields. If you know most of the Regulation or Policy details such as ID, Name, Status, and so on, then you can filter the Regulations or Policies using Advanced Search.

To search for Regulations or Policies using Advanced Search, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields expand.




**Figure 286. Searching Regulations or Policies Using Advanced Search**

3. Enter the search criteria to filter the Regulations or Policies list.

   The following table provides a list of search fields that display in the Regulations or Policies Advanced Search section.

**Table 167. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Regulations or Policies ID | Enter the sequential tracking number of the Regulations or Policies.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Regulations or Policies Name | Enter the name of the Regulations or Policies.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Type | Select Regulations or Policies from the Type drop-down list. |
| Owner | Select the owner from the hierarchy browser. The owner is responsible for reviewing or overseeing the Regulation or Policy. |
| Effective Date | Select the equality option from Equality Operator drop-down list (“<", "<=", "=", ">", ">="). Select date from Calendar. This helps you to search the Regulations or Policies with effective date as specified. |

**Table 167. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Last Modified | Select the equality option from Equality Operator drop-down list ("<", "<=", "=", ">", ">="). Select date from Calendar. This helps you to search the Regulations or Policies with Last Modified date as specified.<br>**Validations:**<br>If the date entered in Last Modified >= is later than the date entered in Last Modified <=, the application displays the following message: *Please verify the range selected in Last Modified Date.* |
| Status | Select the Regulations or Policies status from the drop-down list.<br>Following are the possible options for status drop-down list:<br>● Draft<br>● Open<br>● Closed<br>● Select all<br>**Note:** You can select more than one option. |

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

   **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.*

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

### Searching Regulations or Policies Using Pre-defined Views

Views search represents pre-populated search queries and helps you to filter the Regulations or Policies based on the pre-defined views.

To search Regulations or Policies using pre-defined views, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click **Views**. The Views drop-down list is displayed.




**Figure 287. Searching Regulations or Policies Using 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 different types of pre-defined views available.

**Table 168. Regulations or Policies Views**

| Views | Description |
|---|---|
| Closed Regulations | Select *Closed Regulations* from the views drop-down list to display Regulations which are in Closed status. |
| Closed Policies | Select *Closed Policies* from the views drop-down list to display Policies which are in Closed status. |
| My Regulations or Policies | Select *My Regulations or Policies* from the views drop-down list to display Regulations or Policies which are assigned to the log ed in user in descending order of the last modified date. |

**Note:** These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search features, it is listed in this drop-down list.

## Creating Regulations or Policies

Whenever government bodies or financial institutions introduce new regulations or policies, the Compliance Identifier captures the details of such regulations or policies in OFSOR which are applicable to the organization.

To create Regulations or Policies, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click **Create Regulations or Policies**. The Regulations or Policies Definition page is displayed.

   The status of the Regulations or Policies is displayed as *New*.




**Figure 288. Regulations or Policies Definition Page**

3. Enter the following information in the Regulations or Policies Definition page.

   The following table describes the fields of the Regulations or Policies Definition page:

**Table 169. Common Fields of Regulations or Policies Definition Page**

| Field | Description |
|---|---|
| Name | Enter the name of the Regulations or Policies.<br>This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Regulations or Policies details without entering the Regulations or Policies name, the application displays the following message: *Please enter the Regulations or Policies Name.* |
| ID | Displays the sequential tracking number of the Regulations or Policies.This is an auto-generated unique identification number and cannot be modified |

**Table 169. Common Fields of Regulations or Policies Definition Page**

| Field | Description |
|---|---|
| Description | Enter a brief description of the Regulations or Policies.<br>The description field in the Regulations or Policies Definition page allows entering a maximum of 3000 characters.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Type | Select whether Regulation or Policy from the Type drop-down list. You can create either a Regulation or Policy, but not both at a time. If you select Regulation, the fields pertaining to Regulation expand below this field. Same is applicable if you select Policy. |

The following table describes the fields of the Regulations page**:**

**Table 170. Fields of Regulations**

| Fields | Description |
|---|---|
| Regulator | Select a regulator from hierarchy browser. This gives information of the Regulatory Authority who has initiated this regulation. |
| Category | Select a category from hierarchy browser. This gives the details of category of the regulation, whether this regulation is related to Banking, Insurance, and so on. |
| Regulation Number | Enter the Regulation Issuance Number. This allows you to enter up to 30 alphanumeric characters. |
| Issuance Date | Select the date from calendar. This is the date on which regulation is issued.<br>**Note:** Select the date lesser than or equal to system date. Otherwise, the application displays the following message: *Issuance date should be less than or equal to system date*. |
| Effective From | Select date from calendar. This is the date on which regulation turned effective.<br>**Note:** Select the date greater than or equal to issuance date. Otherwise, the application displays the following message: *Effective date should be greater than Issuance date*. |
| Review Cycle | Select the review cycle from the drop-down list. For example, Yearly, Half Yearly, or Quarterly. This gives the frequency of reviewing the regulation. |
| Owner | Select the owner from the hierarchy browser. The owner is responsible for reviewing or overseeing the regulation. |
| Potential Penalty | Select the currency from the drop-down list. Enter the penalty for not being compliant. You can enter up to 300 digits.<br>**Note:** If you try to enter more than 300 digits, the application displays the following message: Number of digits exceeded. |
| Regulation Updates | Enter the latest updates of the regulation. You can enter up to 3000 characters.<br>If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |

**Table 170. Fields of Regulations**

| Fields | Description |
|---|---|
| Questionnaire | Select the questionnaire from the hierarchy browser. Questionnaires are created for regulation assessment. You can find the list of the questionnaires in the hierarchy browser. If there will be any update/change in questionnaire, that update/change will reflect here.<br>**Note:** The hierarchy browser displays the list of questionnaires (with Open status) which are created for Obligation Assessment purpose from Questionnaire Details page. For more information, refer to Creating Questionnaire section of Questionnaire module. |
| Respondents | Select the Respondents for assessment using the Hyperlink. After linking the respondents using the Hyperlink, the count of respondents will reflect to selected Questionnaire. You can view these changes in Questionnaire module.<br>**Note:** This field will be automatically updated, if the Regulation for Assessment is linked to Questionnaire and Questionnaire respondent linked/delinked sent from Questionnaire module. For more information, refer to Linking Entities section of Questionnaire module. |

The following table describes the fields of the Policies page:

**Table 171. Fields of Policies**

| Fields | Description |
|---|---|
| Owner | Select the owner from the hierarchy browser. The owner is responsible for reviewing or overseeing the policy. |
| Issuing Department | Select an issuing department from the drop-down list. For example, Loans, Insurance, and so on. |
| Category | Select a category from hierarchy browser. This gives the details of category of the policy, whether this policy is related to Banking, Insurance, and so on. |
| Policy Number | Enter the Policy number. You can enter up to 30 alphanumeric characters.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Review Cycle | Select the review cycle from the drop-down list. For example, Yearly, Half Yearly, or Quarterly. This gives the frequency of reviewing the policy. |
| Effective From | Select a date from calendar. This is the date on which policy turned effective.<br>**Note:** Select the date greater than or equal to issuance date. Otherwise, the application displays the following message: *Effective date should be greater than Issuance date*. |
| Questionnaire | Select the questionnaire from the hierarchy browser. These questionnaires are created for policy assessment. |
| Policy Updates | Enter the latest updates of the policy. You can enter up to 3000 characters.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |

**Table 171. Fields of Policies**

| Fields | Description |
|---|---|
| Questionnaire | Select the questionnaire from the hierarchy browser. These questionnaires are created for policy assessment. If there will be any update/change in questionnaire, that update/change will reflect here.<br>The hierarchy browser displays the list of questionnaires (with Open status) which are created for Obligation Assessment purpose from Questionnaire Details page. For more information, refer to Creating Questionnaire section of Questionnaire module |
| Respondents | Select the Respondents for assessment using the Hyperlink. After linking the respondents using the Hyperlink, the count of respondents will reflect to selected Questionnaire. You can view these changes in Questionnaire module.<br>This field will be automatically updated, if the Policy for Assessment is linked to Questionnaire and Questionnaire respondent are linked/delinked from Questionnaire module. For more information, refer to Linking Entities section of Questionnaire module. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The status of the Regulations or Policies changes to *Draft*.

### Submitting a Regulations or Policies in Draft Status

You may choose not to submit the Regulations or Policies details while creating a new one and saved it as a draft. You can submit the same Regulations or Policies details by entering all mandatory fields.

To submit the Regulations or Policies, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click the Regulations or Policies ID in *Draft* status. The Regulations or Policies Details page is displayed.

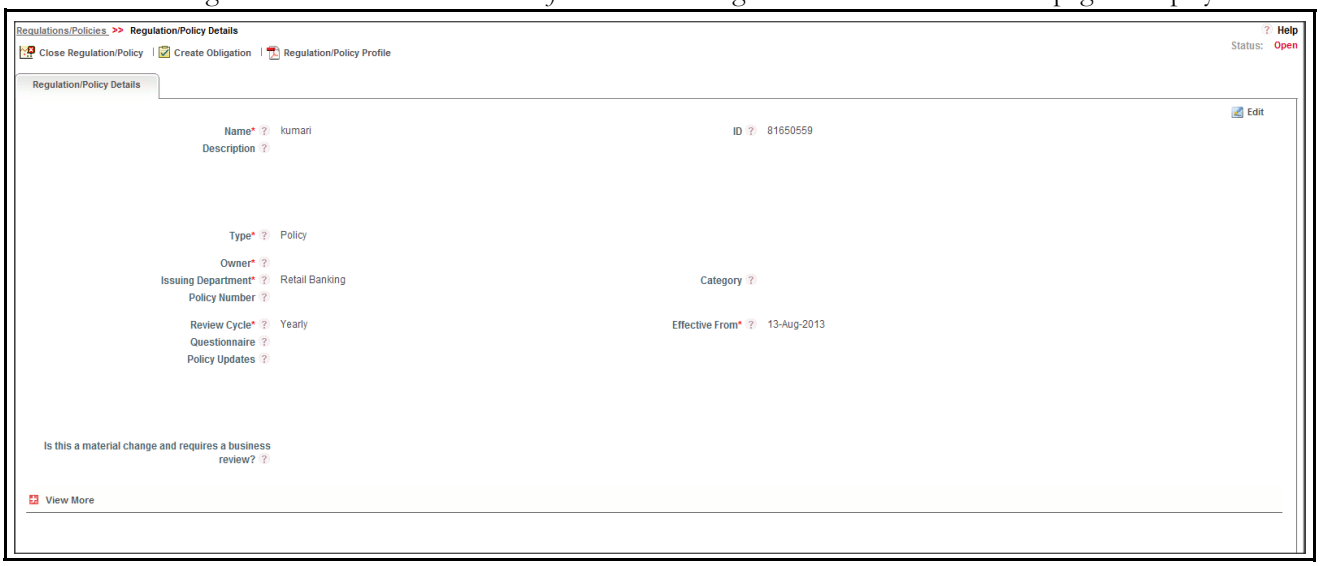



**Figure 289. Regulations or Policies Details Page**

The Regulations or Policies Details page allows you to perform the following tasks in *Draft* status:

- Editing Regulations or Policies details
- Viewing the Workflow History of Regulations or Policies
- Attaching and deleting documents related to Regulations or Policies

- Viewing Regulations or Policies Profile Report

For more information on these tasks, refer to *Managing Regulations or Policies Details* section.

3. Click **Edit**. The Regulations or Policies page is enabled to modify the information.
4. Modify the necessary information, for more details on field description, refer *Table 170 or Table 171*.
5. Click **Update**. The information is updated.
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Warning:** To submit Regulations or Policies, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*
7. Click **OK**. The status of the Regulations or Policies changes to *Open*. A notification is sent to the Obligation Identifier for further actions.

The Regulations or Policies Details page allows you to perform the following tasks in *Open* status:

- Editing Regulations or Policies details
- Viewing applicable business units linked to Regulations or Policies
- Linking and delinking Obligation Libraries to a Regulations or Policies
- Viewing the Workflow History of Regulations or Policies
- Attaching and deleting documents related to Regulations or Policies
- Creating Obligation
- Closing Regulations or Policies
- Viewing Regulations or Policies Profile Report

For more information on these tasks, refer to *Managing Regulations or Policies Details* section.

## Managing Regulations or Policies Details

This page allows you to manage various tabs and functionalities pertaining to the Regulations or Policies.

The Regulations or Policies Details tab is displayed in both Draft and Open status. This tab displays complete information about the Regulations or Policies.

This section discusses the following topics:

- Editing Regulations or Policies Details
- Viewing Impacted Businesses
- Managing Obligations
- Attaching and Deleting Documents
- Viewing Workflow History
- Creating Obligations
- Viewing Regulations or Policies Profile Report

## Editing Regulations or Policies Details

This section describes how to edit and update existing Regulations or Policies. You can edit an Regulations or Policies from the Regulations or Policies Details page.

This section covers following topics:

- Editing Regulations or Policies in Draft Status
- Editing Regulations or Policies in Open Status

### *Editing Regulations or Policies in Draft Status*

To edit Regulations or Policies in Draft status, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click Regulation or Policies ID in Draft status. The Regulations or Policies Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Regulations or Policies Details page.

   **Note:** If the status of the Regulation or Policy is *Draft* then the Documents and Workflow History sections are enabled.

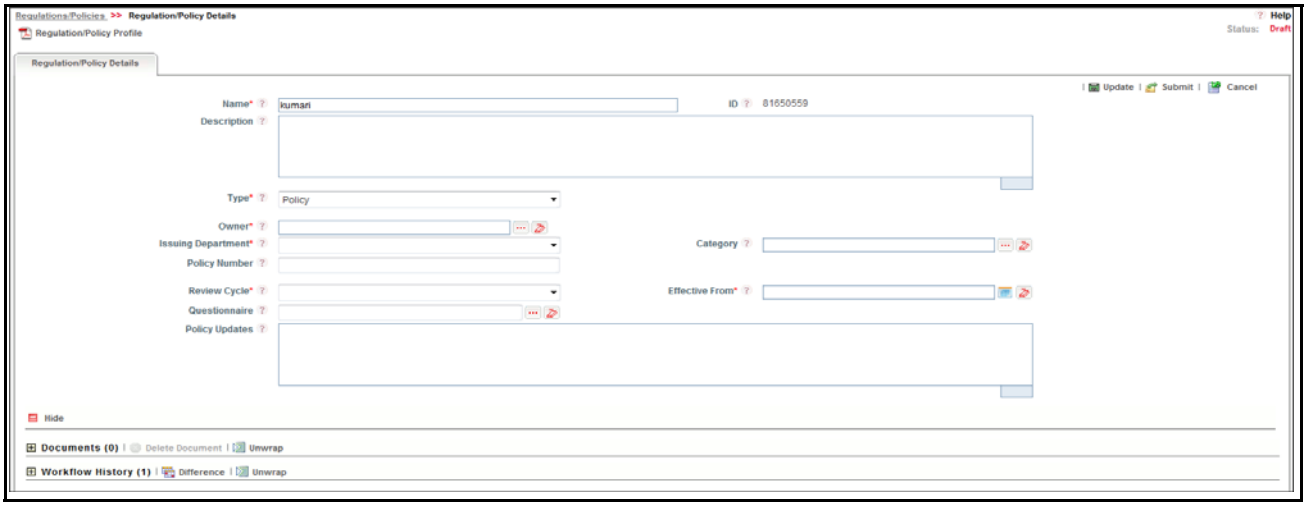



**Figure 290. Editing Regulations or Policies Details in Draft Status**

4. Modify the necessary information. For more information on fields, refer to *Table 170 or Table 171*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Or, click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit the Regulations or Policies Details, it is necessary to enter all mandatory fields.
6. Click **OK** to confirm the changes. The updated Regulations or Policies Details page is displayed.

### *Editing Regulations or Policies in Open Status*

To edit Regulations or Policies in Open status, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.

2. Click Regulations or Policies ID in Open status. The Regulations or Policies Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Regulations or Policies Details page.

   **Note:** If the status of the Regulations or Policies is *Open* then the **Is this a material change and requires a business review?** field is enabled along with the Documents, Workflow History, Applicable Businesses, and Obligations sections.

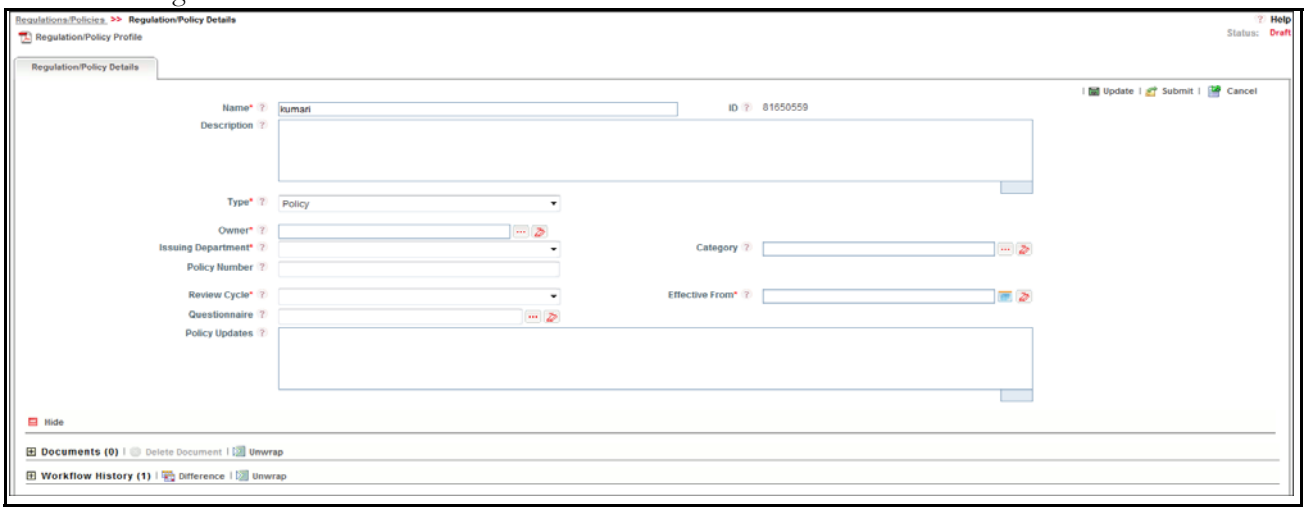



**Figure 291. Editing Regulations or Policies Details in Open Status**

4. Modify the necessary information. For more information on fields, refer to *Table 170 or Table 171*.
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Regulations or Policies Details page is displayed.

### Viewing Impacted Businesses

There are instances wherein certain Regulations or Policies are valid only for a certain line of business.

The Regulations or Policies Details page allows you to view Impacted Businesses details in *Open* status.

To view Impacted Businesses, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click Regulations or Policies **ID**. The Regulations or Policies Details page is displayed.
3. Click **View More**. The Impacted Businesses linked to the Regulations or Policies list is displayed.

### Managing Obligations

This section explains following topics:

- Linking and Delinking Obligations
- Viewing Review Updates

#### *Linking and Delinking Obligations*

There are instances wherein certain Regulations or Policies are valid only for certain Obligation Libraries. In such cases, the Regulations or Policies can be mapped to those Obligation Libraries.

For more details on linking and delinking Obligation Libraries, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### *Viewing Review Updates*

This section explains how to view the comments recorded after reviewing the material changes of the Regulations or Policies.

To view Review Updates, follow these steps:

1. Navigate to the Regulations or Policies Details page.
2. Click **View More**. The Obligation Libraries section is displayed.
3. Select **ID** and click **View Review Updates**. The View Review Updates window is displayed with all previous comments recorded after reviewing the material changes of the Regulation or Policy.

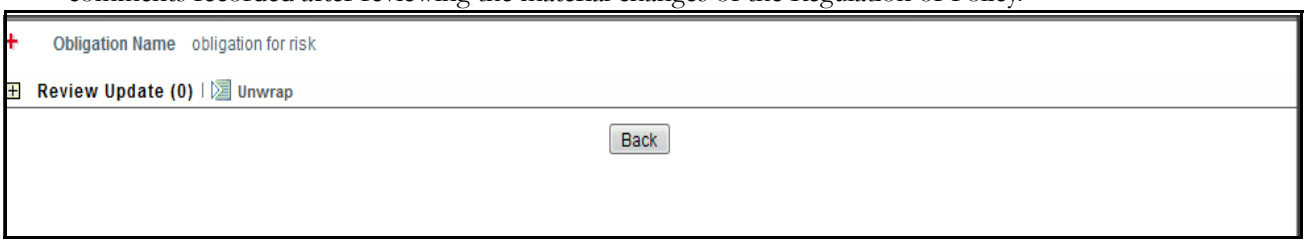



**Figure 292. View Review Updates Window**

### Attaching and Deleting Documents

The Regulations or Policies Details page allows you to attach or delete documents related to Regulations or Policies. Users mapped to the role of Compliance Identifier can attach and delete documents related to Regulations or Policies section.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

### Viewing Workflow History

The Regulations or Policies Details page shows the audit trail of all changes made to the Regulations or Policies. Users mapped to the role of Compliance Identifier can view the workflow history.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

### Creating Obligations

It is the responsibility of the financial institutions or banks to comply with the Regulations or Policies (set for itself). To comply with Regulations or Policies, financial institutions, or banks must create obligations which fulfill the objectives of Regulations or Policies requirements.

The Obligation can be created from the Regulations or Policies section if the Compliance Identifier is mapped to the role of Obligation Identifier.

**Note:** Regulations or Policies must be in Open status to create an Obligation.

To create an Obligation for Regulations or Policies, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.

2. Click a Regulations or Policies ID in Open status. The Regulations or Policies Details page is displayed.
3. Click **Create Obligation**. The Obligation Details page is displayed.

   For more information on how to create Obligations, refer to *Creating Obligation* section.

   The Obligation created from the Regulations or Policies section is automatically linked to the Regulations or Policies for which the Obligations are created.

### Viewing Regulations or Policies Profile Report

The Regulations or Policies Profile Report gives a current snapshot of the Regulations or Policies details.

You can view the complete details of a particular Regulation or Policy in a PDF.

To view the Regulations or Policies details in a PDF, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Click **Regulations or Policies ID**. The Regulations or Policies Details page is displayed.
3. Click **Regulations or Policies Profile**. A File Download Box is displayed.

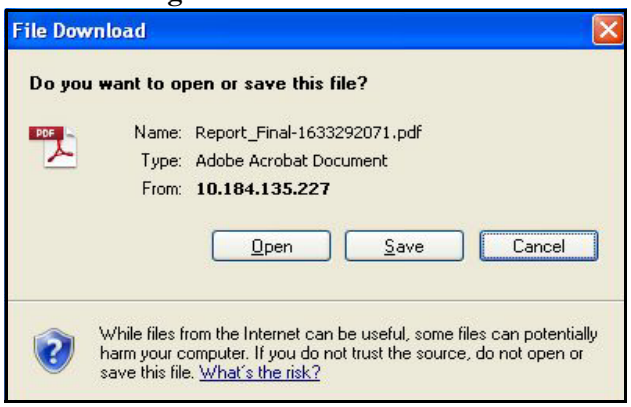



**Figure 293. File Download Box**

4. Click **Open**. A PDF report is generated.

## Deleting Regulations or Policies

When an organization believes that a certain Regulation or Policy has been drafted incorrectly or not required, they may be deleted. The Regulations or Policies Search and List page allows you to delete Regulations or Policies.

Users mapped to the role of Compliance Identifier can delete Regulations or Policies in *Draft* status.

To delete Regulations or Policies, follow these steps:

1. Navigate to the Regulations or Policies Search and List page.
2. Select the check box of the Regulations or Policies in Draft status.
3. Click **Delete Regulations or Policies**. 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 Regulations or Policies Search and List page.

## Closing Regulations or Policies

If the Regulations or Policies are no longer required, you can close them in Open status. You can close Regulations or Policies either from the Regulations or Policies Search and List page or from the Regulations or Policies Details page.

**Note:** All linked Obligations should be delinked before Regulations or Policies are closed.

To close Regulations or Policies, follow these steps:

1. Navigate to the Regulations or Policies Search and List page. Select the Regulation or Policy in Open status. Click **Close Regulations or Policies**. The Reasons for Closure window is displayed.

   Or

   Click a Regulations or Policies ID in Open status that you want to close. The Regulations or Policies Details page is displayed. Click **Close Regulations or Policies**. The Reasons for Closure window is displayed.




**Figure 294. Reason for Closure**

2. Enter the reasons for closure of the Regulation or Policy. You can enter text up to 3000 characters.

   **Note:** It is mandatory to enter a reason for closure.

   **Note:** If you submit a Regulation or Policy for closure without entering any comments, the following validation message is displayed: *Please enter the reason for closure.* Click **OK**. You are taken back to the window, where you can enter the necessary details and close the Regulation or Policy.

3. Click **Close**. The following message is displayed*: Update Operation Successful.* The system refreshes and displays the Regulations or Policies Search and List page.

## Exporting Regulations or Policies List

Exporting the Regulations or Policies List allows the organization to have a compiled list of all applicable Regulations or Policies.

The Regulations or Policies Search and List page allows you to export the details of the Regulations or Policies. The Regulations or Policies details can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

# Managing Obligation Library

This section provides detailed information about the Obligation Library in the Compliance module of Oracle Financial Services Operational Risk application and step-by-step instructions to use this section.

This section covers following topics:

- About Obligation Library
- User Roles and Actions
- Tasks and Notifications
- Obligation Library Workflow
- Accessing Obligation Library Menu
- Searching Obligation Library
- Creating Obligation
- Managing Obligation Library Details
- Deleting Obligation Library
- Closing Obligation Library
- Exporting Obligations Library List

## About Obligation Library

It is the responsibility of the financial institutions to comply with the regulations or Policies (set for itself). To comply with regulations or policies, banks set obligations or activities which ensure that the financial institutions adhere to the requirements of the regulation or policies.

The Compliance module allows you to capture new obligations and maintain a repository. This also helps to map with the regulations or policies to these newly created obligations.

### Salient Features

The Obligations provides the following features to help organizations manage their risk:

- Provides an ability for financial institutions to capture Obligations
- Localizes Impacted Businesses
- Maps Obligations to a selected regulation or policy
- Generates Obligations report
- Exports Obligations

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

This section is designed for users mapped to the role of Obligation Identifier. This user manages the entire process involved in Obligation Library. The Obligation Identifier creates, edits, deletes, and closes Obligations and also links and delinks Regulations or Policies.




**Figure 295. User Roles and Actions**

### Actions

The Obligation Library section allows an Obligation Identifier to perform the following actions in the application:

- **Creating Obligation**: This action allows users to create a new Obligation. Once users create Obligations they can save as draft or submit the details. They can also map or delink obligations to Regulations or Policies, and attach or delete the documents.
- **Editing Obligation**: This action allows users to edit and update the Obligation details in Draft or in Open status.
- **Reviewing Obligation**: This action allows users to review and update the Obligation details in Review status
- **Closing Obligation**: If the Obligations are no longer required, a user can close them in Open status.
- **Deleting Obligation**: When an organization believes that a certain Obligation has been drafted incorrectly or not required, users can delete such Obligations.
- **Exporting Obligation**: The Exported Obligation report allows the organization to have a compiled list of all applicable Obligations. This action allows users to export the details of the Obligation.

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the section. 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 users will receive in their Inbox menu on performing a particular action.

**Table 172. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| On updating Obligation with material changes | Task | Obligation reviewed with material changes | Risk Owner, Compliance Owner | Open |
| On updating Obligation with material changes | Notification | Notify Obligation - Obligation reviewed with material changes | Obligation Owner, Control Owner, Questionnaire Owner, Incident Owner, Scenario Identifier, Process Owner | Open |

## Obligation Library Workflow

The following figure explains the Obligation Library workflow:

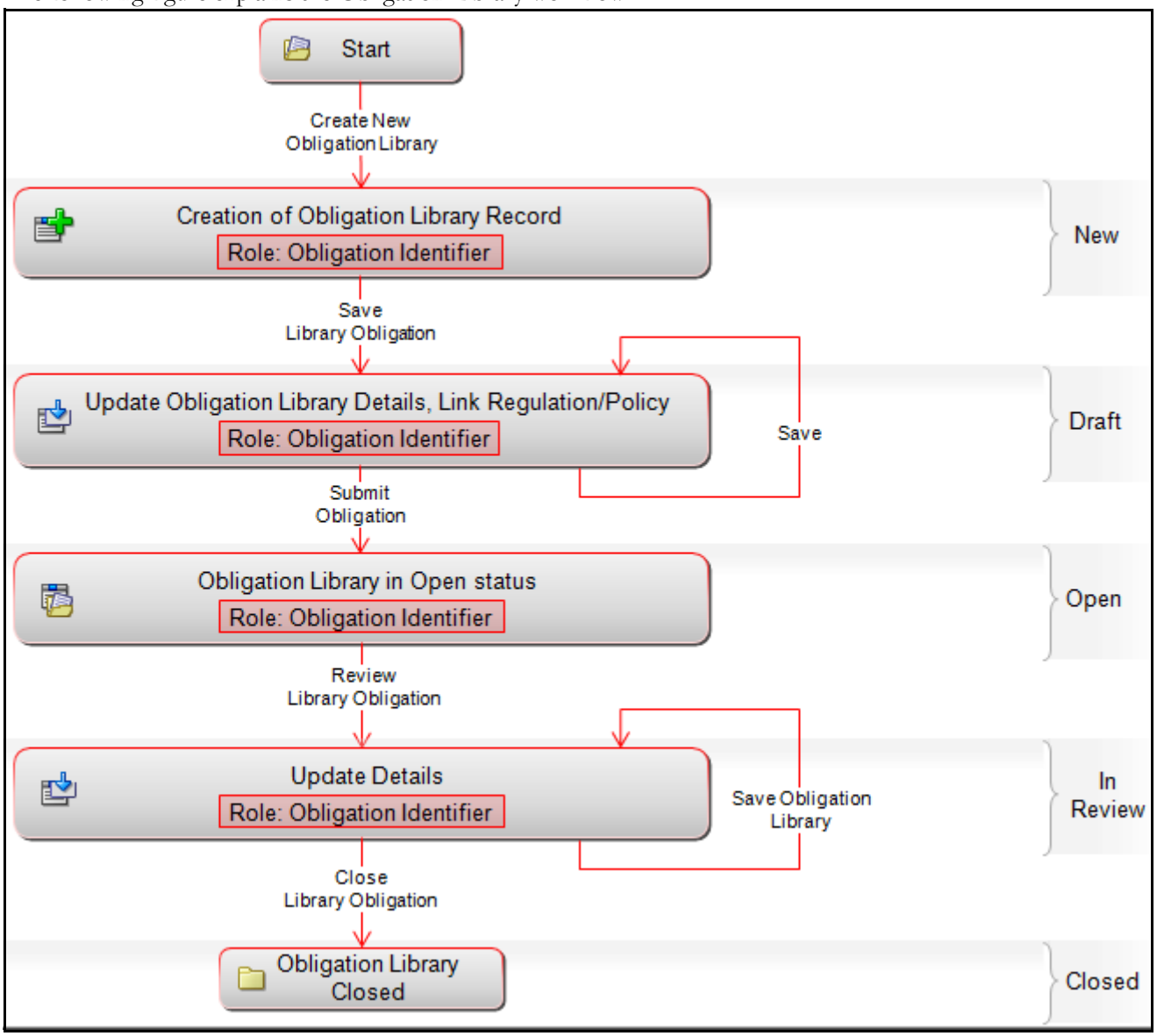



**Figure 296. Obligation Library Workflow**

## Accessing Obligation Library Menu

This section explains how to access the Obligation Library section in Oracle Financial Services Operational Risk application.

To access the Obligation Library section, follow these steps:

1. Login to OFSOR application as an Obligation Identifier. The OFSOR Home page is displayed.
2. Hover over the **Compliance** primary menu and click **Obligation Library**. The Obligation Library Search and List page is displayed.

## Searching Obligation Library

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

This section explains the following topics:

- Searching Obligation Library Using Basic Search
- Searching Obligation Library Using Advanced Search
- Searching Obligations Using Pre-defined Views

### Searching Obligation Library Using Basic Search

This search is based on a limited set of search criteria. It helps you to retrieve the relevant Obligation details.

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

1. Navigate to the Obligation Library Search and List page.

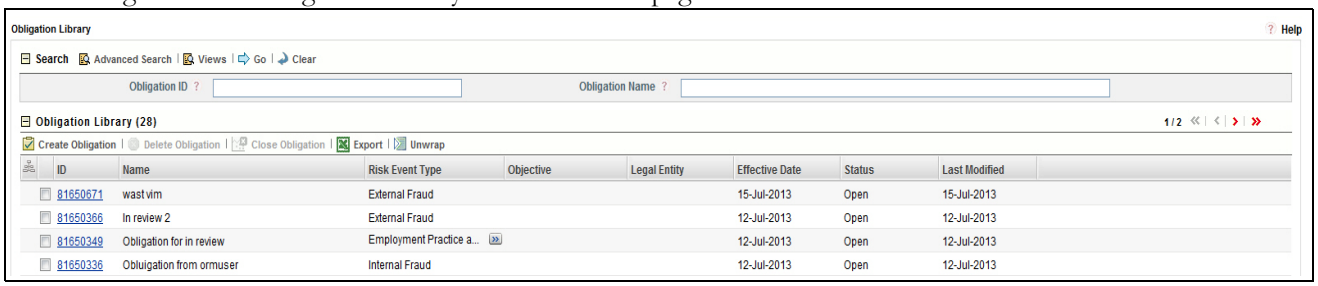



**Figure 297. Searching Obligation Library Using Basic Search**

**Note:** By default, the Obligation Library Search and List page displays all details.

2. Enter the search criteria to filter the Obligations list.

   The following table provides a list of search criteria.

**Table 173. Criteria for Basic Search**

| Criteria | Description |
|---|---|
| Obligation ID | Enter the sequential tracking number of the Obligation.<br>This field allows you to enter a maximum of 30 digits and supports wildcard search. |
| Obligation Name | Enter the Name of the Obligation.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

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

### Searching Obligation Library Using Advanced Search

Advanced search provides a more specific search. It offers the same search fields as provided for a simple search along with additional fields. If you know most of the Obligation Library details such as ID, Name, Status, and so on, then you can filter the Obligation Library details using the Advanced Search.

To search for Obligation Library details using the Advanced Search, follow these steps:

1. Navigate to the Obligation Library Search and List page.
2. Click **Advanced Search** from the search section. The Advanced Search fields expand.




**Figure 298. Searching Obligation Library Using Advanced Search**

3. Enter the search criteria to filter the Obligations list.

   The following table provides a list of search criteria that display in the Obligation Advanced Search section.

**Table 174. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Obligation ID | Enter the sequential tracking number of the Obligation.<br>This field allows you to enter a maximum of 30 digits and supports wildcard search. |
| Obligation Name | Enter the Name of the Obligation.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Owner | Select the Owner from the hierarchy browser. The owner is responsible for reviewing or overseeing the Obligations. |
| Risk Event Type | Select a type of risk event from the hierarchy browser to display the list of controls of the specified risk event type. For example, the risk event types can be External Fraud, Internal Fraud, and so on. |
| Effective Date | Select the equality option from Equality Operator drop-down list ("<", "<=", "=", ">", ">="). Select date from calendar. This helps you to search the Obligation Library with effective date as specified. |

**Table 174. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Last Modified | Select the equality option from Equality Operator drop-down list ("<", "<=", "=", ">", ">="). Select date from calendar. This helps you to search the Obligation Library with Last Modified date as specified.<br><br>**Validations:**<br>If the date entered in Last Modified >= is later than the date entered in Last Modified <=, the application displays the following message: *Please verify the range selected in Last Modified Date.* |
| Status | Select the Obligation Library status from the drop-down list.<br>Following are the possible options for status drop-down list:<br>● Select all<br>● Draft<br>● Open<br>● In Review<br>● Closed<br>**Note:** You can select more than one option. |

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

   **Note:** If there are no matched details with the given search criteria then an Alert 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 that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: Managing Issues and Actions, Saving a Search* section.

### Searching Obligations Using Pre-defined Views

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

To search an Obligation Library using pre-defined views, follow these steps:

1. Navigate to the Obligation Library Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

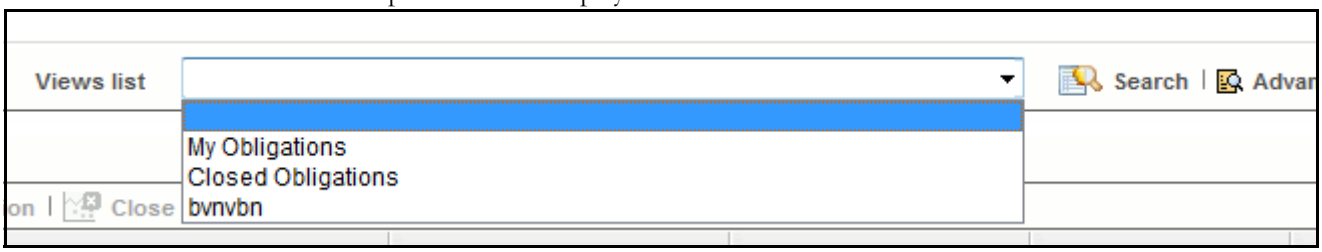



**Figure 299. Searching Obligation Library Using Views**

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 different types of pre-defined views available.

**Table 175. Obligation Library Views**

| Views | Description |
|---|---|
| My Obligations | Select *My Obligations* from the views drop-down list. This list shows all Obligations assigned to the user, which are in descending order of the last modified date. |
| Closed Obligation | Select *Closed Obligation* from the views drop-down list. This list shows all Obligations in closed status, which are in descending order of the last modified date. |

**Note:** These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down list.

## Creating Obligation

To comply with the Regulations or Policies set by the regulators or financial institution, it becomes necessary to create new obligations. An Obligation Library Search and List page allows you to create new Obligations.

To create an Obligation, follow these steps:

1. Navigate to the Obligation Library Search and List page.
2. Click **Create Obligation**. The Obligation Definition page is displayed.

   The status of the Obligation is displayed as *New*.

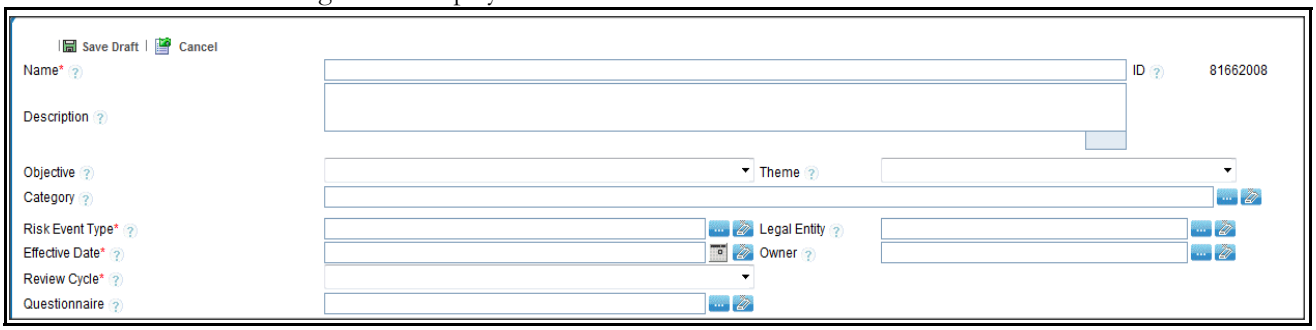



**Figure 300. Obligation Definition Page**

3. Enter the following information in the Obligation Definition page.

   The following table describes the fields of the Obligation Definition page:

**Table 176. Fields of Obligation Library Definition Page**

| Field | Description |
|---|---|
| Name | Enter the name of the Obligation.<br>This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to enter more than 300 characters in the Name field, the application displays the following message: *Number of characters exceeded.* |
| ID | Displays the sequential tracking number of the Obligation. This is an auto-generated unique identification number and cannot be modified. |

**Table 176. Fields of Obligation Library Definition Page**

| Field | Description |
|---|---|
| Description | Enter a brief description of the Obligation.<br>The description field in the Obligation Definition page allows entering a maximum of 3000 characters.<br>**Note:** If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded*. |
| Objectives | Select the Obligation objectives from the drop-down list. For example, Customer Satisfaction, General Business Requirements, and so on. |
| Theme | Select the Obligation theme from the drop-down list. For example, Licenses, Insurance, Investment Management Risk, and so on. |
| Category | Select the Category of the Obligation from the hierarchy browser. For example, Insurance, Banking, and so on). |
| Risk Event Type | Select the Risk Event Type of the Obligation from the hierarchy browser. For example, External fraud, Internal fraud, and so on. |
| Legal Entity | Select the Legal Entity value from the hierarchy browser. The Legal Entity is the legal jurisdiction in which the organization is operating. |
| Effective From | Select date from calendar. This is the date on which Obligation becomes effective.<br>**Note:** Select the date greater than or equal to issuance date. Otherwise, the application displays the following message: *Effective date should be greater than Issuance date*. |
| Review Cycle | Select the Review Cycle from the drop-down list. For example, Yearly, Half Yearly, or Quarterly. This gives the frequency of reviewing the Obligation. |
| Owner | Select the owner from the hierarchy browser. The owner is responsible for reviewing or overseeing the Obligation. |
| Questionnaire | Select the Questionnaire from the hierarchy browser. These are the Questionnaires to assess the Obligation. If there will be any update/change in questionnaire, that update/change will reflect here.<br>**Note:** The hierarchy browser displays the list of questionnaires (with Open status) which are created for Obligation Assessment purpose from Questionnaire Details page. For more information, refer to Creating Questionnaire section of Questionnaire module. |
| Respondents | Select the Respondents using the hyperlink. These are the respondents to assess the Obligation. After linking the respondents using the Hyperlink, the count of respondents will reflect to selected Questionnaire. You can view these changes in Questionnaire module.<br>**Note**: This field will be automatically updated, if the Obligation for Assessment is linked to Questionnaire and Questionnaire respondent are linked/delinked from Questionnaire module. For more information, refer to Linking Entities section of Questionnaire module. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The status of the Obligation changes to *Draft*.

### Linking Respondent

To link the Respondent (DE or OE), follow the steps given below:

1. Click the **Hyper link** on Control Definition Page. The list of active users will display. This auto-populated list is based on the selected Business Line and Location.

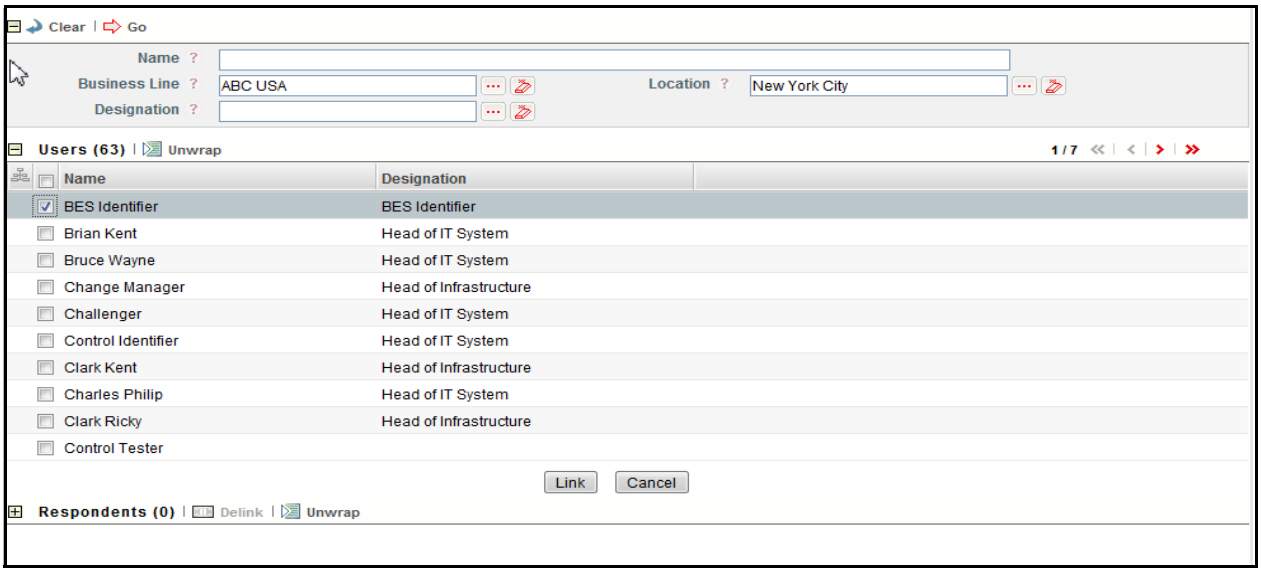



**Figure 301. Linking the Respondents**

2. Select the user and click **Link**.
3. A confirmation message is displayed. Click OK.
4. The selected user will be added in **Respondents** section.

   **Note:** You can add multiple users (respondents) at a time.

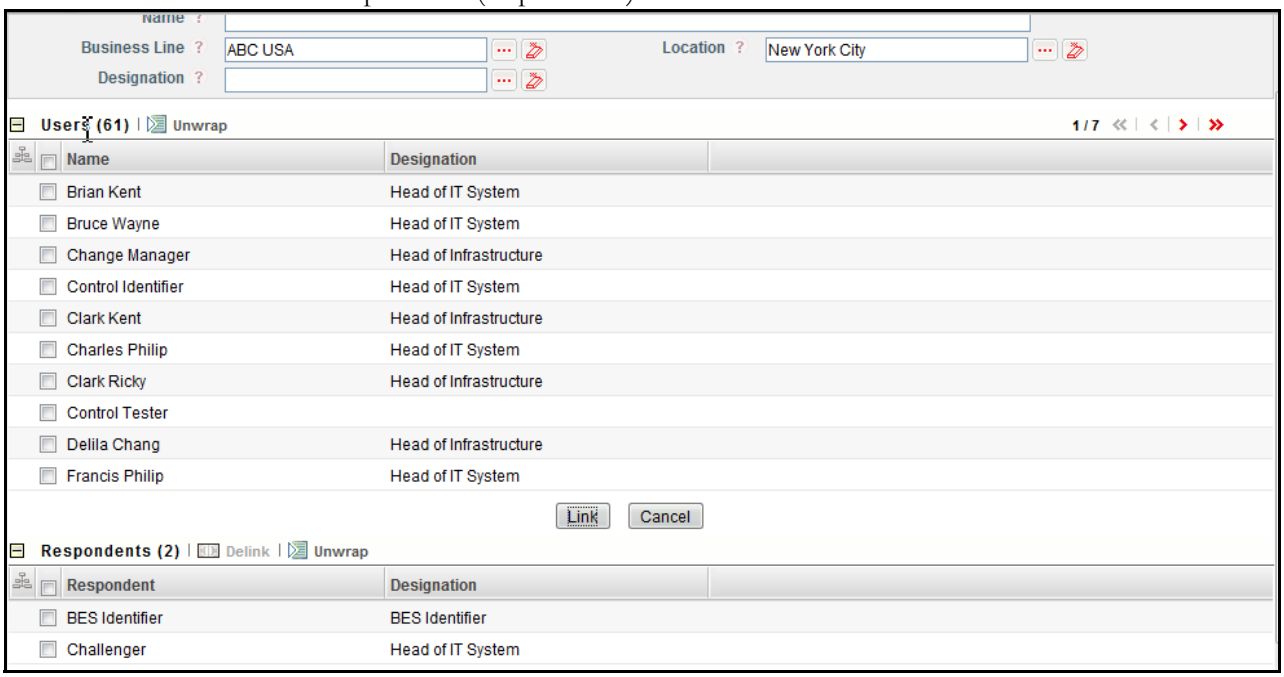



**Figure 302. Linking the Respondents**

5. You can delink the user using the **Delink** option, if required. To delink the user, select the user and click **Delink**.
6. The following message is displayed: *Are sure you want to de-link this record?* Click **OK** to continue.

7. A confirmation message is displayed: *De-link operation successful*. Click **OK**.

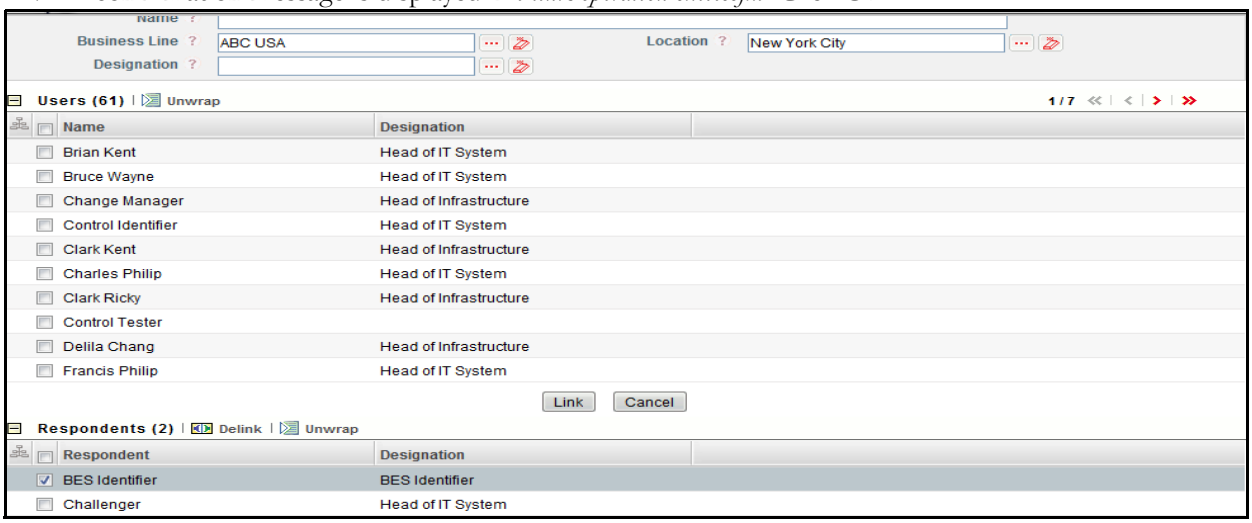



**Figure 303. Delink the Respondents**

### Submitting Obligations in Draft Status

You may choose not to submit the Obligation details while creating a new one and saved it as a draft. You can then submit the same Obligation details by entering all mandatory fields.

To submit an Obligation, follow these steps:

1. Navigate to the Obligation Library Search and List page.
2. Click the Obligation ID in *Draft* status. The Obligation Details page is displayed.




**Figure 304. Obligation Details Page**

The Obligation Details page allows you to perform the following tasks in *Draft* status:

- Editing Obligations
- Managing Regulations or Policies
- Attaching and deleting documents related to Obligations
- Viewing Workflow History
- Viewing Profile Report

For more information on above tasks, refer to *Managing Obligation Library Details* section.

3. Click **Edit**. The Obligation page is enabled to modify the information.
4. Modify the necessary information, for more details on field description, refer *Table 176* .
5. Click **Update**. The information is updated.
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Warning:** To submit an Obligation, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*
7. Click **OK**. The status of the Obligation changes to *Open*. A notification is sent to the Obligation Identifier for further actions.

The Obligation Details page allows you to perform the following tasks in *Open* status:

- Managing Impacted Business
- Managing Regulations or Policies
- Attaching and deleting documents related to Obligations
- Viewing Workflow History
- Closing a Obligations
- Viewing Profile Report

For more information on these tasks, refer to *Managing Obligation Library Details* section.

## Managing Obligation Library Details

This page allows you to manage various tabs and functionalities pertaining to the Obligations.

The Obligation Details tab is displayed in all statuses. This tab displays complete information about the Obligation.

This section discusses the following topics:

- Editing Obligation Details
- Localizing Impacted Businesses
- Managing Regulations or Policies
- Attaching and Deleting Documents
- Viewing Workflow History
- Viewing Obligation Profile Report

### Editing Obligation Details

This section describes how to edit and update the existing Obligation details. You can edit Obligation details when it is in *Draft* or *In Review* status.

This section cover following topics:

- Editing Obligation Details in Draft Status

- Editing Obligation Details in In Review Status

### *Editing Obligation Details in Draft Status*

To edit Obligation Details in Draft status, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click an Obligation ID in Draft status. The Obligation Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Obligation Details page.

   **Note:** If the status of the Obligation is *Draft* then the Regulations or Policies, Documents, and Workflow History sections are enabled.

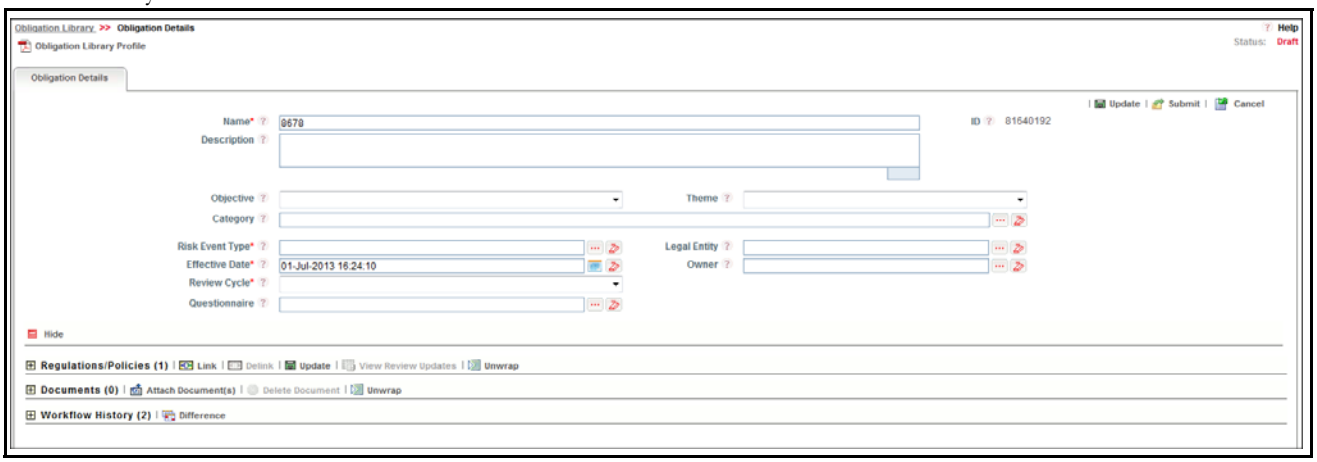



**Figure 305. Editing Obligation Details**

4. Modify the necessary information. For more information on the fields, refer to *Table 176*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.* Or, click **Submit**. The following message is displayed: *Update Operation Successful.* The status changes to *Open*.

   **Note:** To submit the Obligation Details, it is necessary to enter all mandatory fields.
6. Click **OK** to confirm the changes. The updated Obligation Details page is displayed.

### *Editing Obligation Details in In Review Status*

To edit Obligation Details in In Review status, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click Obligation ID in In Review status. The Obligation Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Obligation Details page.

**Note:** If the status of the Obligation is *In Review* then the **Is this a material change and requires a business review?** radio buttons are enabled and you can also view the Last Reviewed Date. *In Review* status allows you to work on Impacted Business, Regulations or Policies, Documents, and Workflow History sections.

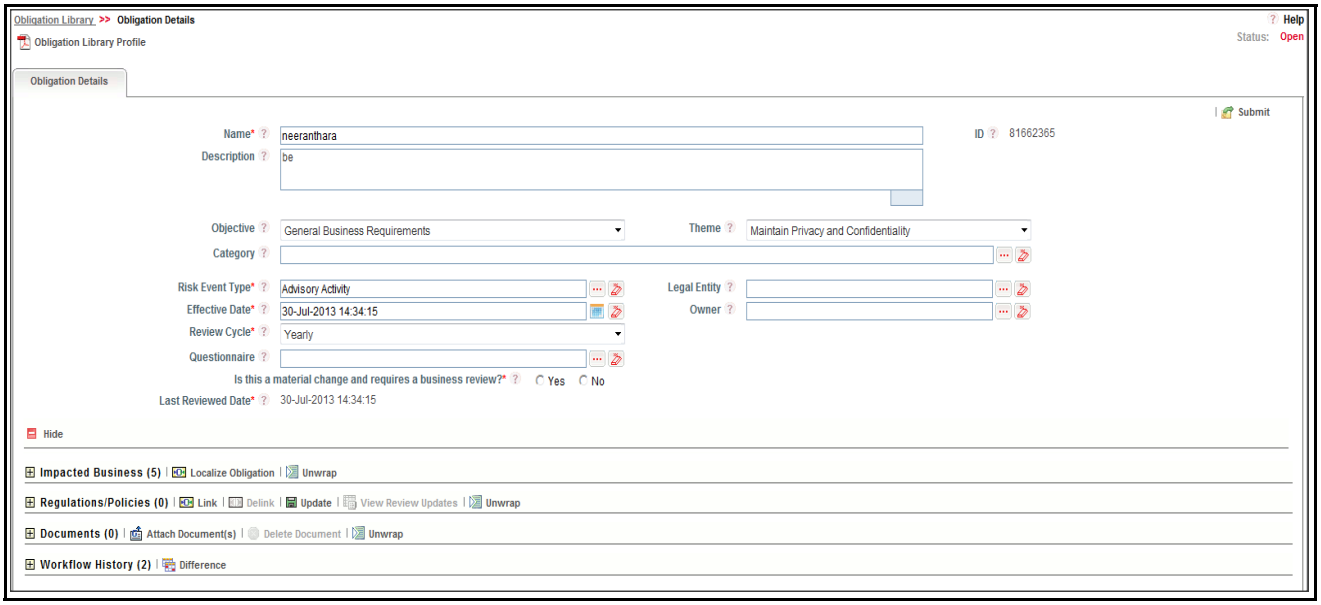



**Figure 306. Editing Obligation Details**

4. Modify the necessary information. For more information about the fields, refer to *Table 176*.
5. Click **Submit**. The following message is displayed: *Update Operation Successful*. The status changes to *Open*.
6. Click **OK** to confirm the changes. The updated Obligation Details page is displayed.

## Localizing Impacted Businesses

This section allows you to localize the Obligations to different Business Line and Location combinations.

**Note:** The Obligation should be in *Open* or *In Review* status to localize to the different Business Line and Location combinations.

To localize an Obligation to different Business Line and Location combinations, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click an Obligation **ID**. The Obligation Details page is displayed.
3. Click **View More**. The Impacted Businesses section is displayed.

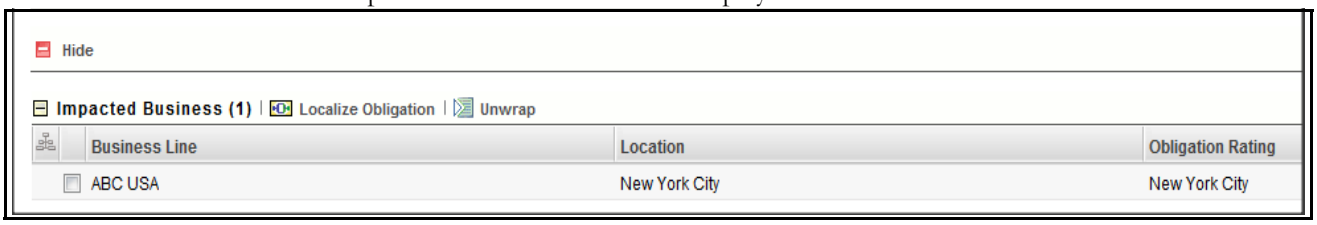



**Figure 307. Impacted Businesses**

4. In **Impacted Businesses** section, click **Localize Obligation**. The Business Unit window is displayed.

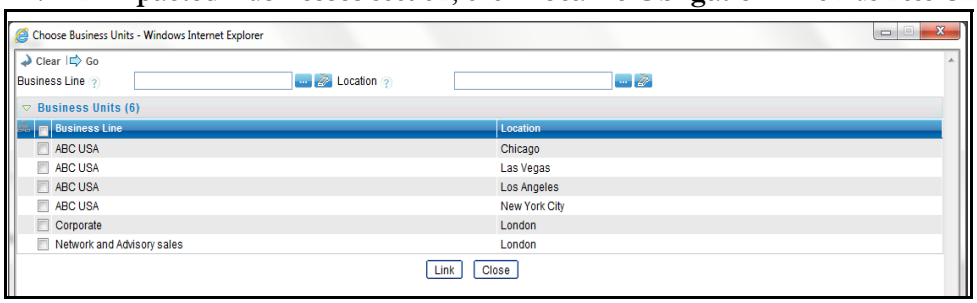



**Figure 308. Business Units**

5. Select the relevant Business Unit and click **Link**. The following message is displayed: *The Local Instance will be created for the selected BU. Do you want to continue?*.
6. Click **OK**. The following message is displayed: *Update Operation Successful.*

   **Note:** A notification is sent to the users mapped to the role of Obligation Owner who are mapped to the Business Units (BU) for which the Obligation has been localized.

## Managing Regulations or Policies

This section describes how to manage Regulations or Policies.

This section covers the following topics:

- Linking and Delinking Regulations or Policies
- Updating Regulations or Policies
- Viewing Review Updates

### *Linking and Delinking Regulations or Policies*

There are instances wherein certain Obligations are valid only for certain Regulations or Policies. In such cases, the Obligation can be mapped to those Regulations or Policies. You can link or delink Regulations or Policies to an Obligation.

For more details on Linking and delinking Regulations or Policies, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### *Updating Regulations or Policies*

This section explains how to update Regulations or Policies of the Obligation.

To update Regulations or Policies, follow these steps:

1. Navigate to the Obligation Details page.
2. Click **View More**. The Regulations or Policies section is displayed.
3. Click **Regulations or Policies** to expand. Select the relevant Regulations or Policies and make the necessary changes in Review Status and Comments fields.
4. Click **Update**. The following message is displayed: *Update Operation Successful.*
5. Click **OK** to confirm the changes. The updated Regulations or Policies section is displayed.

### *Viewing Review Updates*

This section explains how to view the comments recorded after reviewing the material changes of the Regulations or Policies.

To view Review Updates, follow these steps:

1. Navigate to the Obligation Details page.
2. Click **View More**. The Regulations or Policies section is displayed.
3. Click **Regulations or Policies** to expand. Select the relevant Regulations or Policies and click **View Review Updates**. The View Review Updates Window is displayed with all previous comments recorded after

### Attaching and Deleting Documents

The Obligation Details page allows you to attach or delete documents related to an Obligation. Users mapped to the role of Obligation Identifier can attach and delete documents related to an Obligation.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

### Viewing Workflow History

The Obligation Details page shows the audit trail of all changes made to the Obligation. Users mapped to the role of Obligation Identifier can view the workflow history.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

### Viewing Obligation Profile Report

The Obligation profile report gives a current snapshot of the Obligation.

You can view the complete details of a particular Obligation in a PDF.

To view the Obligation details in a PDF, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click **Obligation ID**. The Obligation Details page is displayed.
3. Click **Obligation Profile**. A File Download Box is displayed.

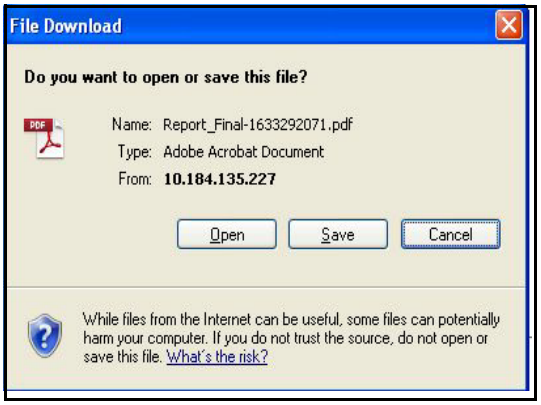



**Figure 309. File Download Box**

4. Click **Open** in the File Download Box. A PDF report is generated.

## Deleting Obligation Library

When an organization believes that a certain Obligation has been drafted incorrectly or is not required, it may delete the same. The Obligation Library Search and List page allows you to delete an Obligation.

Users mapped to the role of Obligation Identifier can delete Obligation in *Draft* status.

To delete an Obligation, follow these steps:

1. Navigate to the Obligation Library Search and List page.
2. Select the Obligation in Draft status.
3. Click **Delete Obligation**. The following message is displayed: *Are you sure you want to delete this record?*
4. Click **Yes**. The following message is displayed*: Delete Operation Successful.*
5. Click **OK**. The system refreshes and displays the Obligation Search and List page.

## Closing Obligation Library

If the Obligations are no longer required, you can close them in Open status. You can close an Obligation from the Obligation Library Search and List page.

**Note:** All mapped Regulations or Policies should be delinked before Obligations are closed.

To close an Obligation, follow these steps:

1. Navigate to the Obligation Library Search and List page. Select the Obligation in Open status. Click **Close Obligation**. The Reasons for Closure window is displayed.

   Or

   Click an Obligation ID in Open status that you want to close. The Obligation Details page is displayed. Click **Close Obligation**. The Reasons for Closure window is displayed.




**Figure 310. Reason for Closure**

2. Enter the reasons for closure of the Obligation. You can enter text up to 3000 characters.

   **Note:** It is mandatory to enter a reason for closure.

   **Note:** If you submit an Obligation for closure without entering any comments, the following validation message is displayed: *Please enter the reason for closure.* Click **OK**. You are taken back to the window, where you can enter the necessary details and close the Obligation.

3. Click **Close**. The following message is displayed*: Update Operation Successful*. The system refreshes and displays the Obligation Search and List page.

## Exporting Obligations Library List

The Exporting Obligation List features allows the organization to have a compiled list of all Obligations.

The Obligation Search and List page allows you to export the list of Obligations. The Obligation details list can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

# Managing Obligations

This section provides complete information about Obligations at business units in the Compliance module of Oracle Financial Services Operational Risk application and step-by-step instructions to use this section.

This section covers following topics:

- About Obligations
- User Roles and Actions
- Obligations Workflows
- Accessing Obligations Menu
- Searching Obligations
- Managing Obligation Details
- Exporting Obligations List

## About Obligations

An obligation is a course of action that an entity is required to take, whether legal or moral. It is the responsibility of the Financial Institution to comply with the regulations or Policies (set for itself). To comply with Regulations or Policies, Financial Institution set obligations or activities which fulfill the objectives of Regulations or Policies requirements.

If government bodies, regulatory authorities, or organizations itself set a regulation to all financial institution under its jurisdiction, to display all service charges that are levied on the Customers loans. This is a regulation for the financial institution and implementing this on all products (whatever applicable). Detailing these details of its customers on loan products will be an Obligation to the financial institution.

Compliance module allows you to view and assess obligation that are localized to the specific Business Units.

### Salient Features

The Obligations provides the following features to help organizations manage their risk:

- Provides an ability to view Obligations localized to the business Units
- Links Obligation to other entities enabling holistic view
- Assess Obligations
- Links Obligation to Issues and Actions
- Creates Issues, Creates Controls, Creates Risk,
- Generates Obligations report
- Exports Obligations

## User Roles and Actions

This section covers the following topics:

- User Roles

- Actions

### User Roles

The following user roles are defined in the Obligations module of the OFSOR application:

- **Obligation Owner**: This user can view Obligation details, create Issues, Risk, and Control, link and delink Issues and Actions, Link Risk, Controls, KI's, or Incidents, and delink Risk, Controls, KI's, and Incidents.
- **Obligation Assessor**: This user creates, edits, and deletes Obligation assessments and create Issues, Risk, and Control. The Obligation Assessor can view Obligation details and delink Issues and Actions.

### Actions

The Obligations section allows an Obligation Owner and Obligation Assessor to perform following actions in the application:

- **Linking Obligation Assessments to entities:** This action allows users link and delink Obligation Assessments to entities such as Risk, Control, Key Indicator, and Process.
- **Creating Obligation Assessments**: This action allows users to create a new Obligation Assessments. Once users create Obligation Assessments they can save as draft or submit the details.
- **Editing Obligation Assessments**: This action allows users to edit and update the Obligation Assessments in Draft status.
- **Deleting Obligation Assessments**: When an organization believes that a certain Obligation Assessments has been drafted incorrectly or not required, users can delete such Obligation Assessments.
- **Linking Obligation Assessments to Issues and Actions:** This action allows users link and delink Obligation Assessments to Issues and Actions.
- **Exporting Obligation**: The Exported Obligation report allows the organization to have a compiled list of all applicable Obligations. This action allows users to export the details of the Obligation.
- **Creating Obligation Assessments**: This action allows users to create a new Obligation Assessments. Once users create Obligation Assessments they can save as draft or submit the details.
- **Creating Risk, Issue, or Control**: This action allows users to create a entities like Issue, Risk, or Control from Obligation Assessments section.

## Obligations Workflows

The Obligation has two workflows:

- Obligation Workflow
- Obligation Assessment Workflow

### Obligation Workflow

This workflow explains how to link Process, Issues and Actions, so on. This is handled by the Obligation Owner.

The following figure explains the Obligations workflow:

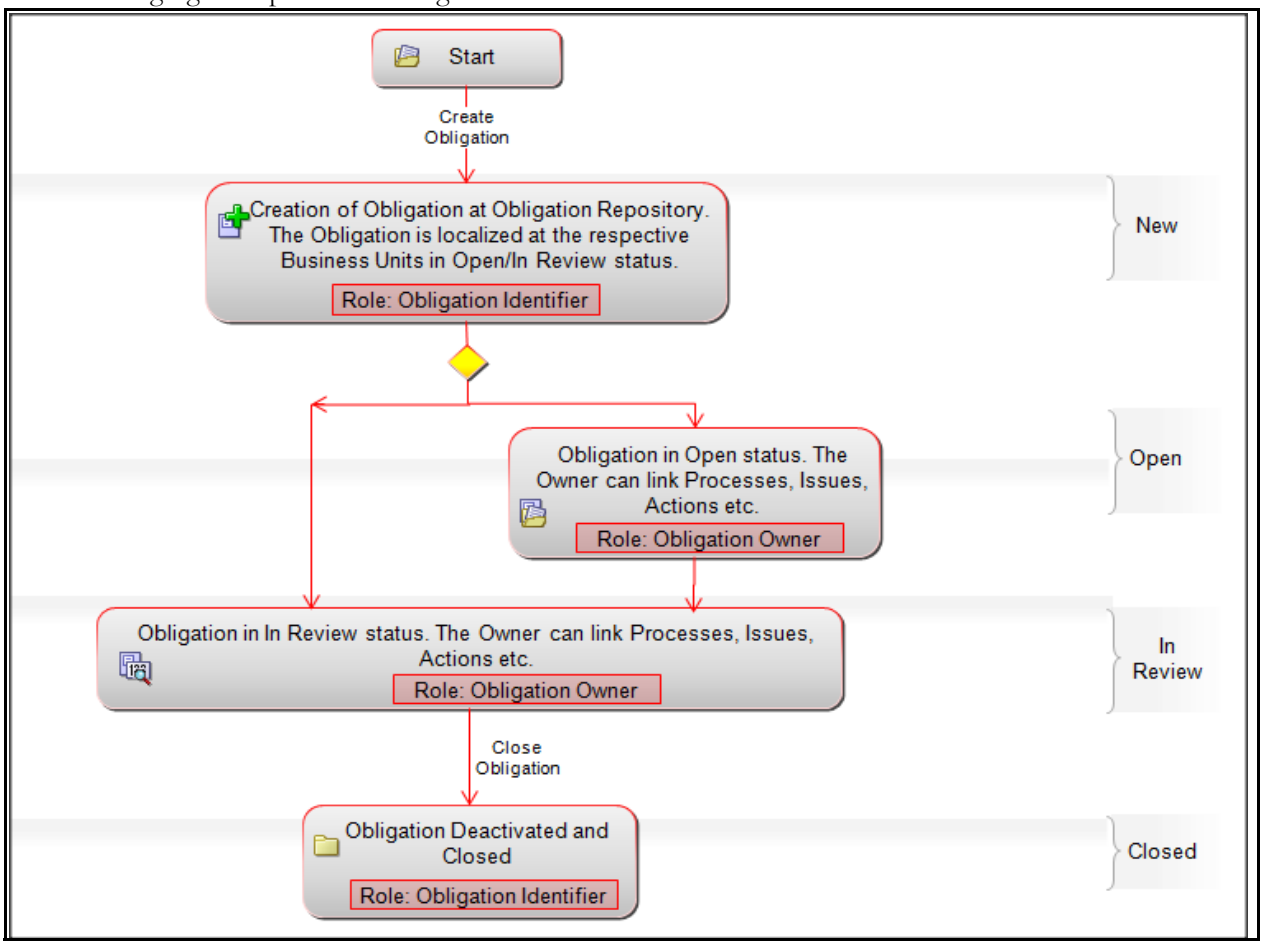



**Figure 311. Obligations Workflow**

### Obligation Assessment Workflow

This workflow explains how to assess an obligation. This is handled by the Obligation Assessor.

The following figure explains the Obligations Assessment workflow:

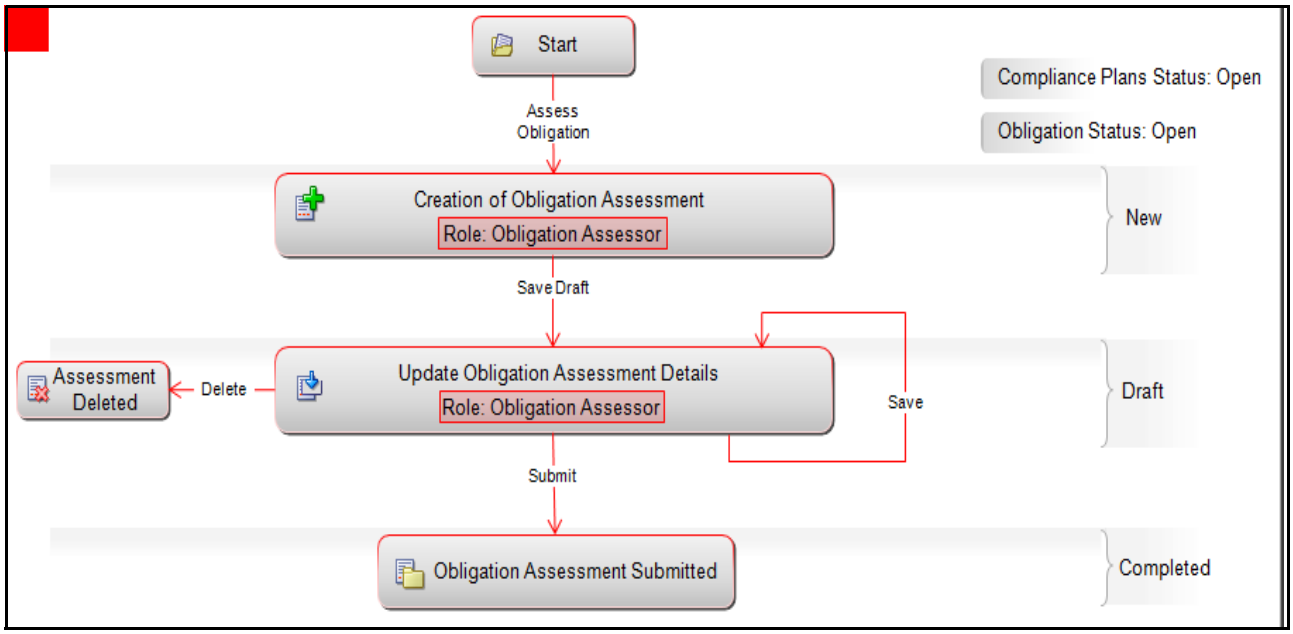



**Figure 312. Obligations Assessment Workflow**

## Accessing Obligations Menu

This section explains how to access the Obligations section in Oracle Financial Services Operational Risk application.

To access the Obligations section, follow these steps:

1. Login to OFSOR application as an Obligation Owner or Obligation Assessor. The OFSOR Home page is displayed.
2. Hover over the **Compliance** primary menu and click **Obligations**. The Obligations Search and List page is displayed.

## Searching Obligations

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

This section explains the following topics:

- Searching Obligations Using Basic Search
- Searching Obligations Using Advanced Search
- Searching Obligations Using Pre-defined Views

### Searching Obligations Using Basic Search

This search is based on a limited set of search criteria. It helps you to retrieve the relevant Obligation details.

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

1. Navigate to the Obligations Search and List page.

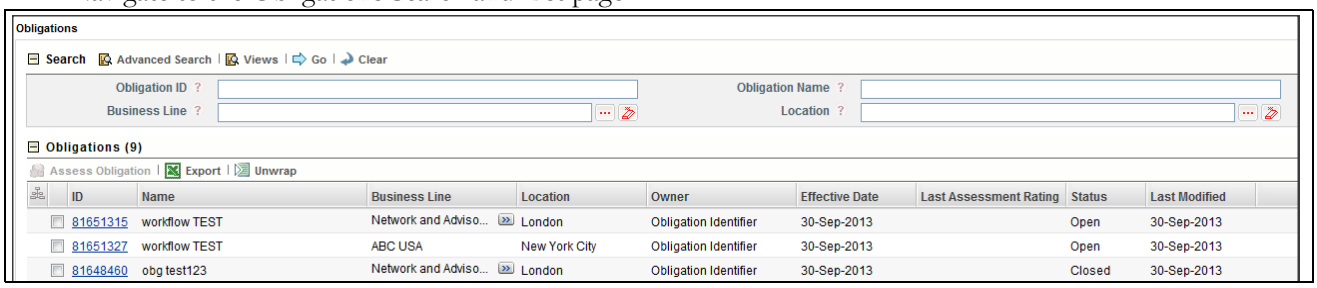



**Figure 313. Searching Obligations Using Basic Search**

**Note:** By default, the Obligations Search and List page displays all details.

2. Enter the search criteria to filter the Obligations list.

   The following table provides a list of search criteria.

**Table 177. Criteria for Basic Search**

| Criteria | Description |
|---|---|
| Obligations ID | Enter the sequential tracking number of the Obligations.<br>This field allows you to enter a maximum of 30 digits and supports wildcard search. |
| Obligations Name | Enter the Name of the Obligations.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select a Business Line from the hierarchy browser. The Business Line for which Obligation has been Localized. |
| Location | Select a Location from the hierarchy browser. The Location for which Obligation has been Localized. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

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

### Searching Obligations Using Advanced Search

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

To search for Obligations details using the Advanced Search, follow these steps:

1. Navigate to the Obligations Search and List page.
2. Click **Advanced Search** from the search section. The Advanced Search fields expand.




**Figure 314. Searching Obligations Using Advanced Search**

3. Enter the search criteria to filter the Obligations list.

The following table provides a list of search criteria that display in the Obligation Advanced Search section.

**Table 178. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Obligation ID | Enter the sequential tracking number of the Obligation.<br>This field allows you to enter a maximum of 30 digits and supports wildcard search. |
| Obligation Name | Enter the Name of the Obligation.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select a Business Line from the hierarchy browser. The Business Line for which Obligation has been Localized. |
| Location | Select a Location from the hierarchy browser. The Location for which Obligation has been Localized. |
| Risk Event Type | Select a type of risk event from the hierarchy browser. For example, the risk event types can be External Fraud, Internal Fraud, and so on. |
| Status | Select the Obligations status from the drop-down list.<br>Following are the possible options for status:<br>● Select all<br>● Open<br>● Closed<br>● In Review<br>**Note:** You can select more than one option. |
| Effective Date | Select the equality option from Equality Operator drop-down list ("<", "<=", "=", ">", ">=").<br>Select date from calendar. This helps you to search the Obligations with effective date as specified. |
| Last Modified | Select the equality option from Equality Operator drop-down list ("<", "<=", "=", ">", ">=").<br>Select date from calendar. This helps you to search the Obligations with Last Modified date as specified.<br><br>**Validations:**<br>If the date entered in Last Modified >= is later than the date entered in Last Modified <=, 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 details with the given search criteria then an Alert 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 that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: Managing Issues and Actions, Saving a Search* section.

### Searching Obligations Using Pre-defined Views

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

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

1. Navigate to the Obligations Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

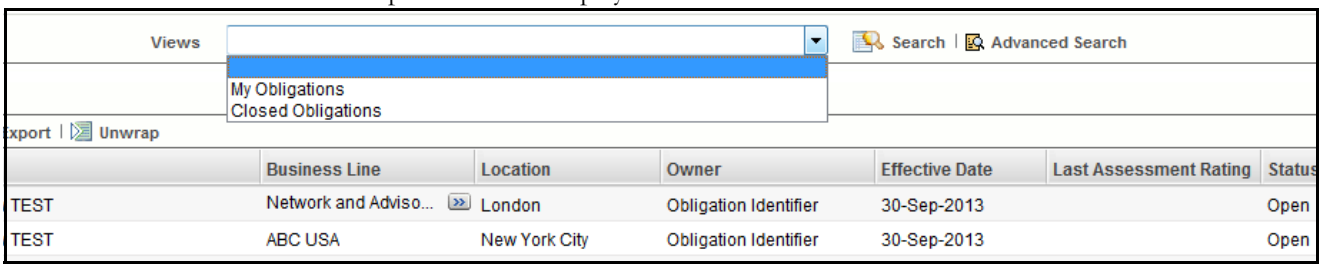



**Figure 315. Searching Obligations Using Views**

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 different types of pre-defined views available.

**Table 179. Obligations Views**

| Views | Description |
|---|---|
| My Obligations | Select *My Obligations* from the views drop-down list. This list shows all Obligations assigned to the user, which are in descending order of the last modified date. |
| Closed Obligation | Select *Closed Obligation* from the views drop-down list. This list shows all Obligations in closed status, which are in descending order of the last modified date. |

**Note:** These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search, it is listed in this drop-down list.

## Managing Obligation Details

This page allows you to manage various tabs and functionalities pertaining to the Obligations.

The Obligation Details tab is displayed in all statuses. This tab displays complete information about the Obligation.

This section discusses the following topics:

- Managing Details
- Managing Linkages
- Managing Assessment
- Managing Issues and Actions

## Managing Details

This page allows you to perform following actions:

- Updating Obligation Details
- Attaching and Deleting Documents
- Viewing Workflow History

### *Updating Obligation Details*

This section describes how to update the existing Obligation details. You can update Obligation details when it is in *Open* or *In Review* status.

To update Obligation Details, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click an Obligation ID. The Obligation Details page is displayed.

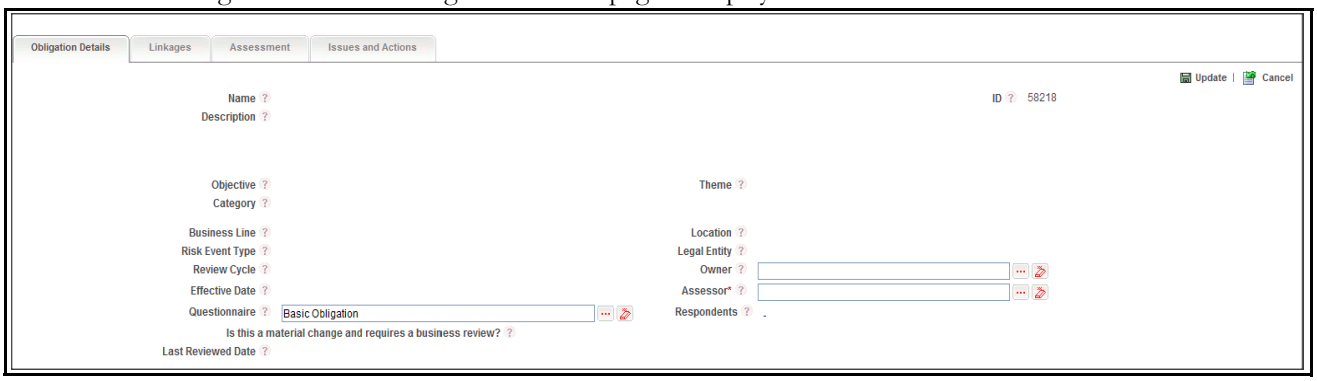



**Figure 316. Obligation Details**

3. Enter the following information in the Obligation Details page.

**Table 180. Obligation Details**

| Field | Description |
|---|---|
| Owner | Select the Owner from the hierarchy browser. List shows all users mapped to the role of *Obligation Owner* for the BU to which the Obligation is localized. |
| Questionnaire | Select the *Questionnaire* from the hierarchy browser. List shows all questionnaires.For more information on *Chapter 20, Managing Questionnaire*. |
| Assessor | Select the Assessor from the hierarchy browser. List shows all users mapped to the role of *Obligation Assessor* for the BU to which the Obligation is localized. |

**Note:** On localizing Obligation to Business Unit combination, refer following instructions.

- The same Questionnaire selected at the repository is carried forwarded to the BU combination to which the Obligation is localized.
- You should be able to re-select the Questionnaire for the Obligation at BU. On any change in (for example, reselect ion) Questionnaire at BU, should not affect the Questionnaire at repository.
- Whenever there is change or re selection of the Questionnaire at repository the change should reflect on the corresponding Obligations at BU (to which the Obligation is localized), only if the Questionnaire at the BU is not altered.

4. Click **Respondent** link. The following message is displayed: *Questionnaire has been changed. Please Save to link/delink Respondent*. Click **OK**.

   **Note:** If you click Respondents link without selecting the Questionnaire, the following message is displayed: *Questionnaire is blank. Please select questionnaire and save to link/delink responded.*

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

#### *Attaching and Deleting Documents*

The SOX 302 Certification Details page allows you to attach or delete documents related to SOX 302 Certification.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

#### *Viewing Workflow History*

The SOX 302 Certification Details page shows the audit trail of all changes made to the SOX 302 Certification.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

### Managing Linkages

This section explains about linking and delinking entities to Obligation. The user mapped only to the role of Obligation Owner can perform this action.

You can link following entities to Obligation in Open Status:

- Process
- Controls
- Risk
- Key Indicators
- Incidents

To link or delink entities to Obligation, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click Obligation ID. The Obligation Details page is displayed.
3. Click **Linkage** tab. The Linkage Details page is displayed.

   For more details on linking and delinking entities to Obligation, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### Managing Assessment

This section allows you to assess the Obligation. The user mapped only to the role of Obligation Assessor can perform this action.

This section covers following topics:

- Creating Assessment
- Deleting Obligation Assessment

### *Creating Assessment*

Questionnaire based assessment functionality in OFS OR application allows users to assess Obligation through Questionnaire based approach. In this approach, multiple respondents linked to selected questionnaire respond to the questions and the feedback is sent to the Assessor of the entity. Assessor can draw the conclusions from these feedbacks and go ahead with the majority opinion or as per user's own analysis.

Also, users can get the complete view of the entity performance/functioning through the respondents, who will be majorly the owner of the entities which are effected by the entity which is under scrutiny.

**Note:** For Obligations, you can use Basic and Score Based Questionnaires. Questionnaire of type Basic allows respondents to answer the questions but the final value for the assessment is not derived from their responses directly. Questionnaire of type Score based allows respondents to not only respond but final value is derived from their responses (though Assessor can override).

To create a Questionnaire based assessment, follow these steps:

1. Navigate to the Assessments tab in the Obligation Details page and click **Assess Obligation**. The Assessment Details page is displayed.

   Or

   Navigate to the Obligation Search and List page. Select an Obligation in Open status and click **Assess Obligation**. The Assessment Details page is displayed.

2. When you click **Assess Obligation**, then the following message is displayed: *You are initiating Obligation Assessment. Questionnaire response tasks will be generated to the respondents. Do you want to continue?* Click OK.

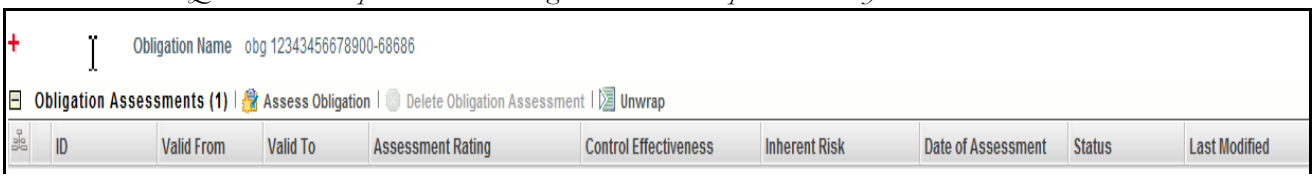



**Figure 317. Assessing Obligation**

**Note:** If Questionnaire is not selected, then following message is displayed: *No Questionnaires are available currently. Please contact the Questionnaire Administrator* and you would not be able to continue the assessment.

3. A draft assessment record will be created.

   **Note:** The Respondent logs into his Inbox and can response to that questionnaire. For more information, refer to *Responding to Questionnaire* section of Questionnaire module. If questionnaires are linked and the respondents are not linked, then assessor will be treated as respondent, and he will get the task to response the questionnaire.




**Figure 318. Draft Assessment**

When the status of Assessment is Draft, you can edit the assessment details.

To edit the assessment details, follow the steps given below:

1. Click the Obligation Assessment in Draft status.

2. The Response Summary page will display. The Response Summary page shows the summary of questionnaire.

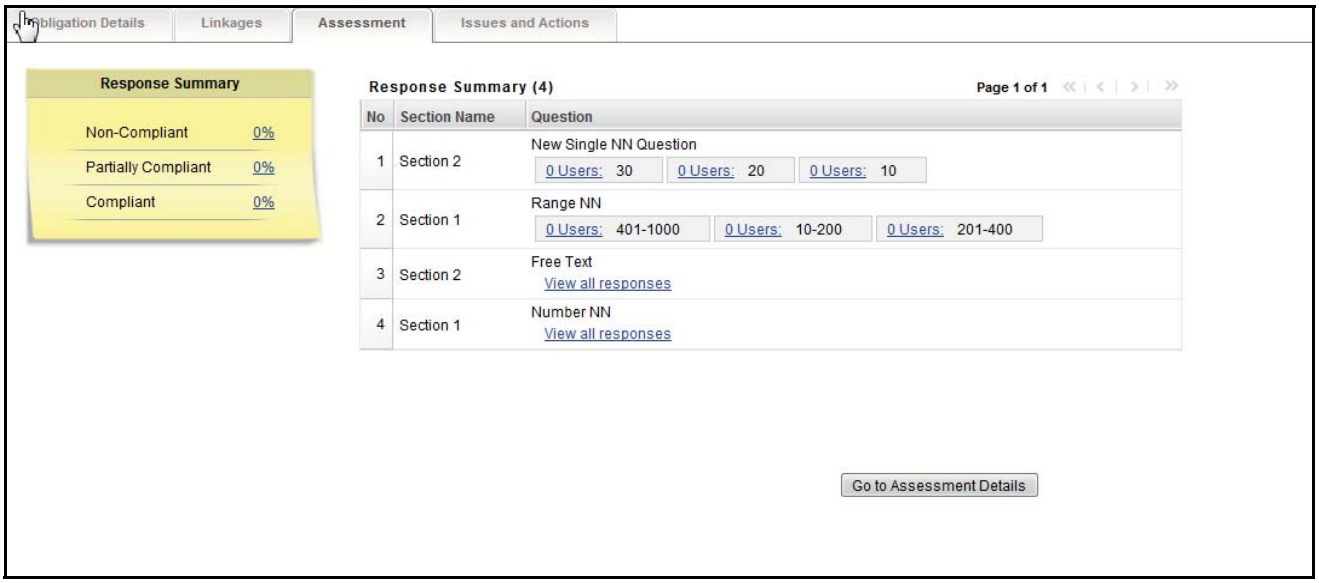



**Figure 319. Response Summary Page**

This page shows the following details:

- List of sections and questions of questionnaire with response options
- Count of Respondents: The count of responses will display along the user. You can click **Users** link to view the details of Respondent.
- Response Summary: If the questionnaire type is basic, then the response summary will be blank. For score based questionnaire, this will display the distributed percentage (%) based on responses provided by users (respondents).

**Note:** Once the users have responses, the Obligation Assessor completes the assessment. You can edit this Rating. If two or more options (Compliant, Partially Compliant, or Non-Compliant) are equally scored, and those have highest scores, then the **Worse Case** option is selected. Below is the order for **Worse Case** selection from worse to good order in Obligations

- Non-Compliant
- Partially Compliant
- Compliant

### *Deleting Obligation Assessment*

When an organization believes that a certain Obligation Assessment has been drafted incorrectly or is not required, it may delete the same. The Obligation Assessment List page allows you to delete an Obligation Assessment.

Users mapped to the role of Obligation Assessor can delete Obligation Assessment in *Draft* status.

To delete an Obligation Assessment, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click an Obligation **ID**. The Obligation Details page is displayed.

3. Click **Assessment** tab. The Obligation Assessment page is displayed.
4. Select an Obligation Assessment **ID** in *Draft* status.
5. Click **Delete Obligation Assessment**. The following message is displayed: *Are you sure you want to delete this record?*
6. Click **OK**. The following message is displayed*: Delete Operation Successful.*
7. Click **OK**. The system refreshes and displays the Obligation Assessment page.

### Managing Issues and Actions

This section describes how to manage Issues and Actions in Obligation.

This section covers the following topics:

- Linking and Delinking Issues and Actions
- Deleting Issue

#### *Linking and Delinking Issues and Actions*

There are instances wherein certain Obligations are valid only for certain Issues and Actions. In such cases, the Obligation can be mapped to those Issues and Actions. You can link or delink Issues and Actions to an Obligation.

To link and delink Issues and Actions to an Obligation, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click an Obligation **ID**. The Obligation Details page is displayed.
3. Click **Issues and Actions** tab. The Issues and Actions page is displayed.

   For more details on Linking and delinking Issues and Actions, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

#### *Deleting Issue*

You can delete an issue when it is in *Draft* status if it is not applicable to the business or an organization.

To delete an issues, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click an Obligation **ID**. The Obligation Details page is displayed.
3. Click **Issues and Actions** tab. The Issues and Actions page is displayed.

   For more details on deleting an issue, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### Creating Issue

The Obligation Details page allows you to create an Issue. User mapped to the role of Obligation Owner and Obligation Assessor can create an issue.

To create an Issue, follow these steps:

1. Navigate to the Obligation Details page.
2. Click **Create Issue**.

   For more details on creating Issues, refer to *Chapter 8: Managing Issues and Actions, Creating Issues* section section.

**Note:** The issue created here is available in Issues and Action tab list.

### Viewing Obligation Profile Report

The Obligation profile report gives a current snapshot of the Obligation.

You can view the complete details of a particular Obligation in a PDF.

To view the Obligation details in a PDF, follow these steps:

1. Navigate to the Obligation Search and List page.
2. Click **Obligation ID**. The Obligation Details page is displayed.
3. Click **Obligation Profile**. A File Download Box is displayed.

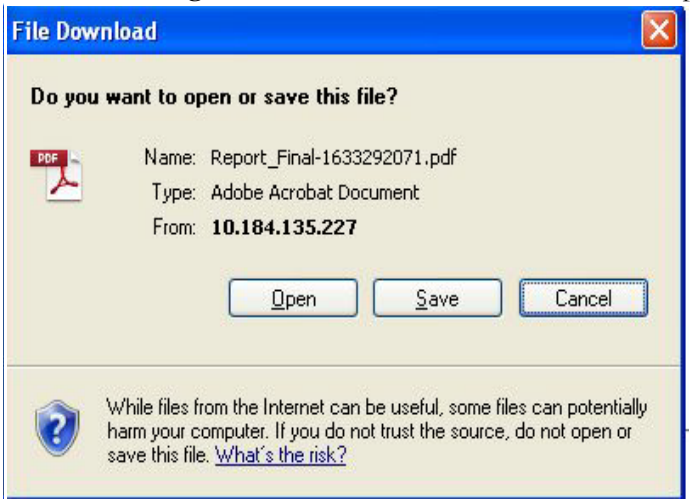
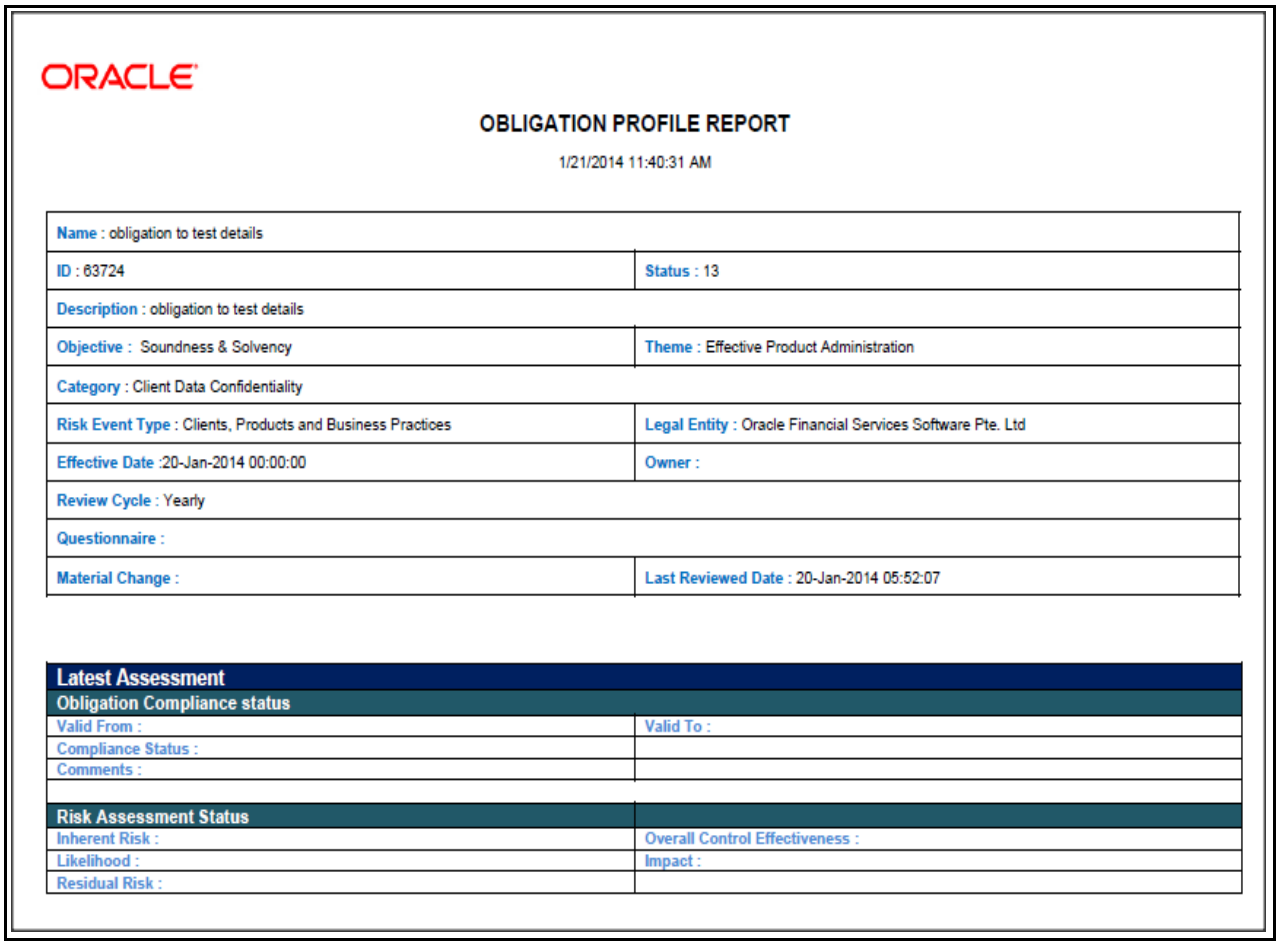



**Figure 320. File Download Box**

4. Click **Open** in the File Download Box. A PDF report is generated.



ORACLE

OBLIGATION PROFILE REPORT

1/21/2014 11:40:31 AM

| | |
|---|---|
| **Name** : obligation to test details | |
| **ID** : 63724 | **Status** : 13 |
| **Description** : obligation to test details | |
| **Objective** : Soundness & Solvency | **Theme** : Effective Product Administration |
| **Category** : Client Data Confidentiality | |
| **Risk Event Type** : Clients, Products and Business Practices | **Legal Entity** : Oracle Financial Services Software Pte. Ltd |
| **Effective Date** :20-Jan-2014 00:00:00 | **Owner** : |
| **Review Cycle** : Yearly | |
| **Questionnaire** : | |
| **Material Change** : | **Last Reviewed Date** : 20-Jan-2014 05:52:07 |

| **Latest Assessment** | |
|---|---|
| **Obligation Compliance status** | |
| **Valid From** : | **Valid To** : |
| **Compliance Status** : | |
| **Comments** : | |
| | |
| **Risk Assessment Status** | |
| **Inherent Risk** : | **Overall Control Effectiveness** : |
| **Likelihood** : | **Impact** : |
| **Residual Risk** : | |

**Figure 321. Obligation Profile Report**

### Creating Risk

The Obligation Details page allows you to create Risk. User mapped to the role of Obligation Owner can create a Risk.

To create a Risk, follow these steps:

1. Navigate to the Obligation Details page.
2. Click **Create Risk**.

   For more details on creating Risk, refer to *Chapter 4: Managing Issues and Actions, Creating a Risk* section section.

   **Note:** The Risk created here is a va i lb le in Linkage tab list.

### Creating Control

The Obligation Details page allows you to create Control. User mapped to the role of Obligation Owner can create a control.

To create a Control, follow these steps:

1. Navigate to the Obligation Details page.
2. Click **Create Control**.

   For more details on creating Risk, refer to *Chapter 5: Managing Issues and Actions, Creating a Control* section section.

   **Note:** The Control created here is available in Linkage tab list.

## Exporting Obligations List

The Exporting Obligation List features allows the organization to have a compiled list of all Obligations.

The Obligation Search and List page allows you to export the list of Obligations. The Obligation details list can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

# Managing Compliance Plan

This section provides information about Compliance Plan in the Compliance module of the OFSGCM application and step-by-step instructions to use this section.

This section covers following topics:

- About Compliance Plan
- User Roles and Actions
- Tasks and Notifications
- Compliance Plan Attestation Workflow
- Accessing Compliance Plan Menu
- Searching Compliance Plan
- Creating Compliance Plan
- Managing Compliance Plan Details
- Deleting Compliance Plan
- Closing Compliance Plan
- Exporting Compliance Plan List

## About Compliance Plan

The Compliance module allows you to capture new Compliance Plans made by banks, financial institutions, or organizations and maintain a repository.

### Salient Features

The Compliance Plans functionality provides the following features to help organizations manage their risk:

- Provides a central repository for all types of Compliance Plan
- Associates Compliance Plans to a selected business line and location
- Links Compliance Plan to other entities and enables holistic view
- Assesses and attests Regulation or Policies
- Generates Compliance Plan reports

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Compliance Plan module of the OFSGCM application:

- **Local Compliance Identifier**: This user can identify Compliance Plans. The Local Compliance Identifier can create, edit, submit, and delete Compliance Plans. Additionally, this user can create, edit, link, and delink Issues and Actions to a Compliance Plan, view Compliance Plans attestations. This user views Regulation and Obligation assessments.
- **Compliance Assessor**: This user can view a Compliance Plan. The Compliance Assessor can create and link and delink Issues and Actions to Compliance Plan. This user can manage Regulation and Obligation assessments and view Compliance Plan attestations.
- **Compliance Owner**: This user can identify Compliance Plans. The Local Compliance Owner can create, edit, submit, and delete a Compliance Plan. Additionally, this user can create, edit, link, and delink Issues and Actions to a Compliance Plan, manage Compliance Plan attestations. This user manages Regulation and Obligation assessments and view Compliance Plan attestations.
- **SOX Controller**: This user can view Compliance Plans and approves Compliance Plan attestation. The SOX Controller can create and link and delink Issues and Actions to a Compliance Plan. This user can view Regulation and Obligation assessments.
- **Obligation Assessor**: This user can create Obligation Assessments. Obligation Assessor can create, link and delink Issues and Actions to Compliance Plan. This user can view Regulation and Obligation assessments.
- **Audit Owner**: This user can view and audit Compliance Plan. The Audit Officer can view Issues and Actions linked to a Compliance Plan.This user can view Regulation and Obligation assessments and attestation.

### Actions

The Compliance Plan section allows these users to perform the following actions in the application:

- **Creating Compliance Plan**: This action allows users to create new a Compliance Plan. Once users create a Compliance Plan they can save as draft or submit the details. They can also create issues and actions, link, or delink an issues and actions, and attach or delete the documents.
- **Editing Compliance Plan**: This action allows users to edit and update the Compliance Plan details in Draft or in Open status.
- **Create and Edit Compliance Plan Attestation**: This action allows users to create, edit, view, and delete Compliance Plan attestations.
- **Approve Compliance Plan Attestation**: This action allows users to approve Compliance Plan attestation.
- **Create and Edit Regulation Assessment**: This action allows users to create, edit, view, and delete Regulation Assessments.
- **Create and Edit Obligation Assessment**: This action allows users to create, edit, view, and delete Obligation Assessments.
- **Audit Compliance Plan**: This action allows you to audit Compliance Plans.
- **Closing Compliance Plan**: If the Compliance Plan is no longer required, users can close it in Open status.
- **Deleting Compliance Plan**: When an organization believes that a certain Compliance Plan has been drafted incorrectly or is not required, such Compliance Plan can be deleted.

**Table 181. User Roles and Actions**

| Actions | Roles | | | | | |
|---|---|---|---|---|---|---|
| | Local Compliance Identifier | Compliance Assessor | Compliance Owner | SOX Controller | Obligation Assessor | Audit Office |
| Create Compliance plan | ✔ | | ✔ | | | |
| View Compliance plan | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ |
| Edit Compliance plan Details | ✔ | | ✔ | | | |
| Submit Compliance plan | ✔ | | ✔ | | | |
| Delete Compliance plan | ✔ | | ✔ | | | |
| Create Issues/Actions | ✔ | ✔ | ✔ | ✔ | ✔ | |
| Link Issues and Actions | ✔ | ✔ | ✔ | ✔ | ✔ | |
| View Issues and Actions | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ |
| Audit Compliance plan | | | | | | ✔ |
| Create/Edit/Delete Compliance plan Attestation | | | ✔ | | | |
| View Attestations | ✔ | ✔ | ✔ | ✔ | | ✔ |
| Approve Compliance plan Attestation | | | | ✔ | | |
| Create/edit/delete Regulation Assessment | | ✔ | | | | |
| View Regulation Assessment | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ |
| Create/edit/delete Obligation Assessment | | | | | ✔ | |
| View Obligation Assessment | ✔ | ✔ | ✔ | ✔ | ✔ | ✔ |
| Close Compliance Plan | | | ✔ | | | |

## Tasks and Notifications

Tasks are actionable items assigned and sent to a user. By performing these tasks, the appropriate user completes the workflow defined in the section. 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 182. Inbox Tasks and Notifications**

| Action Performed | Task/ Notifications | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| On Submitting Compliance Plan | Notification | A new Plan is identified for your Business Line and Location | Compliance Assessor | Open |
| On Submitting Compliance Plan Attestation | Task | Compliance Plan Attestation | SOX Controller | Open |

## Compliance Plan Workflow

The following figure explains the Compliance Plan workflow:

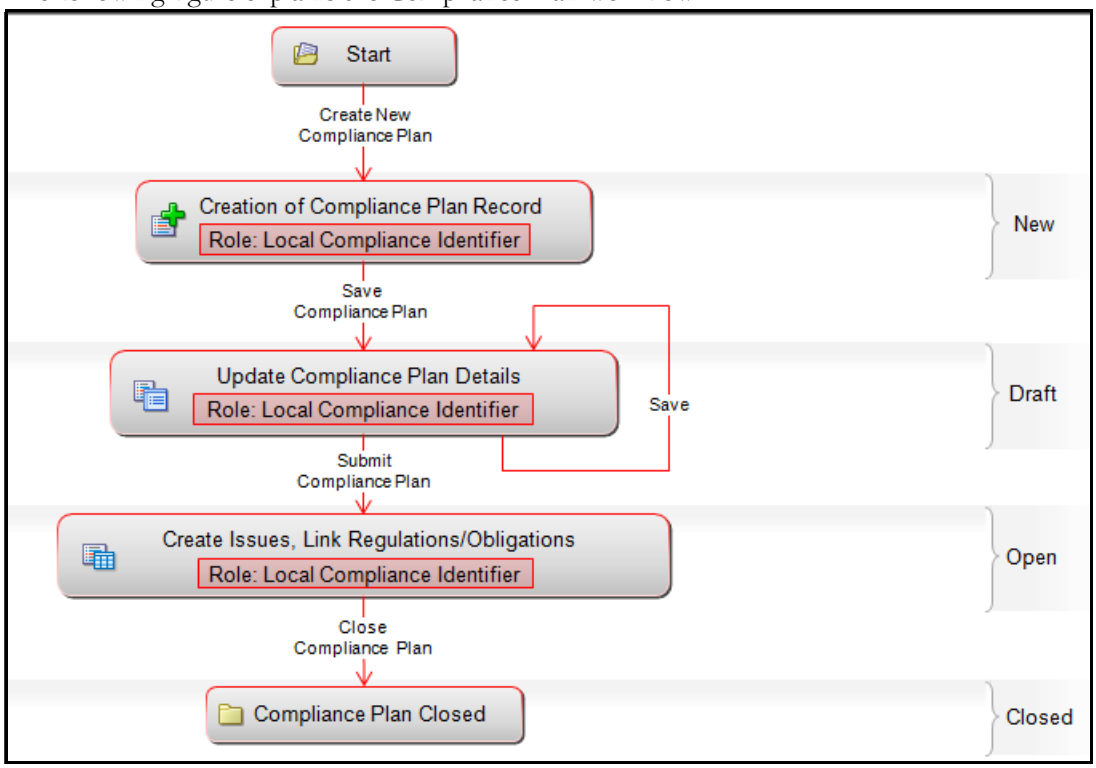



**Figure 322. Compliance Plan Workflow**

## Compliance Plan Attestation Workflow

The following figure explains the Compliance Plan Attestation Workflow:

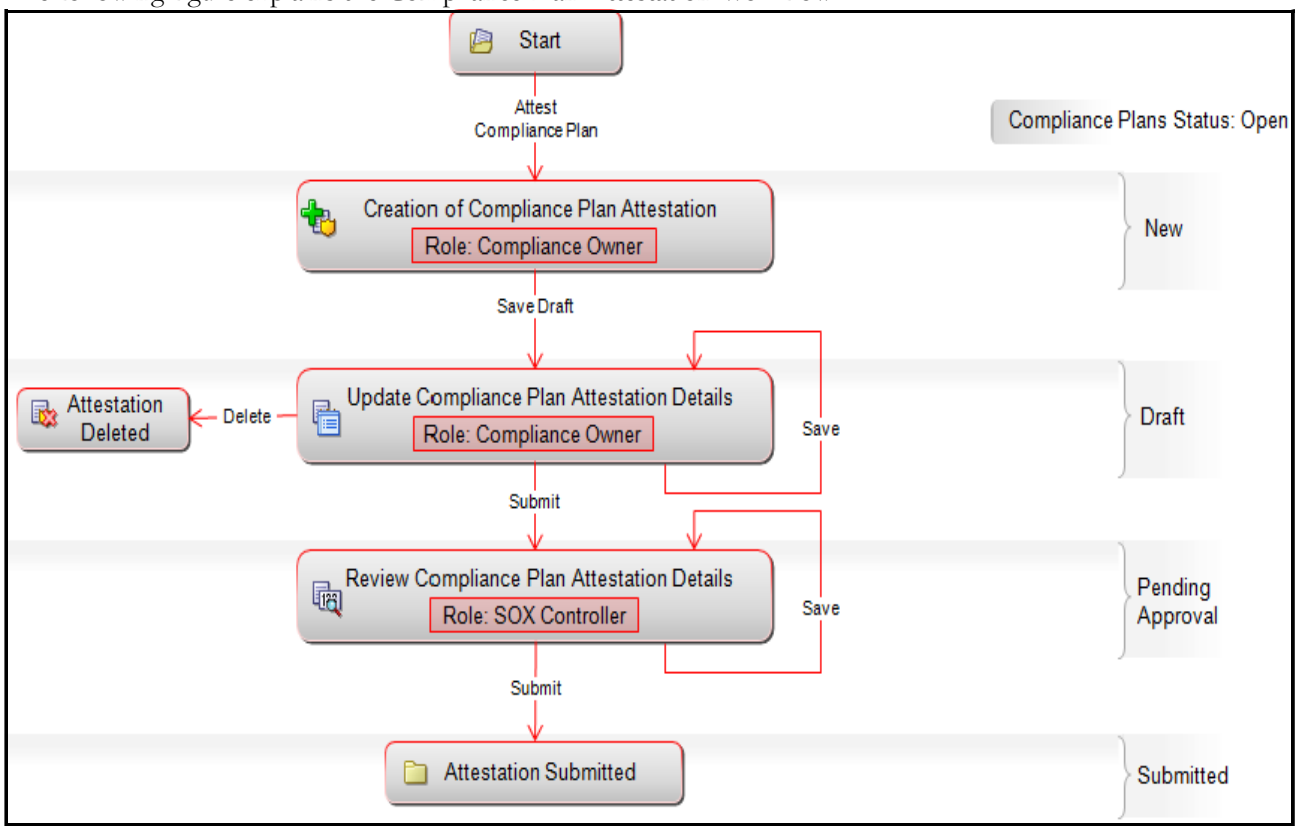



**Figure 323. Compliance Plan Attestation Workflow**

## Accessing Compliance Plan Menu

This section explains how to access the Compliance Plan section in OFSGCM.

To access the Compliance Plan section, follow these steps:

1. Login to the OFSGCM application. The OFSGCM Home page is displayed.
2. Hover over the **Compliance** primary menu and click **Compliance Plan**. The Compliance Plan Search and List page is displayed.

## Searching Compliance Plan

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

This section explains the following topics:

- Searching Compliance Plan Using Basic Search
- Searching Compliance Plan Using Advanced Search
- Searching Compliance Plan Using Pre-defined Views

**Note:** The OFSOR/GCM application supports saved search feature as mentioned below:

- 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 Compliance Plan Using Basic Search

This search is based on a limited set of search criteria. It helps you to retrieve the relevant Compliance Plan details.

To search for a Compliance Plan using the Basic Search, follow these steps:

1. Navigate to the Compliance Plan Search and List page.

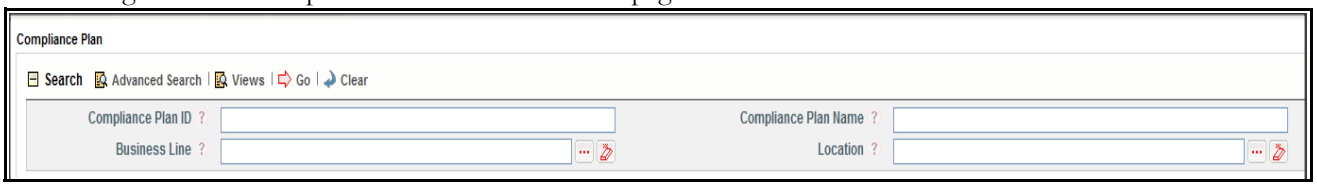



**Figure 324. Searching Compliance Plan Using Basic Search**

**Note:** By default, the Compliance Plan Search and List page displays all Compliance Plan details.

2. Enter the following search criteria to filter the Compliance Plan list.

**Table 183. Criteria for Basic Search**

| Criteria | Description |
|---|---|
| Compliance Plan ID | Enter the sequential tracking number of the Compliance Plan.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Compliance Plan Name | Enter the name of the Compliance Plan.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select the Business Line for which Compliance Plan has been localized from the hierarchy browser. |
| Location | Select the Location for which Compliance Plan has been localized from the hierarchy browser. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

**Note:** If there are no matched details with the given search criteria then an Alert window displays the following message: *No records found with the given search criteria*. And default list is displayed.

### Searching Compliance Plan Using Advanced Search

Advanced search provides more specific search capabilities. It offers the same search fields as provided for a basic search along with an expanded set of additional fields. If you know most of the Compliance Plan details such as ID, Name, Status, and so on, then you can filter the Compliance Plan using Advanced Search.

To search for Compliance Plan using Advanced Search, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click **Advanced Search** from the Search section. The Advanced Search fields expand.

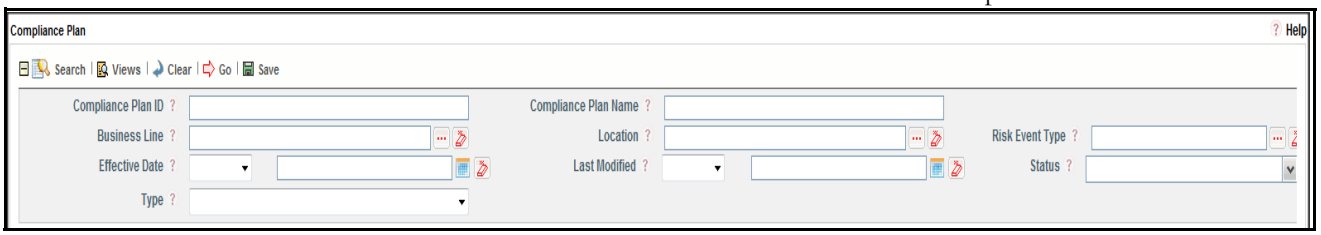



**Figure 325. Searching Compliance Plan Using Advanced Search**

3. Enter the following search criteria to filter the Compliance Plan list.

**Table 184. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Compliance Plan ID | Enter the sequential tracking number of the Compliance Plan.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Compliance Plan Name | Enter the name of the Compliance Plan.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select the Business Line for which Compliance Plan has been localized from the hierarchy browser. |
| Location<br><br>Risk Event Type | Select the Location for which Compliance Plan has been localized from the hierarchy browser.<br>Select the value of Risk Event Type of the Compliance Plan from the hierarchy browser. |
| Effective Date | Select the equality option from Equality Operator drop-down list (“<", "<=", "=", ">", ">=").<br>Select date from Calendar. This helps you to search the Compliance Plan with effective date as specified. |
| Last Modified | Select the equality option from Equality Operator drop-down list ("<", "<=", "=", ">", ">=").<br>Select date from Calendar. This helps you to search the Compliance Plan with Last Modified date as specified. |

**Table 184. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Status | Select the Compliance Plan status from the drop-down list.<br>Following are the possible options for the Status drop-down list:<br>● Select all<br>● Draft<br>● Open<br>● Closed<br>● In Review<br>**Note:** You can select more than one option. |
| Type | Select the type of Compliance Plan from the drop-down list (Obligations or Regulations/Policies) |

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

   **Note:** If there are no matched details with the given search criteria then Alert 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 that allows you to save your search criteria. For more information on Saving a Search, refer to *Chapter 3: Managing Issues and Actions, Saving a Search* section.

### Searching Compliance Plan Using Pre-defined Views

Views search represents pre-populated search queries and helps you to filter the Compliance Plan based on the pre-defined views.

To search a Compliance Plan using pre-defined views, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

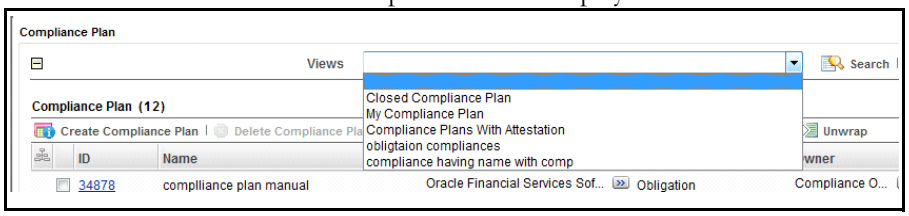



**Figure 326. Searching Compliance Plan Using Views**

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

   The following table explains the different types of pre-defined views available.

**Table 185. Compliance Plan Views**

| Views | Description |
|---|---|
| Closed Compliance Plan records | Select *Closed Compliance Plan records* from the Views drop-down list to display Compliance Plans which are in Closed status. |
| My Compliance Plan records | Select *My Compliance Plan* from the Views drop-down list to display Compliance Plans which are previously used by you. |
| Compliance Plans With Attestation | Select *Compliance Plans With Attestation* from the Views drop-down list to display Compliance Plans which require attestation. |
| Non-Complaint Compliance Plans | Select *Non-Complaint Compliance Plans* from the views drop-down list to display Compliance Plans for which Latest Assessment rating is Non-Compliant. |

**Note:** These options are the default Views provided in the application. If a set of search criteria is saved from the Advanced Search features, it is listed in this drop-down list.

## Creating Compliance Plan

To create Compliance Plan, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click **Create Compliance Plan**. The Compliance Plan Definition page is displayed.

   The status of the Compliance Plan is displayed as *New*.

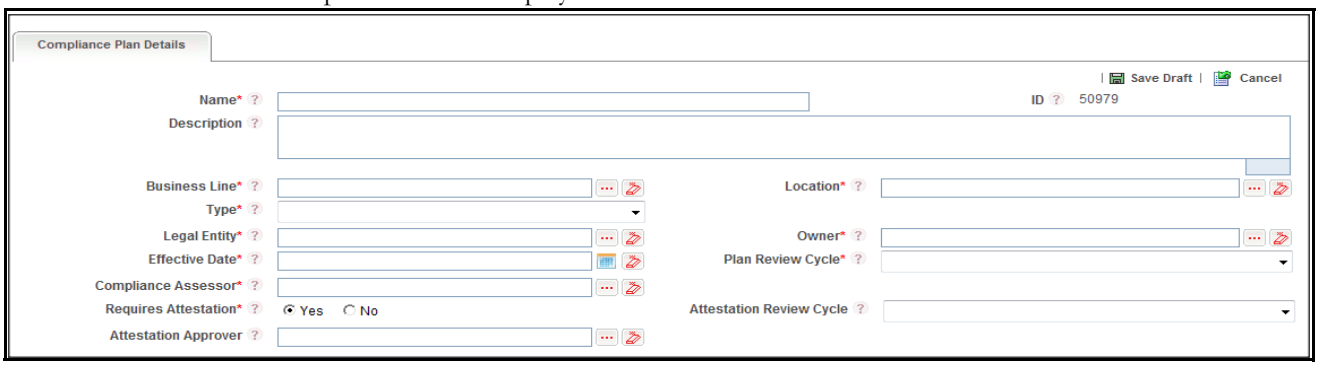



**Figure 327. Compliance Plan Definition Page**

3. Enter the following information in the Compliance Plan Definition page.

**Table 186. Common Fields of Compliance Plan Definition Page**

| Field | Description |
|---|---|
| Name | Enter the name of the Compliance Plan.<br>This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Compliance Plan details without entering the Compliance Plan name, the application displays the following message: *Please enter the Compliance Plan Name.* |
| ID | Displays the sequential tracking number of the Compliance Plan.This is an auto-generated unique identification number and cannot be modified. |

**Table 186. Common Fields of Compliance Plan Definition Page**

| Field | Description |
|---|---|
| Description | Enter a brief description of the Compliance Plan.<br>The description field in the Compliance Plan Definition page allows entering a maximum of 3000 characters.<br>**Note:** If you try to enter more than 3000 characters, the application displays the following message: *Number of characters exceeded*. |
| Business Line | Select the Business Line to which Compliance Plan has to be localized from the hierarchy browser. |
| Location | Select the Location for which Compliance Plan has to be localized from the hierarchy browser. |
| Type | Select the type of Compliance Plan from the drop-down list (Obligations or Regulations/Policies). |
| Legal Entity | Select the Legal Entity from the hierarchy browser. The Legal jurisdiction in which the organization is operating. |
| Owner | Select the Owner from the hierarchy browser. The owner is responsible for reviewing or overseeing the Compliance Plan. |
| Effective Date | Select date from Calendar. This is the Date from which the Compliance Plan becomes effective. |
| Plan Review Cycle | Select the Plan Review Cycle from the drop-down list (Quarterly, Half yearly, or Yearly). This is frequency of reviewing the Compliance Plan. |
| Compliance Assessor | Select the Compliance Assessor from the hierarchy browser. The Compliance Assessor is responsible for assessing Regulations or Policies mapped to the Compliance Plan. |
| Requires Attestation | Select whether attestation is required or not for the Compliance Plan using radio buttons.<br>**Note:** The Compliance Plan should be attested if it falls under the purview of the Financial Reporting. |
| Attestation Review Cycle | Select the Attestation Review Cycle from the drop-down list (Quarterly, Half yearly, or Yearly). This is frequency of reviewing Compliance Attestation. |
| Attestation Approver | Select the Attestation Approver from the hierarchy browser. The Attestation Approver is responsible in approving the Compliance Plan Attestation. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The Compliance Plan Details page is displayed. The status of the Compliance Plan changes to *Draft*.

### Submitting a Compliance Plan in Draft Status

You may choose not to submit the Compliance Plan details while creating a new one and saved it as a draft. You can submit the same Compliance Plan details by entering all mandatory fields.

The Compliance Plan Details page allows you to perform the following tasks in *Draft* status:

- Editing Compliance Plan details
- Viewing the Workflow History of Compliance Plan
- Attaching and deleting documents related to Compliance Plan

For more information on these tasks, refer to *Managing Compliance Plan Details* section.

To submit the Compliance Plan, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click the Compliance Plan ID in *Draft* status. The Compliance Plan Details page is displayed.

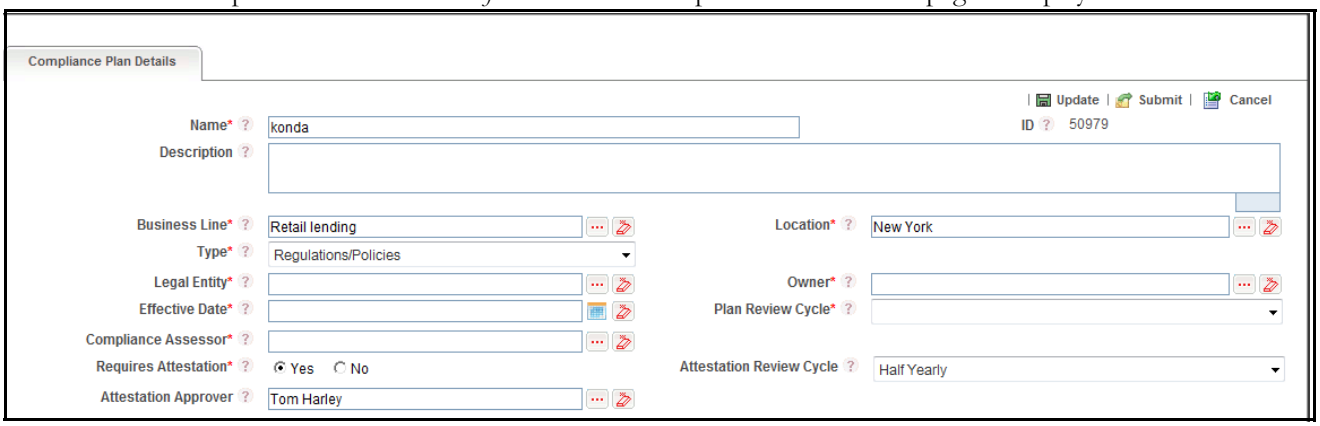



**Figure 328. Compliance Plan Details Page**

3. Click **Edit**. The Compliance Plan page is enabled to modify the information.
4. Modify the necessary information. For more details on field description, refer to *Table 186*.
5. Click **Update**. The information is updated.
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit a Compliance 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.*
7. Click **OK**. The status of the Compliance Plan changes to *Open*. A notification is sent to the Compliance Assessor for further actions.

### *Managing Compliance Plan in Open status*

The Compliance Plan Details page allows you to perform the following tasks in *Open* status:

- Editing Compliance Plan details
- Linking and delinking Regulations/Policies or Obligation to a Compliance Plan
- Viewing the Workflow History of Compliance Plan
- Attaching and deleting documents related to Compliance Plan
- Closing Compliance Plan
- Viewing Compliance Plan Profile Report

For more information on these tasks, refer to *Managing Compliance Plan Details* section.

## Managing Compliance Plan Details

This page allows you to manage various tabs and functionalities pertaining to the Compliance Plan.

The Compliance Plan Details tab is displayed in both Draft and Open status. This tab displays complete information about the Compliance Plan.

This section discusses the following topics:

- Editing Compliance Plan Details
- Managing Regulations/Policies in Compliance Plan
- Managing Attestations
- Managing Issues and Actions
- Attaching and Deleting Documents
- Viewing Workflow History
- Managing Regulations/Policies in Compliance PlanViewing Compliance Plan Profile Report

### Editing Compliance Plan Details

This section describes how to edit and update existing Compliance Plan. You can edit a Compliance Plan from the Compliance Plan Details page.

To edit Compliance Plans, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click Compliance Plan ID in *Draft* or *Open* status. The Compliance Plan Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Compliance Plan Details page.

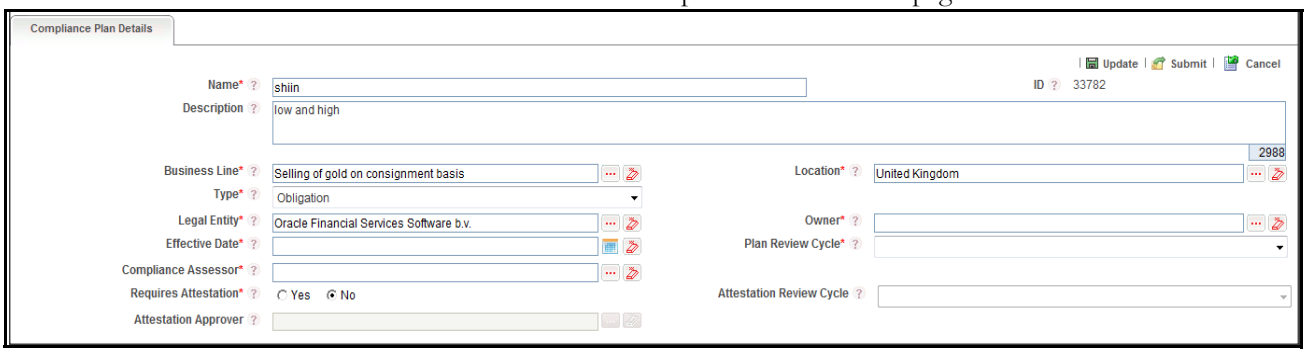



**Figure 329. Editing Compliance Plan Details**

4. Modify the necessary information. For more information on fields, refer to *Table 186*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*

   Or, click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit the Compliance Plan Details, it is necessary to enter all mandatory fields.
6. Click **OK** to confirm the changes. The updated Compliance Plan Details page is displayed.

### Managing Regulations/Policies in Compliance Plan

This section discusses following topics:

- Linking and Delinking Regulations/Policies to a Compliance Plan
- Creating Regulations/Policies Assessment

- Editing Regulations/Policies Assessment
- Deleting Regulations/Policies Assessment

### *Linking and Delinking Regulations/Policies to a Compliance Plan*

This section describes how to link and delink Regulations/Policies to a Compliance Plan.

**Note:** You can link or delink only Regulations/Policies, if you have selected the Type as Regulations/Policies.

To link and delink Regulations or Policies, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.

   For more details on linking and delinking Obligation Libraries, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### *Creating Regulations/Policies Assessment*

This section describes how to create Regulation or Policies Assessment from Compliance Plan.

**Note:** The Compliance Plan should be in Open status and a Regulation or Policy should be linked to the Compliance Plan.

To create a Regulation Assessment, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.
3. Click **View** in the View Assessment section against the relevant Regulations/Policy ID. The Regulation or Policy Assessment Details page is displayed.
4. Click **Assess Regulation/Policy**. The Regulation/Policy Assessment details page is displayed or the Questionnaire page where the questions for Regulation/Policy are listed is displayed.

   **Note:** If a questionnaire is added for the Regulation/policy in the Regulation/Policy Details page, then the Questionnaire page is displayed. Click **Go To Assessment Details**. The Regulation/Policy Assessment Details page is displayed.

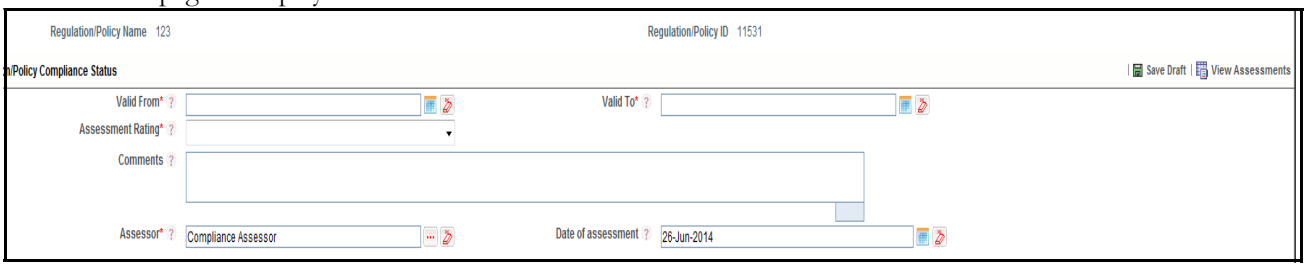



**Figure 330. Creating Regulations/Policies Assessment page**

5. Enter the following information in the Regulation/Policy Assessment Details page.

**Table 187. Regulation/Policy Assessment details**

| Views | Description |
|---|---|
| Valid From | Select a date from calendar. The validity for this rating begins from this date.<br>**Note:** Valid From date should be always lesser than the system date. |
| Valid To | Select a date from calendar. The validity for this rating ends on this date.<br>**Note:** Valid To date should be always lesser than or equal to system date. And should be always greater than Valid from date. |
| Assessment Rating | Select an Assessment Rating from the drop-down list (Compliant, Partially Compliant, or Non Compliant). This is to select whether the organization is Compliant, Partially Compliant, or Non-compliant. |
| Comments | Enter comments to give justification for the rating provided. |
| Assessor | Displays the name of the user assessing the Compliance Plan<br>**Note:** You can still edit the user. |
| Date of Assessment | Select a date of Assessment from calendar. |

6. Click **Save**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status changes to *Draft*.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Submitted*.

   **Note:** To submit an attestation, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Enter all mandatory fields*.

### *Editing Regulations/Policies Assessment*

This section describes how to modify Regulation/Policies Assessment from Compliance Plan.

To edit Regulation Assessment, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.
3. Click **View** in View Assessment section against relevant Regulation/Policy ID. The Regulation/Policy Assessment List page is displayed.

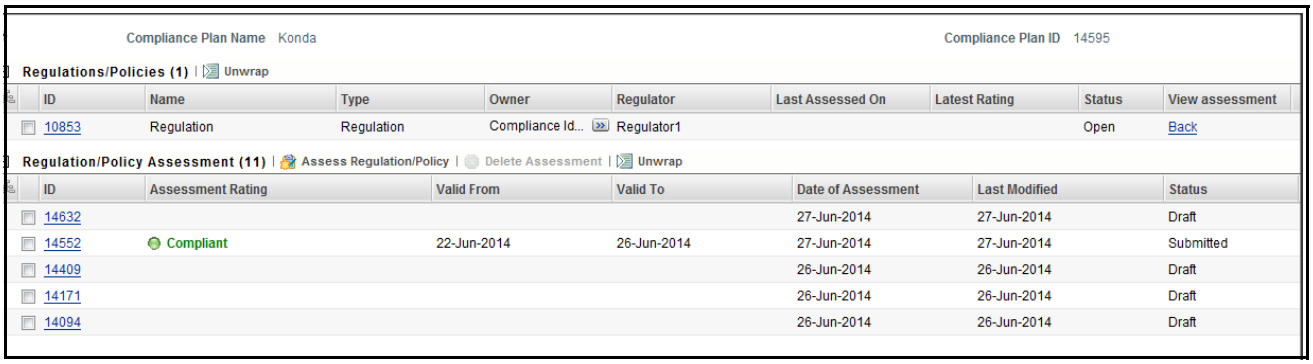



**Figure 331. Editing Regulations/Policies Assessment**

4. Click a Regulations/Policies Assessment ID in Draft status. The Regulations/Policies Assessment page is displayed.

   **Note:** If a questionnaire is added for the Regulation/policy in Regulation/Policy Details page, then the Questionnaire page is displayed. Click **Go To Assessment Details**. The Regulation/Policy Assessment Details page is displayed.

5. Click **Edit**. The Regulations/Policies Assessment page is enabled to modify the information.
6. Modify the necessary information, for more details on field description, refer to *Table 187*.
7. Click **Update**. The information is updated.
8. Click **Submit**. The following message is displayed: *Update Operation Successful.*

### *Deleting Regulations/Policies Assessment*

This section describes how to delete Regulation/Policies Assessment from a Compliance Plan.

To delete a Regulation Assessment, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.
3. Click **View** in the View Assessment section against the relevant Regulation/Policy ID. The Regulation/Policy Assessment List page is displayed.
4. Select the relevant Regulation/Policy Assessment ID in Draft status.
5. Click **Delete**. The following message is displayed: *Are you sure you want to delete the selected record?*
6. Click **OK**. The following message is displayed*: Delete Operation Successful.*
7. Click **OK**. The Regulation/Policy Assessment is deleted from the list.

## Managing Obligations in Compliance Plan

This section covers following section:

- Linking and Delinking Obligations to a Compliance Plan
- Creating Obligations Assessment
- Editing Obligations Assessment
- Deleting Obligations Assessment

### *Linking and Delinking Obligations to a Compliance Plan*

This section describes how to link and delink Obligations to a Compliance Plan.

**Note:** You can link or delink only Obligations, if you have selected the Type as Obligations.

To link and delink Regulations or Policies, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.

   For more details on linking and delinking Obligation Libraries, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### *Creating Obligations Assessment*

This section describes how to create an Obligations Assessment from a Compliance Plan.

**Note:** The Compliance Plan should be in Open status and Obligations should be linked to the Compliance Plan.

To create an Obligations Assessment, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.
3. Click **View** in the View Assessment section against relevant Obligation ID. The Obligations Assessment Details page is displayed.
4. Click **Assess Obligation**. The Obligations Assessment details page is displayed or the Questionnaire page is displayed where the questions for Obligations are listed.

   **Note:** If a questionnaire is added for the Obligations in Obligations details page, then the Questionnaire page is displayed. Click **Go To Assessment Details**. The Obligations Assessment Details page is displayed.

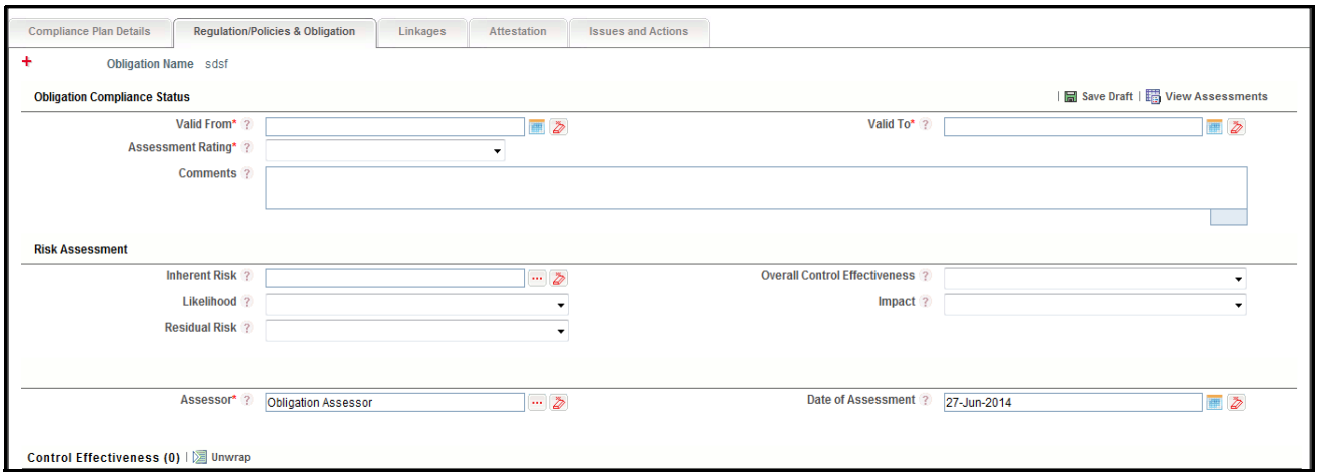



**Figure 332. Creating Obligations Assessment page**

5. Enter the following information in the Obligations Assessment Details page.

**Table 188. Obligations Assessment details**

| Views | Description |
|---|---|
| Valid From | Select a date from calendar. The validity for this rating begins from this date.<br>**Note:** Valid From date should be always lesser than the system date. |
| Valid To | Select a date from calendar. The validity for this rating ends on this date.<br>**Note:** Valid To date should be always lesser than or equal to system date. And should be always greater than Valid from date. |
| Assessment Rating | Select Assessment Rating from the drop-down list (Compliant, Partially Compliant, or Non Compliant). This is to select whether the organization is Compliant, Partially Compliant, or Non-compliant. |
| Comments | Enter comments to give justification for the rating provided. |
| Assessor | Displays the name of the User assessing the Obligation but you can still be editable. |
| Inherent Risk | Select Inherent Risk from hierarchy browser. Inherent Risk is based on the Likelihood and the Impact before controls are in place to mitigate the risk. |
| Overall Control Effectiveness | Select Assessment Rating from the drop-down list (Effective, Qualified, or Requires Improvement). This is the Overall Control Effectiveness score. |
| Likelihood | Select Likelihood from the drop-down list (Extremely Rare, Rare, Unlikely, Possible, Likely, or Almost Certain. This is the frequency of the occurrence. |
| Impact | Select Assessment Rating from the drop-down list (High, Low, or medium). This is to rate the risk over loss of Goodwill. |
| Residual Risk | Select Residual Risk from the drop-down list (High, Medium, or Low). This is to rate the risk over loss of Goodwill. |
| Date of Assessment | Select the Date of Assessment from calendar. |

6. Click **Save**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status changes to *Draft*.

   Or

Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Submitted*.

**Note:** To submit an assessment, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Enter all mandatory fields*.

### *Editing Obligations Assessment*

This section describes how to modify Obligations Assessment from Compliance Plan.

To edit an Obligations Assessment, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.
3. Click **View** in the View Assessment section against the relevant Obligation ID. The Obligations Assessment List page is displayed.

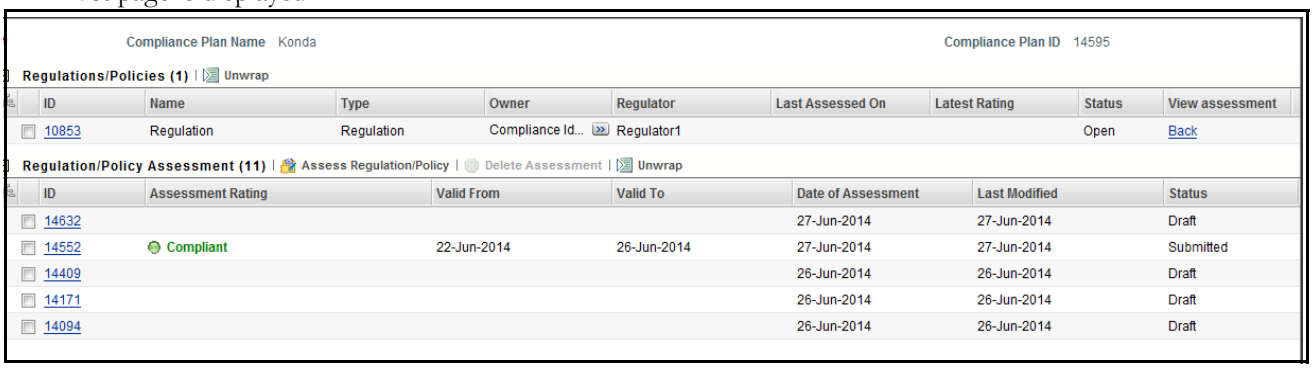



**Figure 333. Editing Obligations Assessment**

4. Click an Obligations Assessment ID in Draft status. The Obligations Assessment page is displayed.

   **Note:** If a questionnaire is added for the Obligations in the Obligations Details page, then the Questionnaire page is displayed. Click **Go To Assessment Details**. The Obligations Assessment Details page is displayed.

5. Click **Edit**. The Obligations Assessment page is enabled to modify the information.
6. Modify the necessary information. For more details on field description, refer to *Table 188*.
7. Click **Update**. The information is updated.
8. Click **Submit**. The following message is displayed: *Update Operation Successful*.

### *Deleting Obligations Assessment*

This section describes how to delete the Obligations Assessment from Compliance Plan.

To delete an Obligations Assessment, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Regulations/Policies or Obligation tab.
3. Click **View** in View Assessment section against relevant Obligation ID. The Obligations Assessment List page is displayed.

4. Select the relevant Obligations Assessment ID in Draft status.
5. Click **Delete**. The following message is displayed: *Are you sure you want to delete the selected record?*
6. Click **OK**. The following message is displayed*: Delete Operation Successful.*
7. Click **OK**. The Obligations Assessment is deleted from the list.

### Viewing Linkages

The Linkages page allows you to view all entities linked to the Obligation in the Compliance Plan.

**Note:** You can view the Linkage tab only when a Compliance Plan is in Open status.

To view entities linked to the Obligation in Compliance Plan, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click Linkages tab. The Entities List section is displayed.




**Figure 334. Assess Details page**

This page displays the following entities list:

- Risks
- Controls
- Key Indicators
- Incidents

3. Click on Entitiy ID. The respective entity details page is displayed.

### Managing Attestations

Some Compliance Plans, like SOX Compliance Plans, may require certification. These Compliance Plans undergo the process of attestation. The Attestation tab is enabled only if the Required Attestation field in Compliance Plan Details is selected as Yes during creation. You can attest a Compliance Plan in Open status.

This section discusses the following topics:

- Attestation Workflow
- Creating Compliance Plan Attestation
- Editing Compliance Plan Attestation by Compliance Owner
- Editing Compliance Plan Attestation by SOX Controller
- Deleting Compliance Plan Attestation

### *Attestation Workflow*

The following figure explains the Compliance Plan Attestation Workflow:

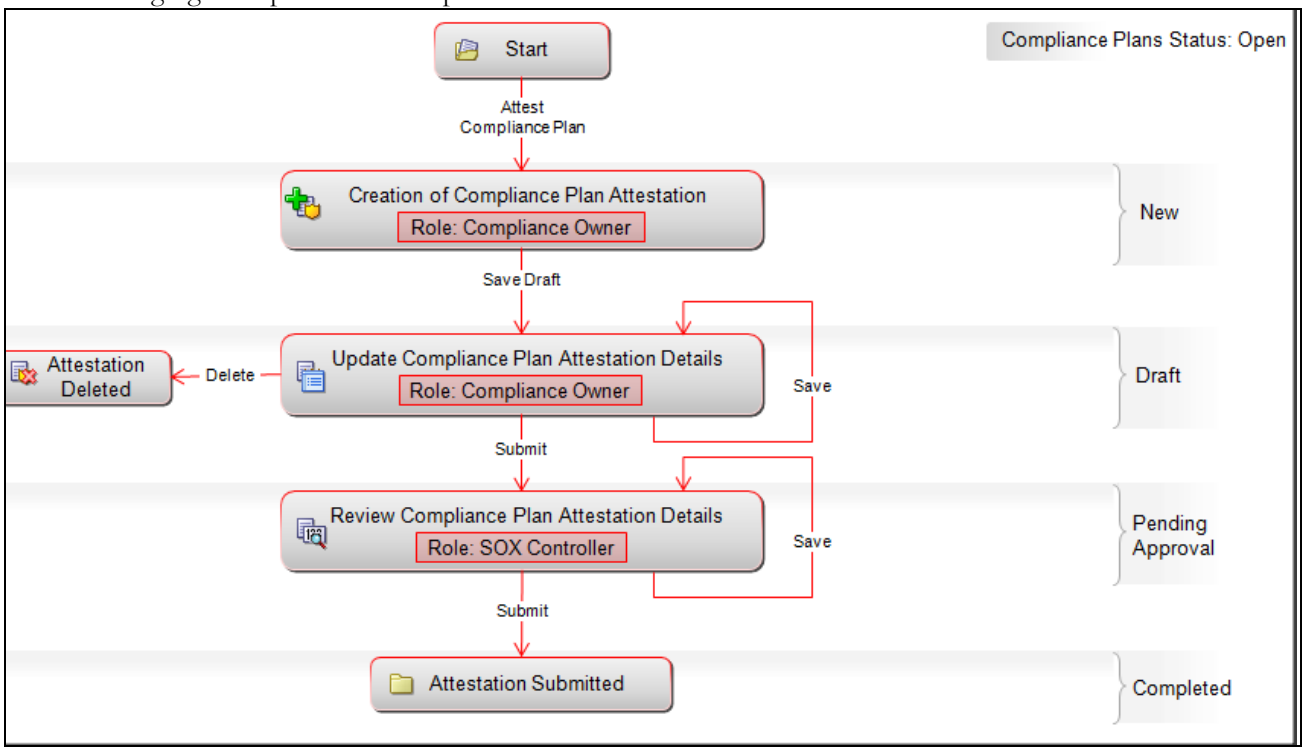



**Figure 335. Attestation Workflow**

### *Creating Compliance Plan Attestation*

To create a Compliance Plan attestation, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Select the required Compliance Plan in Open status and click **Attest Compliance Plan**. The Attestation Details page is displayed.

   Or

   Click a Compliance Plan **ID**. The Compliance Plan Details page is displayed. Click **Attestation** tab. The Attestation page is displayed. Click **Attest Compliance Plan**. The Attestation Details page is displayed.

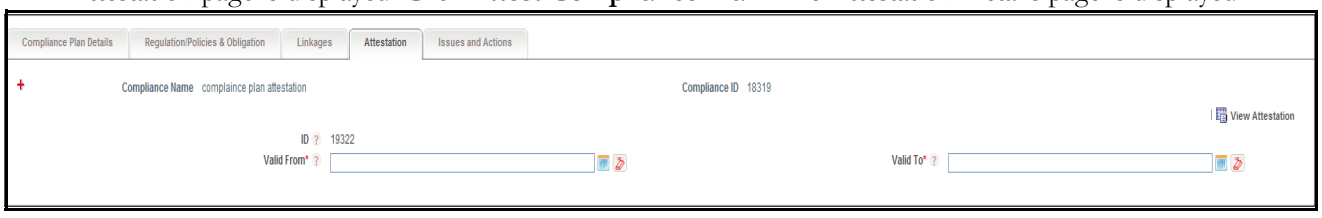



**Figure 336. Compliance Plan Attestation Details**

3. Enter the following information in the Attestation Details page.

**Table 189. Compliance Plan Attestation Details**

| Fields | Description |
|---|---|
| Attestation ID | Displays the sequential tracking number of the attestation. This is an auto-generated unique identification number and cannot be modified. |
| Valid From | Select a date from the calendar when the validity of this rating begins.<br>**Note:** The Valid From date should be less than Valid To date. If not, the system displays the following message: *Valid to date should be greater than Valid from date.* |
| Valid To | Select a date from the calendar when the validity of this rating ends.<br>**Note:** The Valid To date should not be greater than system date. Else, the system displays the following message: *Valid to date should be less than or equal to system date.* |

4. Click **Save**. The following message is displayed: *Add Operation Successful*. The Questionnaire for Compliance Plan Attestation section is displayed.

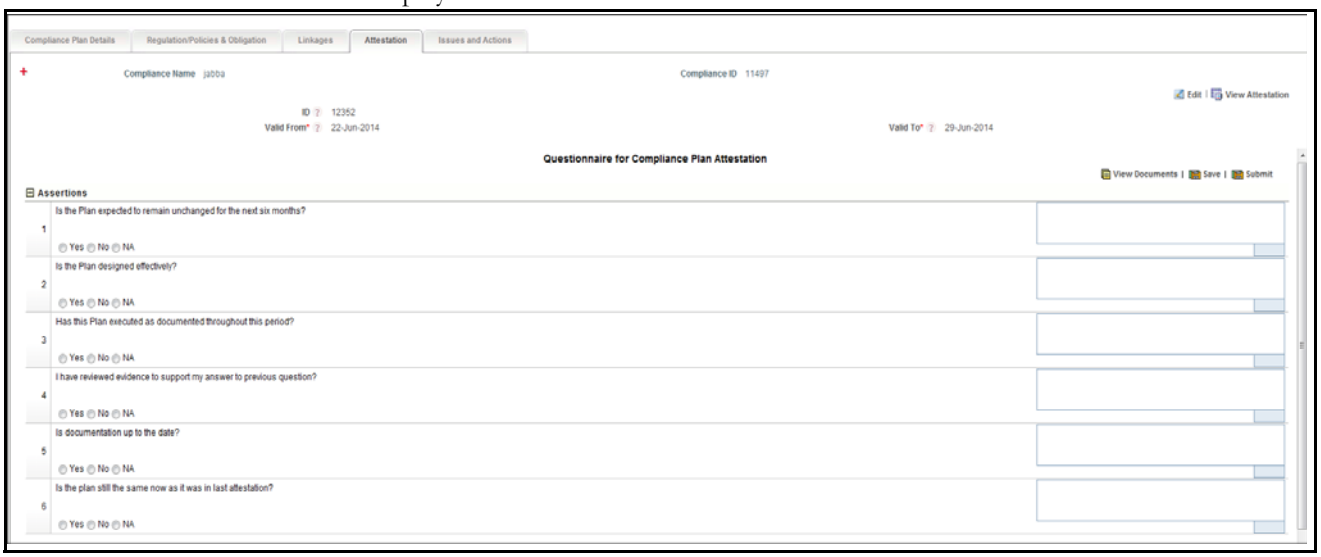



**Figure 337. Questionnaire for Compliance Plan Attestation section**

5. Select your responses and enter comments in the Questionnaire for Compliance Plan Attestation section.

   **Note:** Responses to all questions should be updated for submitting the attestation. If not, the following message is displayed: *Please answer all questions.*
   It is mandatory to enter comments for negative responses. If not, the application displays the following message: *Update Comments for all negative responses.*

6. Click **Save**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Pending Approval*.

   **Note:** To submit an attestation, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Enter all mandatory fields.*

### *Editing Compliance Plan Attestation by Compliance Owner*

You can edit when you want to update or modify the Attestation details in when Compliance Plan is in Open status.

1. Navigate to the Compliance Plan Details page.
2. Click **Attestation** tab. The Attestation page is displayed.
3. Click the Attestation **ID** that you want to edit. The Attestation Details section is displayed.
4. Make the necessary changes in the Attestation Details. For information about the fields, refer to *Table 189*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Pending Approval*.

### *Editing Compliance Plan Attestation by SOX Controller*

You can access Compliance Plan through your Inbox and you can edit a Compliance Plan attestation in Pending Approval status. You have the authority to approve the attestation by submitting it.

To edit a Compliance Plan attestation, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click **Attestation.** The Attestation page is displayed.
3. Click the Attestation **ID** that you want to edit. The Attestation Details section is displayed.
4. Make the necessary changes in the Attestation Details page. For information about the fields, refer to *Table 189*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Click **OK**.

   Or

   Click **Submit**. The following message is displayed: *Update Operation Successful*. Click **OK**. The status of the attestation changes to *Submitted*.

### *Deleting Compliance Plan Attestation*

If a Compliance Plan Attestation in Draft status is no longer required, it can be deleted.

To delete a Compliance Plan Attestation, follow these steps:

1. Navigate to the Compliance Plan Details page.
2. Click **Attestation.** The Attestation page is displayed.
3. Select the attestation record you want to delete. The Delete Attestation button is enabled.
4. Click **Delete Attestation**. The following message is displayed: *Are you sure you want to delete the selected record?*
5. Click **OK**. The attestation record is deleted from the list.

## Managing Issues and Actions

An issue is a problem statement and actions are plans or activities taken up to resolve those issues. You can create, link and delink, and delete Issues and Actions associated to the Compliance Plan.

This section covers the following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Action
- Closing Issues and Actions

### *Creating Issues*

When you identify a particular issue or a problem statement that poses as an operational risk to an organization, you can create issues and subsequently create necessary action plans to resolve or address those issues.

Users mapped to the role of Compliance Owner, Compliance Assessor, SOX Controller, and Compliance Identifier can create issues from the Compliance Plan section.

**Note:** The Compliance Plan must be in Open status to create Issues.

To create an Issue, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click Compliance Plan **ID**. The Compliance Plan Details page is displayed.
3. Click **Create Issue**. The Issue Details page is displayed.

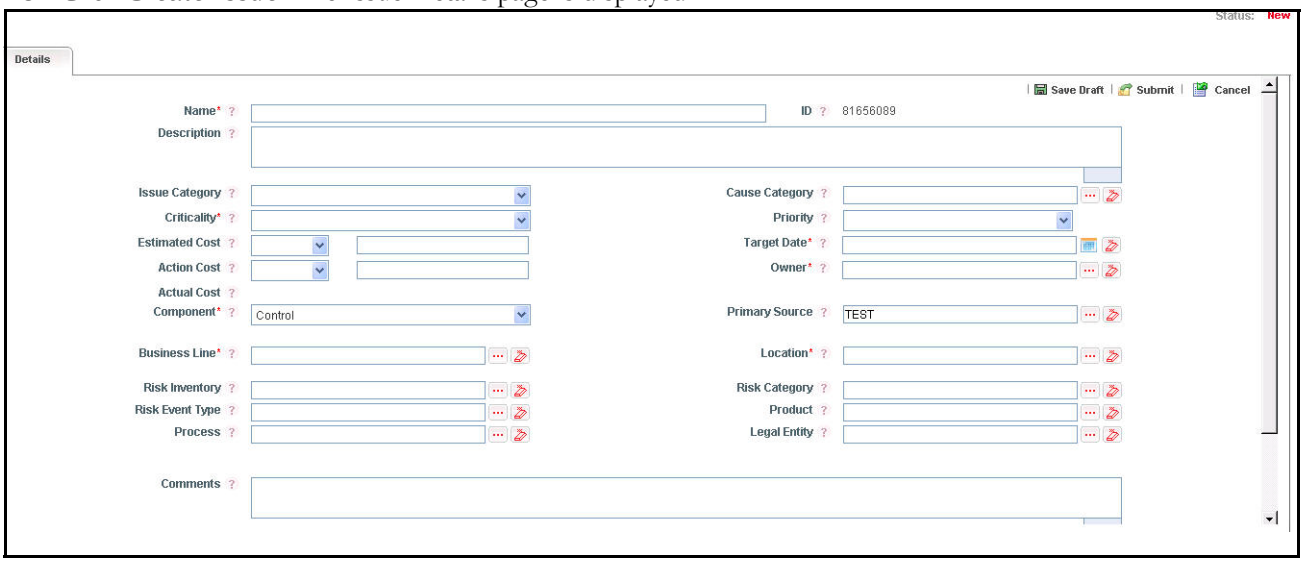



**Figure 338. Issue Details Page**

For more information on fields in the Issue Details page, refer to *Chapter 8: Managing Issues and Actions, Creating Issues* section.

If an issue is initiated from the Compliance Plan section, the Component field in the Issue Details page displays as Compliance Plan and the Primary Source field displays the Compliance Plan Name.

### *Creating Actions through Issues*

Organizations use action plans to address a particular issue that has occurred. Users mapped to the role of Issue Owners or Action Creators can create Action Plans for their Issues.

**Note:** To create actions plans, the Issue must be in Open status.

For more information about Creating Actions for Issues, refer to *Chapter 8: Managing Issues and Actions, Creating Actions* section.

### *Creating Actions Directly*

You can directly create Actions if Issue Creation is turned off. This feature is configured during installation of the OFSOR/GCM application or can be configured later.

Users mapped to the role of Compliance Owner, Compliance Assessor, and SOX Controller can create Actions from the Compliance Plan module.

**Note:** To create actions directly, the Compliance Plan must be in Open status.

To create actions directly, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click a Compliance Plan **ID**. The Compliance Plan Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

   For more information about Creating Actions for Issues, refer to *Chapter 8: Managing Issues and Actions, Creating Actions from Issues* section.

   If an Action is initiated from the Compliance Plan section, the Component and Primary Source fields in the Actions Details page displays as Compliance Plan and Compliance Plan Name respectively.

### *Linking and Delinking Issues and Actions*

The Issues and Actions tab allows you to link and delink issues and actions to Compliance Plan. You can link existing issues or actions to the Compliance Plan. If the issue or action is created from the Compliance Plan module, the issue or action will be automatically shown in the Issue or Action list of the Compliance Plan.

Users mapped to the role of Compliance Owner, Compliance Assessor, or SOX Controller can link and delink Issues to a Compliance Plan in Open status. You can only link issues which are in Open status.

Users mapped to the role of Issue Owner can link existing Actions to Issues which are in Open status.

If Issue creation is turned off, then Actions can be linked directly to a Compliance Plan. The Compliance Owner, Compliance Assessor, or SOX Controller can link and delink Issues to a Compliance Plan in Open status. You can only link issues which are in Open status.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click a Compliance Plan **ID**. The Compliance Plan Details page is displayed.

3. Click the **Issues and Action** tab. The Issues and Actions section is displayed.

   For more information on linking and delinking Issues and Actions, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

#### *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.

#### *Deleting an Action*

The Compliance Plan section allows you to delete Action Plans in Draft status.

Users mapped to the role of Issue Owner can delete Actions in Draft status if Issue Creation is turned on.

If Issue Creation is turned off, users mapped to the role of Compliance Owner, Compliance Assessor, or SOX Controller can delete Draft Actions linked to a Compliance Plan.

For more information about deleting Issues and Actions, refer to *Chapter 8: Managing Issues and Actions, Deleting an Issue* section.

#### *Closing Issues and Actions*

Actions can be closed once they are complete. If all actions for an Issue are addressed, then the Issue can be closed.

If an Action is abandoned mid-way, it can be force-closed. Once all actions are closed, the Issue can be closed.

Only users mapped to the role of Action Owner can close or force close actions.

Only an Issue Owner can close Issues.

For more information on closing Actions for Issues, refer to *Chapter 8: Managing Issues and Actions, Force-Closing an Action* section.

### Attaching and Deleting Documents

The Compliance Plan Details page allows you to attach or delete documents related to Compliance Plan. Users mapped to the role of Compliance Identifier can attach and delete documents related to Compliance Plan section.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

### Viewing Workflow History

The Compliance Plan Details page shows the audit trail of all changes made to the Compliance Plan. Users mapped to the role of Compliance Identifier can view the workflow history.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

### Managing Regulations/Policies in Compliance PlanViewing Compliance Plan Profile Report

The Compliance Plan Profile Report gives a current snapshot of the Compliance Plan details.

You can view the complete details of a particular Regulation or Policy in a PDF.

To view the Compliance Plan details in a PDF, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Click **Compliance Plan ID**. The Compliance Plan Details page is displayed.
3. Click **Compliance Plan Profile**. A File Download Box is displayed.

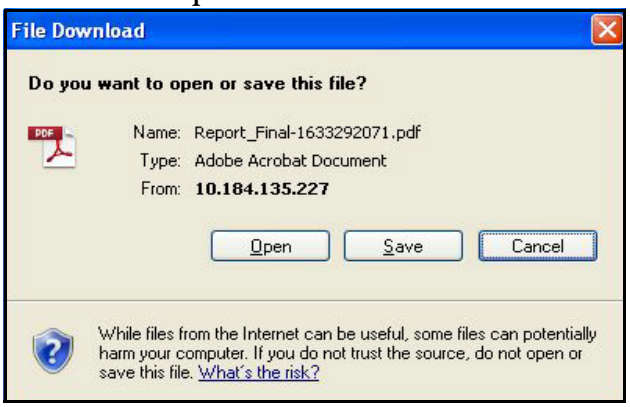



**Figure 339. File Download Box**

4. Click **Open**. A PDF report is generated.

## Deleting Compliance Plan

When an organization believes that a certain Regulation or Policy has been drafted incorrectly or not required, they may be deleted. The Compliance Plan Search and List page allows you to delete Compliance Plans.

Users mapped to the role of Compliance Identifier can delete a Compliance Plan in *Draft* status.

To delete a Compliance Plan, follow these steps:

1. Navigate to the Compliance Plan Search and List page.
2. Select the check box of the Compliance Plan in Draft status.
3. Click **Delete Compliance Plan**. 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 Compliance Plan Search and List page.

## Closing Compliance Plan

If the Compliance Plan is no longer required, you can close it in Open status. You can close Compliance Plans either from the Compliance Plan Search and List page or from the Compliance Plan Details page.

**Note:** All linked Obligations should be delinked before Compliance Plan are closed.

To close Compliance Plan, follow these steps:

1. Navigate to the Compliance Plan Search and List page. Select the Compliance Plan in Open status. Click **Close Compliance Plan**. The Reasons for Closure window is displayed.

   Or

   Click a Compliance Plan ID in Open status that you want to close. The Compliance Plan Details page is displayed. Click **Close Compliance Plan**. The Reasons for Closure window is displayed.

**Note:** If there are any Open Regulations and Obligations linked, a following message is displayed: *Compliance Plan is linked to active Regulations and Obligations. Do you want to continue?* Click on **Yes**. The Reason for Closure window is displayed.

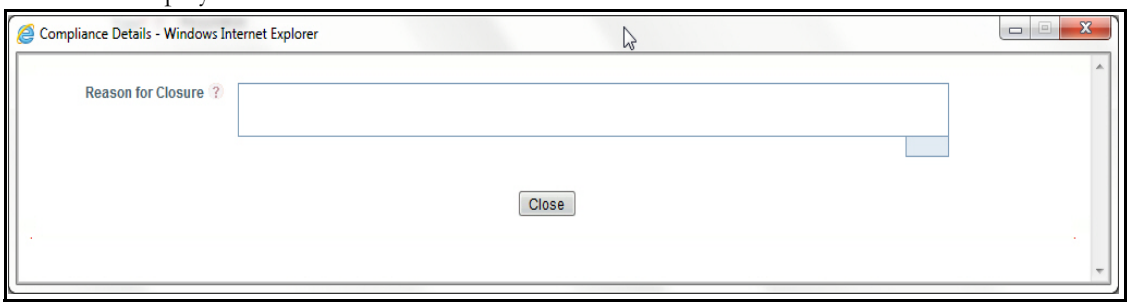



**Figure 340. Reason for Closure**

2. Enter the reasons for closure of the Compliance Plan. You can enter text up to 3000 characters.

   **Note:** It is mandatory to enter a reason for closure.

   **Note:** If you submit a Compliance Plan for closure without entering any comments, the following validation message is displayed: *Please enter the reason for closure.* Click **OK**. You are taken back to the window, where you can enter the necessary details and close the Compliance Plan.

3. Click **Close**. The following message is displayed*: Update Operation Successful.* The system refreshes and displays the Compliance Plan Search and List page.

## Exporting Compliance Plan List

Exporting the Compliance Plan List allows the organization to have a compiled list of all applicable Compliance Plan.

The Compliance Plan Search and List page allows you to export the details of the Compliance Plan. The Compliance Plan details can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

# Managing SOX 302 Certification

This section provides information about Sarbanes-Oxley Act (SOX) 302 Certification in the Compliance module of the Oracle Financial Services Operational Risk application and step-by-step instructions to use this section.

This section covers following topics:

- Overview of SOX
- About SOX 302 Certification
- User Roles and Actions
- SOX 302 Certification Workflow
- Accessing SOX 302 Certification
- Searching SOX 302 Certification
- Creating SOX 302 Certification
- Managing SOX 302 Certification Details
- Deleting SOX 302 Certification
- Exporting SOX 302 Certification List

## Overview of SOX

Sarbanes-Oxley Act (SOX) is an act passed by U.S. Congress in 2002 to protect investors from the possibility of fraudulent accounting activities by corporations. The SOX mandated strict reforms to improve financial disclosures from corporations and prevent accounting fraud. SOX was enacted in response to the accounting scandals in the early 2000s.

The two key provisions of the Sarbanes-Oxley Act are:

- **Section 302**: A mandate that requires senior management to certify the accuracy of the reported financial statement
- **Section 404**: A requirement that management and auditors establish internal controls and reporting methods on the adequacy of those controls.

## About SOX 302 Certification

The Sarbanes-Oxley Act of 2002, section 302, Corporate Responsibility for Financial Reports, requires the CEO and CFO of publicly traded companies and their subsidiaries in USA to certify the appropriateness of their financial statements and disclosures and to certify that they fairly present, in all material respects, the operations and financial condition of the company.

Section 302 of the Act mandates a set of internal procedures designed to ensure accurate financial disclosure. The Chief Executive Officer (CEO) and Chief Financial Officer (CFO) must certify that:

- They are responsible for establishing and maintaining internal controls
- They have designed such internal controls to ensure that material information relating to the company and its consolidated subsidiaries is made known to such officers by others within those entities, particularly during the period in which the periodic reports are being prepared

- They must have evaluated the effectiveness of the company's internal controls as of a date within 90 days prior to the report
- They have presented in the report their conclusions about the effectiveness of their internal controls based on their evaluation as of that date

### Salient Features

Following are the some of the salient features of SOX 302 Certification section:

- Provides an ability for bank, organization, or financial institutions to create and update SOX 302 Certification
- Links Process and Controls to SOX 302 Certification
- Generates SOX 302 Certification report
- Exports SOX 302 Certification

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

This section is designed for users mapped to the role of Chief Executive Officer (CEO). This user manages the entire process involved in SOX 302 Certification. The CEO creates, edits, deletes, and asserts SOX 302 Certification and also links Process and Controls to SOX 302 Certification.

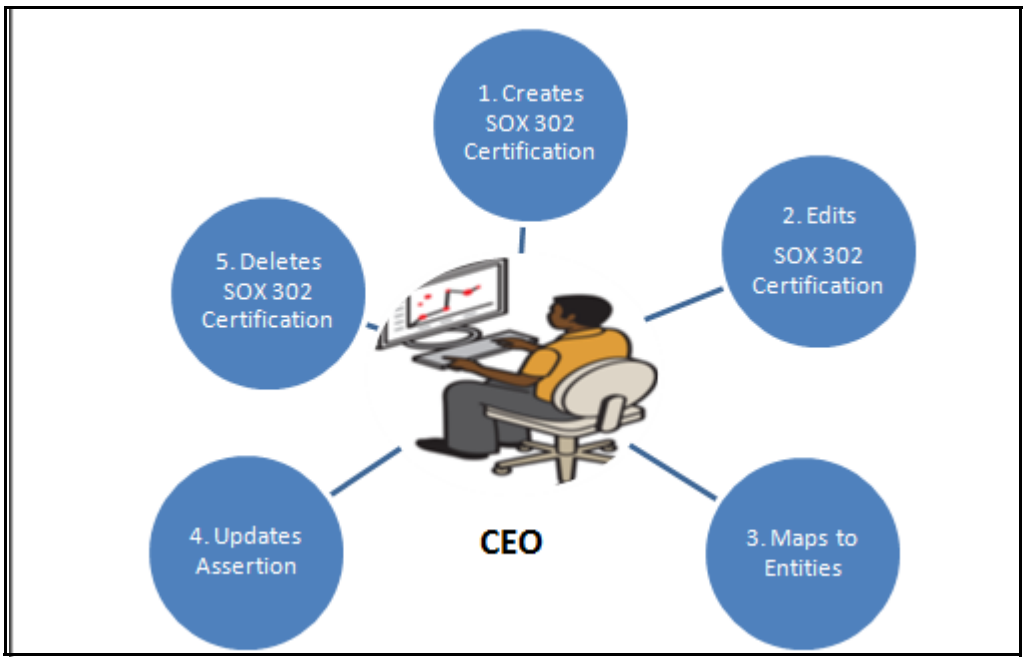



**Figure 341. User Roles and Actions**

### Actions

The SOX 302 Certification section allows CEO to perform the following actions in the application:

- **Creating SOX 302 Certification**: This action allows users to create new SOX 302 Certification. Once users create SOX 302 Certification they can save as draft or submit the details. They can also link or delink an Process and controls, and attach or delete the documents.
- **Editing SOX 302 Certification**: This action allows users to edit and update the SOX 302 Certification details in Draft status.
- **Deleting SOX 302 Certification**: When an organization believes that a certain SOX 302 Certification have been drafted incorrectly or are not required such certificates can be deleted. This action allows users to delete SOX 302 Certification.
- **Exporting SOX 302 Certification**: The Exported SOX 302 Certification report allows the organization to have a compiled list of all applicable SOX 302 Certification. This action allows users to export the details of the SOX 302 Certification.

## SOX 302 Certification Workflow

The following figure explains the SOX 302 Certification workflow:

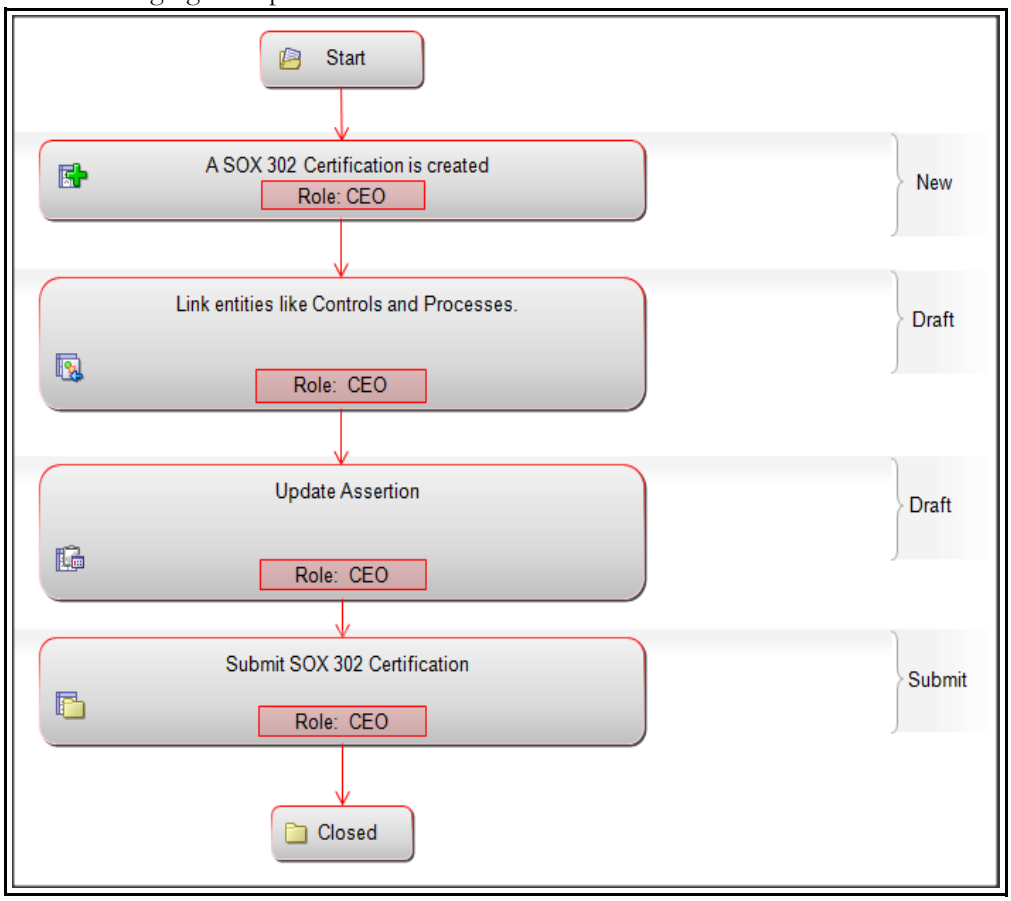



**Figure 342. SOX 302 Certification Workflow**

## Accessing SOX 302 Certification

This section explains how to access the SOX 302 Certification section in Oracle Financial Services Operational Risk application.

To access the SOX 302 Certification section, follow these steps:

1. Login to the OFSOR application as Chief Executive Officer. The OFSOR Home page is displayed.
2. Hover over the **Compliance** primary menu and click **SOX 302 Certification**. The SOX 302 Certification Search and List page is displayed.

## Searching SOX 302 Certification

This section explains how to search and filter the existing SOX 302 Certification. The Search and List page allows you to filter the SOX 302 Certification details that you want to view and analyze. The SOX 302 Certification search section supports three types of search- Basic Search, Advanced Search, and Views. You can use only one search type at a time.

This section explains the following topics:

- Searching SOX 302 Certificates Using Basic Search
- Searching SOX 302 Certification Using Advanced Search
- Searching SOX 302 Certification Using Pre-defined Views

### Searching SOX 302 Certificates Using Basic Search

This search is based on limited set of search criteria. It helps you to retrieve the relevant SOX 302 Certificates details.

To search for SOX 302 Certificates using the basic search, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.

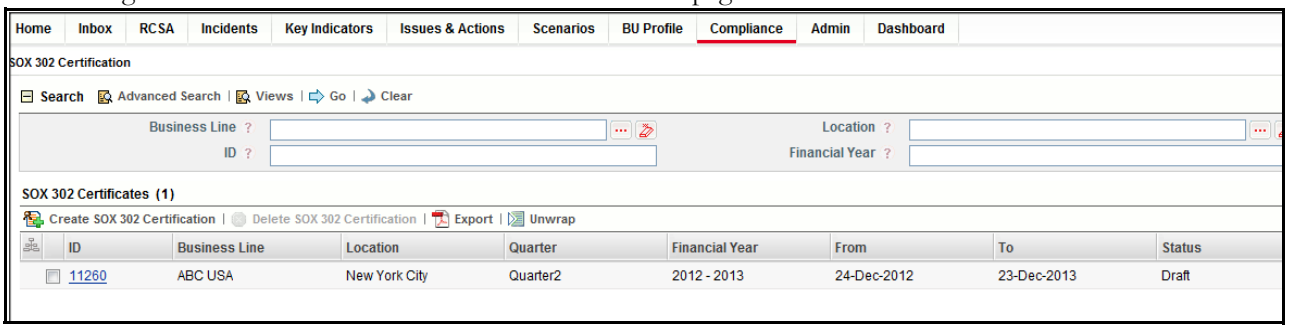



**Figure 343. Searching SOX 302 Certification Using Basic Search**

**Note:** By default, the SOX 302 Certification Search and List page displays all SOX 302 Certificates details.

2. Enter the search criteria to filter the SOX 302 Certification list.

   The following table provides a list of search fields.

**Table 190. Criteria for Basic Search**

| Criteria | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. The Business Line for which SOX 302 Certification has been localized |
| Location | Select the Location from the hierarchy browser. The Location for which SOX 302 Certification has been localized. |
| ID | Enter the sequential tracking number of the SOX 302 Certification.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Financial Year | Enter the financial year of the SOX 302 Certification. It is the financial year of SOX 302 Certification. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank

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

### Searching SOX 302 Certification Using Advanced Search

Advanced search provides more specific search capabilities. It offers the same search fields as provided for a basic search along with an expanded set of additional fields. If you know SOX 302 Certification details such as ID, Location, Financial Year, and so on, then you can filter the SOX 302 Certification using the Advanced Search.

To search for SOX 302 Certificates using the Advanced Search, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click **Advanced Search** from the search section. The Advanced Search fields expand.

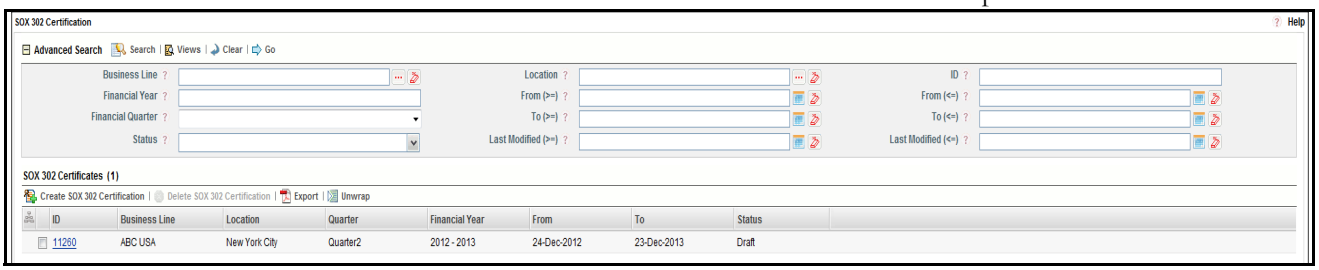



**Figure 344. Searching SOX 302 Certification Using Advanced Search**

3. Enter the search criteria to filter the SOX 302 Certification list.

   The following table provides a list of search fields that display in the SOX 302 Certification Advanced Search section.

**Table 191. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. The Business Line for which SOX 302 Certification has been localized. |
| Location | Select the Location from the hierarchy browser. The Location for which SOX 302 Certification has been localized. |
| ID | Enter the sequential tracking number of the SOX 302 Certification.<br>This field allows you to enter a maximum of 30 numeric values and supports wildcard search. |
| Financial Year | Enter the financial year of the SOX 302 Certification. It is the financial year of SOX 302 Certification. |
| From(>=) | Select the From date from the calendar. This date shows all SOX 302 Certifications for Financial year having From Date greater than or equal to the specified Date. |
| From(<=) | Select the From date from the calendar. This date shows all SOX 302 Certifications for Financial year having From Date lesser than or equal to the specified Date. |
| To (>=) | Select the To date from the calendar. This date shows all SOX 302 Certifications for Financial year having To Date greater than or equal to the specified Date. |
| To (<=) | Select the To date from the calendar. This date shows all SOX 302 Certifications for Financial year having To Date lesser than or equal to the specified Date. |

**Table 191. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Financial Quarter | Select the financial quarter drop-down list (Quarter1, Quarter2,Quarter3,and Quarter4). |
| Status | Select the SOX 302 Certification status from the drop-down list.<br>Following are the possible options for status drop-down list:<br>● Select all<br>● Draft<br>● Submitted<br>**Note:** You can select more than one option. |

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

   **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.*

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

### Searching SOX 302 Certification Using Pre-defined Views

Views search represents pre-populated search queries and helps you to filter the SOX 302 Certification based on the pre-defined views.

To search SOX 302 Certification using pre-defined views, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

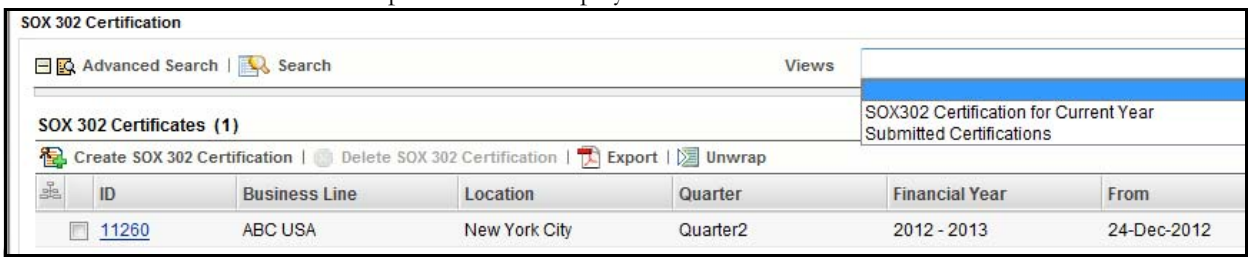



**Figure 345. Searching SOX 302 Certification Using Views**

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

   The following table explains the different types of pre-defined views available.

**Table 192. SOX 302 Certification Views**

| Views | Description |
|---|---|
| SOX 302 Certification for Current Year | Select *SOX 302 Certification for Current Year* from the views drop-down list to display all certifications where financial year is equal to current fiscal year. |
| Submitted Certifications | Select *Submitted Certifications* from the views drop-down list to display all submitted certifications. |

**Note:** These options are the default Views provided in the application. If a search criteria is saved from the Advanced Search features, it is listed in this drop-down list.

## Creating SOX 302 Certification

The main objective of SOX 302 certificate is to ensure provision of Executive Certification a permanent requirement for all publicly traded companies and their subsidiaries in USA.

This drives down responsibility to employees at lowest level who have key control roles assigned to them. This ensures high level of accuracy and provides confidence over the Financial Information.

The CEO and CFO of the company will sign off financial information with confidence based on the Internal Controls implemented by the control officers

To create SOX 302 Certification, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click **Create SOX 302 Certification**. The SOX 302 Certification Details page is displayed.

   The status of the SOX 302 Certification is displayed as *New*.




**Figure 346. SOX 302 Certification Details Page**

3. Enter the following information in the SOX 302 Certification Details page.

   The following table describes the fields of the SOX 302 Certification Details page:

**Table 193. Fields of SOX 302 Certification Details Page**

| Field | Description |
|---|---|
| ID | Displays the sequential tracking number of the SOX 302 Certification.This is an auto-generated unique identification number and cannot be modified. |
| Certification Type | Displays the SOX Certification type. The certificate provided as per Section 302 of the Sarbanes-Oxley Act of 2002, to certify the accuracy of their company's periodic reports on Forms 10-Q. |
| Business Line | Select the Business Line from the hierarchy browser. The Business Line for which SOX 302 Certification has been localized. |
| Location | Select the Location from the hierarchy browser. The Location for which SOX 302 Certification has been localized. |
| From | Select the From date from the calendar. This date is beginning of the financial year. |
| To | Select the To date from the calendar. This date is end of the financial year. |
| Financial Year | Displays the financial year of the SOX 302 Certification. It is the Financial Year for which the certificate is applicable. |
| Financial Quarter | Select the financial quarter from drop-down list (Quarter1, Quarter2,Quarter3,and Quarter4). |
| Quarterly Period Ended | Displays the End date of the selected financial quarter. |
| Review Comments | Enter the additional information, if any.<br>**Note:** You can enter up to 3000 characters. |
| Declaration | Enter the declaration comment.<br>**Note:** You can enter up to 3000 characters. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The status of the SOX 302 Certification changes to *Draft*. The SOX 302 Certification Details page is displayed.

### Submitting a SOX 302 Certification in Draft Status

You may choose not to submit the SOX 302 Certification details while creating a new one and saved it as a draft. You can submit the same SOX 302 Certification details by entering all mandatory fields.

To submit the SOX 302 Certification, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click the SOX 302 Certification ID in *Draft* status. The SOX 302 Certification Details page is displayed.

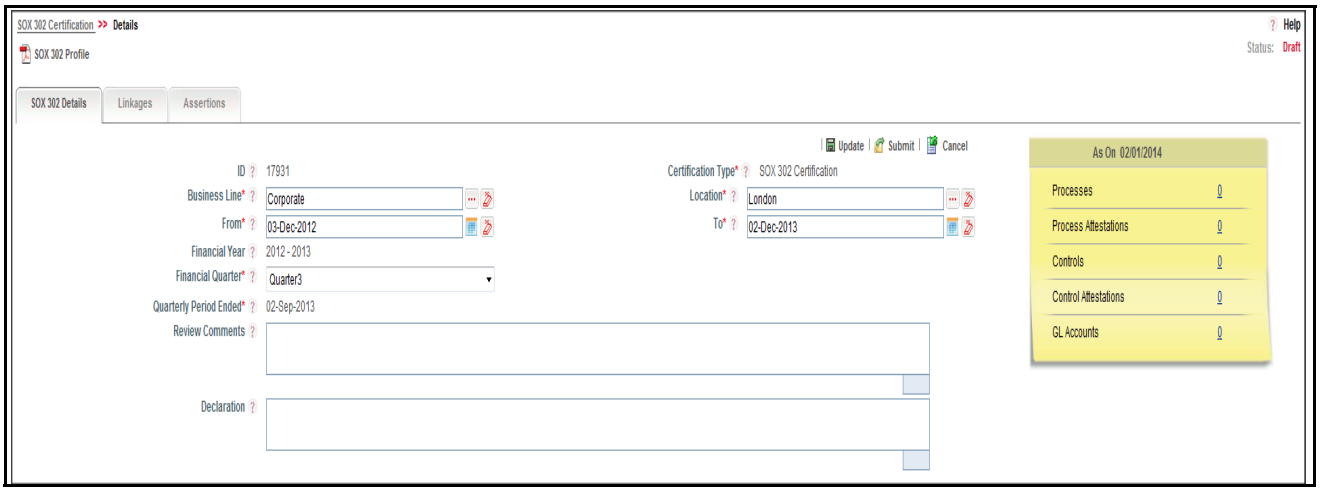



**Figure 347. SOX 302 Certification Details Page**

The SOX 302 Certification Details page allows you to perform the following tasks in *Draft* status:

- Editing SOX 302 Certification details
- Viewing the Workflow History of SOX 302 Certification
- Attaching and deleting documents related to SOX 302 Certification
- Viewing SOX 302 Certification Profile Report
- Managing Linkages
- Managing Assertion

For more information on above tasks, refer to *Managing SOX 302 Certification Details* section.

3. Click **Edit**. The SOX 302 Certification page is enabled to modify the information.
4. Modify the necessary information, for more details on field description, refer *Table 193*.
5. Click **Update**. The information is updated.
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

**Note:** To submit SOX 302 Certification, it is mandatory to perform following actions:

- Link at least one Process and Controls to the SOX 302 certification
- Answer all Assertions. For negative feedback, you need to update comments

For more information on above tasks, refer to *Managing SOX 302 Certification Details* section.

**Warning:**

- If you try to submit record without linking any Process, the application displays following message: *At least one Process should be added.*
- If you try to submit record without linking any Control, the application displays following message: *At least one Control should be added*.
- If you try to submit record without answering Assertions, the application displays following message: *Please Answer the Questions in Assertion.*

- All mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

7. Click **OK**. The status of the SOX 302 Certification changes to *Submitted.*

## Managing SOX 302 Certification Details

This page allows you to manage various tabs and functionalities pertaining to the SOX 302 Certification.

This section discusses the following topics:

- Editing SOX 302 Certification Details
- Managing SOX 302 Details
- Managing Linkages
- Managing Assertion
- Viewing SOX 302 Certification Profile Report

### Editing SOX 302 Certification Details

This section describes how to edit and update existing SOX 302 Certification in Draft status. You can edit an SOX 302 Certification from the SOX 302 Certification Details page.

To edit SOX 302 Certification in Draft status, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click SOX 302 Certificates ID in Draft status. The SOX 302 Certification Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the SOX 302 Certification Details page.
4. Modify the necessary information. For more information on fields, refer *Table 193*.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*

### Managing SOX 302 Details

This section explains following topics:

- Attaching and Deleting Documents
- Viewing Workflow History

#### *Attaching and Deleting Documents*

The SOX 302 Certification Details page allows you to attach or delete documents related to SOX 302 Certification.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

#### *Viewing Workflow History*

The SOX 302 Certification Details page shows the audit trail of all changes made to the SOX 302 Certification.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

### Managing Linkages

This section explains about linking and delinking entities to SOX 302 Certification.

You can link following entities to SOX 302 Certification in *Draft* status:

- Process
- Controls

To link or delink entities to SOX 302 Certification, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click SOX 302 Certificates ID. The SOX 302 Certification Details page is displayed.
3. Click **Linkage** tab. The Linkage Details page is displayed.

   **Note:** When a Process or Control is linked, all related attestations and GL accounts for the process or Control are displayed.

   For more details on linking and delinking entities to SOX 302 Certification, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

### Managing Assertion

The purpose of assertion is to provide Confidence to all stakeholders about the financial information provided and the internal controls implemented by the company.

This section explains about updating assertion for a SOX 302 Certification.

To update the assertion for SOX 302 Certification, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click SOX 302 Certificates ID. The SOX 302 Certification Details page is displayed.
3. Click **Assertion** tab. The Questionnaire for SOX 302 Assertion page is displayed.




**Figure 348. File Download Box**

4. Select **Yes**, **No**, or **NA** to answer each question. Enter the relevant comment against each question.
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** If you don't enter comments for the negative answers, the following message is displayed: *Please provide comments for the highlighted responses.*

### Viewing SOX 302 Certification Profile Report

The SOX 302 Certification profile report gives a snapshot of current SOX 302 Certification details.

You can view the complete details of a particular SOX 302 Certification in a PDF.

To view the SOX 302 Certification details in a PDF, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Click **SOX 302 Certificates ID**. The SOX 302 Certification Details page is displayed.
3. Click **SOX 302 Certification Profile**. A File Download Box is displayed.

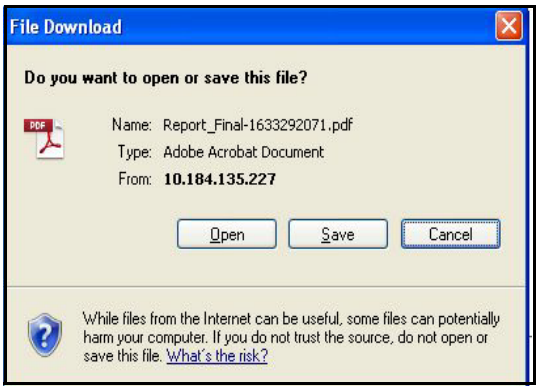



**Figure 349. File Download Box**

4. Click **Open**. A PDF report is generated.

## Deleting SOX 302 Certification

When an organization believes that a certain SOX 302 Certification has been drafted incorrectly or not required, they may be deleted. The SOX 302 Certification Search and List page allows you to delete SOX 302 Certification.

To delete SOX 302 Certification, follow these steps:

1. Navigate to the SOX 302 Certification Search and List page.
2. Select the check box of the SOX 302 Certificate in Draft status.
3. Click **Delete SOX 302 Certification**. 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 SOX 302 Certification Search and List page.

## Exporting SOX 302 Certification List

Exporting SOX 302 Certification List allows the organization to have a compiled list of all applicable SOX 302 Certification.

The SOX 302 Certification Search and List page allows you to export the details of the SOX 302 Certification. The SOX 302 Certification details can be exported to a Portable Document Format (PDF) for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

# Managing SOX 404 Certification

This section provides information about Sarbanes-Oxley Act (SOX) 404 Certification in the Compliance module of the Oracle Financial Services Operational Risk application and step-by-step instructions to use this section.

This section covers following topics:

- About SOX 404 Certification
- User Roles and Actions
- SOX 404 Certification Workflow
- Accessing SOX 404 Certification
- Searching SOX 404 Certification
- Creating SOX 404 Certification
- Managing SOX 404 Certification Details
- Deleting SOX 404 Certification
- Exporting SOX 404 Certification List

## About SOX 404 Certification

The most contentious aspect of SOX is Section 404, which requires management and the external auditor to report on the adequacy of the company's internal control on financial reporting (ICFR). This is the most costly aspect of the legislation for companies to implement, as documenting and testing important financial manual and automated controls requires enormous effort.

SOX 404 compliance costs represent a tax on inefficiency, encouraging companies to centralize and automate their financial reporting systems.

### Salient Features of SOX 404 Certification

Following are the some of the salient features of SOX 404 Certification section:

- Provides an ability for bank, organization, or financial institutions to create and update SOX 404 Certification
- Links Process and Controls to SOX 404 Certification
- Generates SOX 404 Certification report
- Exports SOX 404 Certification

## User Roles and Actions

This section covers the following topics:

- User Roles
- Actions

### User Roles

This section is designed for users mapped to the role of Chief Executive Officer (CEO). This user manages the entire process involved in SOX 404 Certification. The CEO creates, edits, deletes, and asserts SOX 404 Certification and also links Process and Controls to SOX 404 Certification.

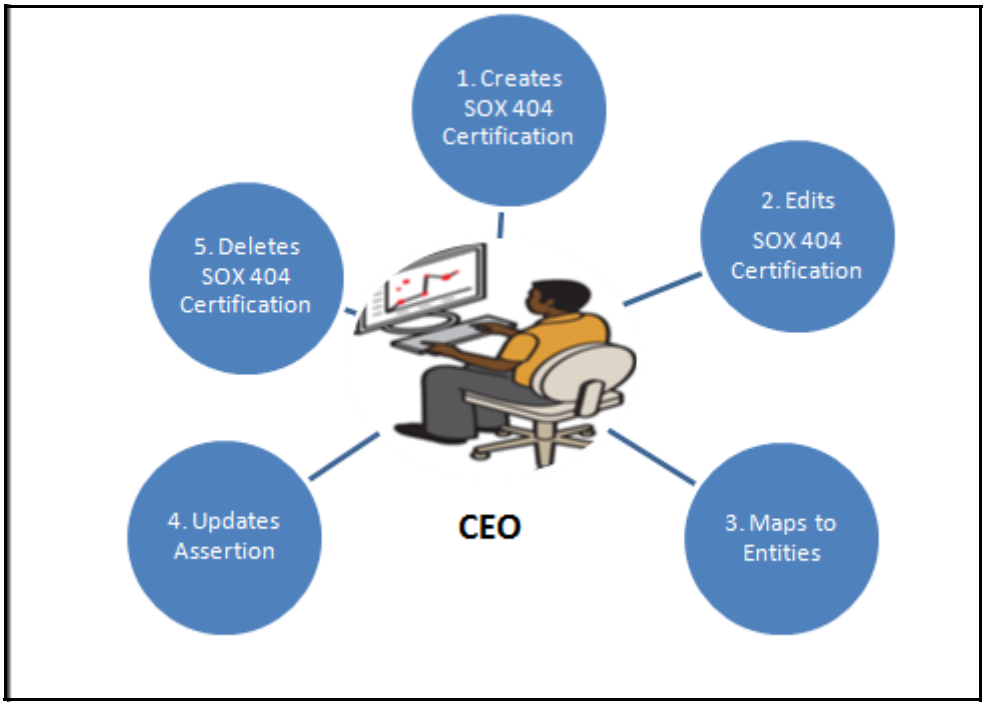



**Figure 350. User Roles and Actions**

### Actions

The SOX 404 Certification section allows CEO to perform the following actions in the application:

- **Creating SOX 404 Certification**: This action allows users to create new SOX 404 Certification. Once users create SOX 404 Certification they can save as draft or submit the details. They can also link or delink an Process and controls, and attach or delete the documents.
- **Editing SOX 404 Certification**: This action allows users to edit and update the SOX 404 Certification details in Draft status.
- **Deleting SOX 404 Certification**: When an organization believes that a certain SOX 404 Certification have been drafted incorrectly or are not required, such certificates can be deleted. This action allows users to delete SOX 404 Certification.
- **Exporting SOX 404 Certification**: The Exported SOX 404 Certification report allows the organization to have a compiled list of all applicable SOX 404 Certification. This action allows users to export the details of the SOX 404 Certification.

## SOX 404 Certification Workflow

The following figure explains the SOX 404 Certification workflow:

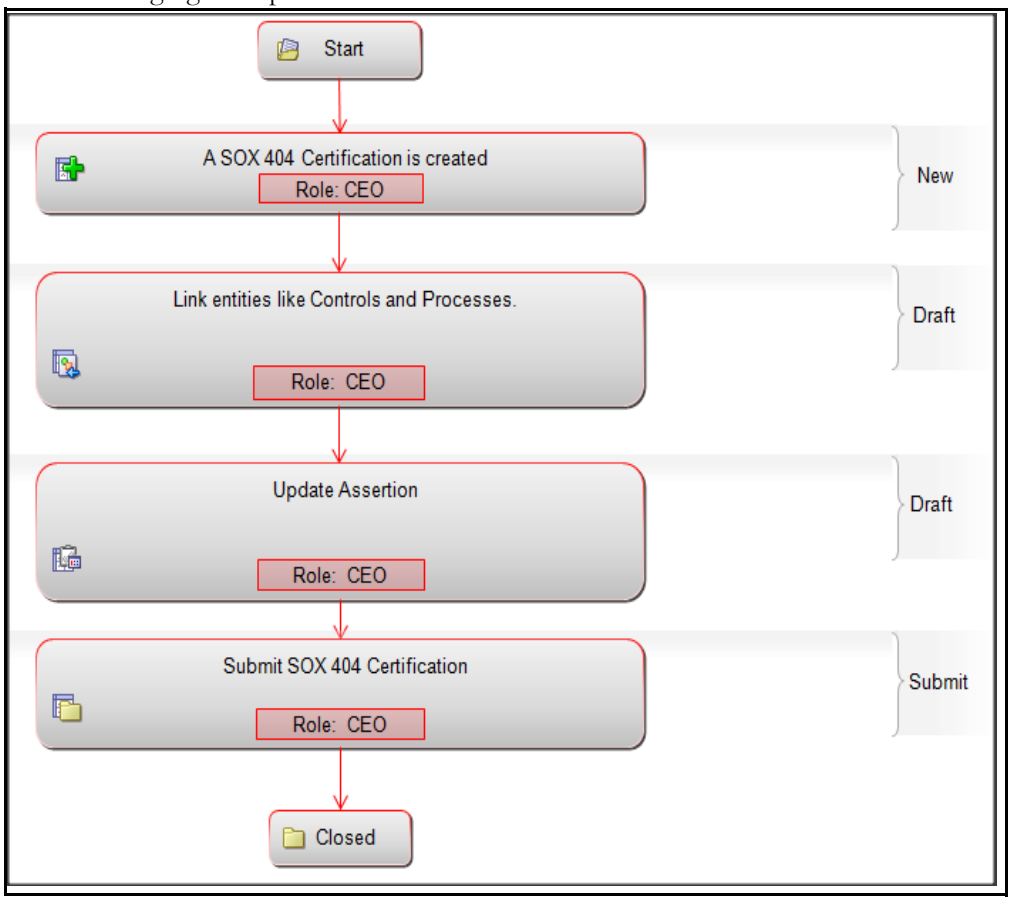



**Figure 351. SOX 404 Certification Workflow**

## Accessing SOX 404 Certification

This section explains how to access the SOX 404 Certification section in Oracle Financial Services Operational Risk application.

To access the SOX 404 Certification section, follow these steps:

1. Login to the OFSOR application as Chief Executive Officer. The OFSOR Home page is displayed.
2. Hover over the **Compliance** primary menu and click **SOX 404 Certification**. The SOX 404 Certification Search and List page is displayed.

## Searching SOX 404 Certification

This section explains how to search and filter the existing SOX 404 Certification. The Search and List page allows you to filter the SOX 404 Certification details that you want to view and analyze. The SOX 404 Certification search section supports three types of search- Basic Search, Advanced Search, and Views. You can use only one search type at a time.

This section explains the following topics:

- Searching SOX 404 Certificates Using Basic Search
- Searching SOX 404 Certification Using Advanced Search
- Searching SOX 404 Certification Using Pre-defined Views

### Searching SOX 404 Certificates Using Basic Search

This search is based on limited set of search criteria. It helps you to retrieve the relevant SOX 404 Certificates details.

To search for SOX 404 Certificates using the basic search, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.

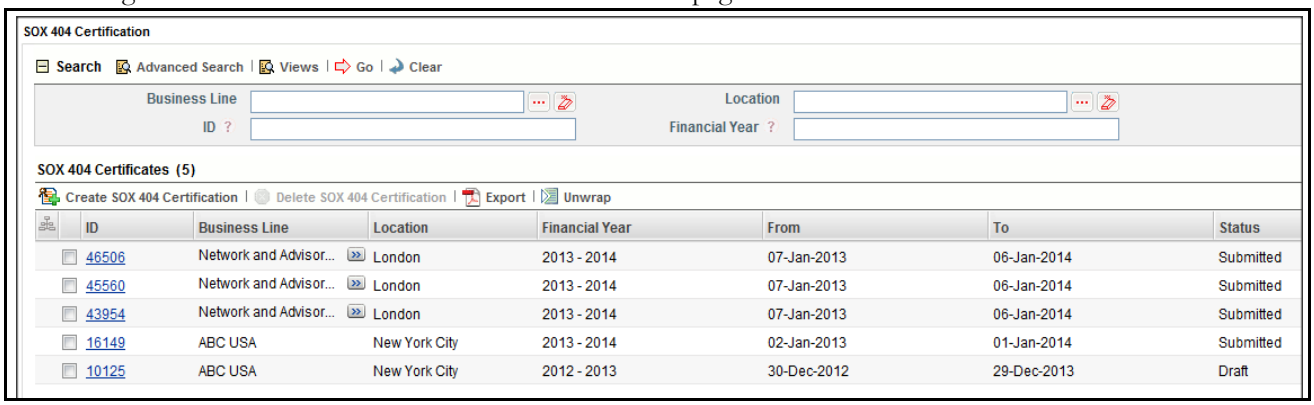



**Figure 352. Searching SOX 404 Certification Using Basic Search**

**Note:** By default, the SOX 404 Certification Search and List page displays all SOX 404 Certificates details.

2. Enter the search criteria to filter the SOX 404 Certification list.

   The following table provides a list of search fields.

**Table 194. Criteria for Basic Search**

| Criteria | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. The Business Line for which SOX 404 Certification has been localized |
| Location | Select the Location from the hierarchy browser. The Location for which SOX 404 Certification has been localized. |
| ID | Enter the sequential tracking number of the SOX 404 Certification.<br>This field allows you to enter a maximum of 30 numeric characters and supports wildcard search. |
| Financial Year | Enter the financial year of the SOX 404 Certification. It is the financial year of SOX 404 Certification. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

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

### Searching SOX 404 Certification Using Advanced Search

Advanced search provides more specific search capabilities. It offers the same search fields as provided for a basic search along with an expanded set of additional fields. If you know SOX 404 Certification details such as ID, Location, Financial Year, and so on, then you can filter the SOX 404 Certification using the Advanced Search.

To search for SOX 404 Certificates using the Advanced Search, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click **Advanced Search** from the search section. The Advanced Search fields expand.

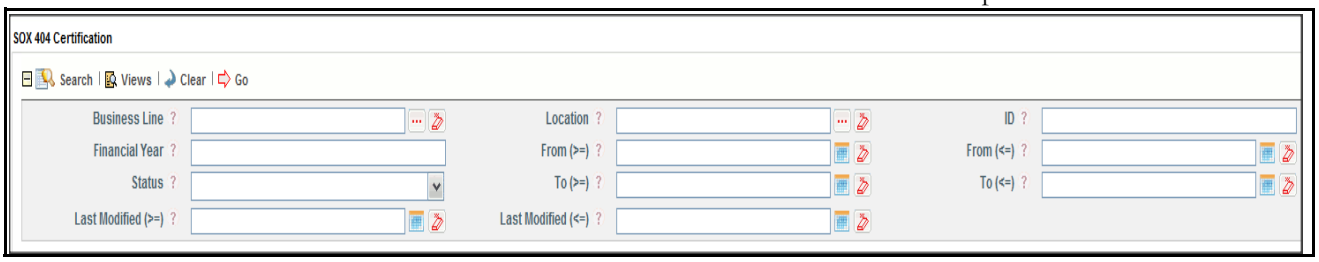



**Figure 353. Searching SOX 404 Certification Using Advanced Search**

3. Enter the search criteria to filter the SOX 404 Certification list.

   The following table provides a list of search fields that display in the SOX 404 Certification Advanced Search section.

**Table 195. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. The Business Line for which SOX 404 Certification has been localized. |
| Location | Select the Location from the hierarchy browser. The Location for which SOX 404 Certification has been localized. |
| ID | Enter the sequential tracking number of the SOX 404 Certification.<br>This field allows you to enter a maximum of 30 numeric characters and supports wildcard search. |
| Financial Year | Enter the financial year of the SOX 404 Certification. It is the financial year of SOX 404 Certification. |
| From(>=) | Select the From date from the calendar. This date shows all SOX 404 Certifications for Financial year having From Date greater than or equal to the specified Date. |
| From(<=) | Select the From date from the calendar. This date shows all SOX 404 Certifications for Financial year having From Date lesser than or equal to the specified Date. |
| To (>=) | Select the To date from the calendar. This date shows all SOX 404 Certifications for Financial year having To Date greater than or equal to the specified Date. |

**Table 195. Criteria for Advanced Search**

| Criteria | Description |
|---|---|
| To (<=) | Select the To date from the calendar. This date shows all SOX 404 Certifications for Financial year having To Date lesser than or equal to the specified Date. |
| Status | Select the SOX 404 Certification status from the drop-down list.<br>Following are the possible options for status drop-down list:<br>● Select all<br>● Draft<br>● Submitted<br>**Note:** You can select more than one option. |

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

   **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.*

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

### Searching SOX 404 Certification Using Pre-defined Views

Views search represents pre-populated search queries and helps you to filter the SOX 404 Certification based on the pre-defined views.

To search SOX 404 Certification using pre-defined views, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

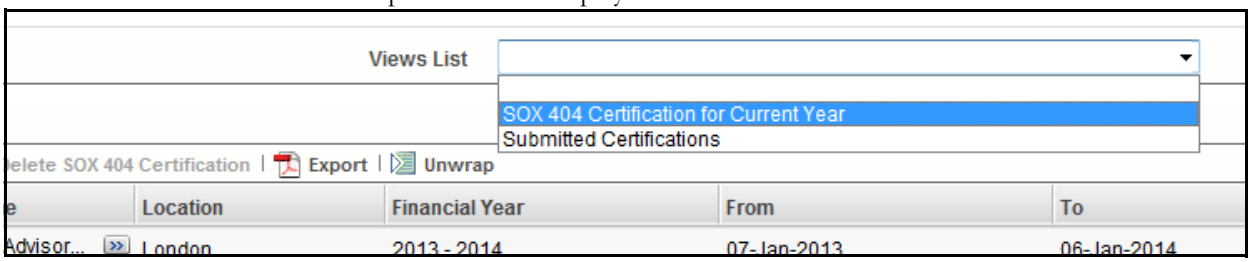



**Figure 354. Searching SOX 404 Certification Using Views**

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

   The following table explains the different types of pre-defined views available.

**Table 196. SOX 404 Certification Views**

| Views | Description |
|---|---|
| SOX 404 Certification for Current Year | Select *SOX 404 Certification for Current Year* from the views drop-down list to display all certifications where financial year is equal to current fiscal year. |
| Submitted Certifications | Select *Submitted Certifications* from the views drop-down list to display all submitted certifications. |

**Note:** These options are the default Views provided in the application. If a search criteria is saved from the Advanced Search features, it is listed in this drop-down list.

## Creating SOX 404 Certification

SOX 404 was primarily designed to restore investor confidence due to well-publicized bankruptcies and internal control breakdowns that brought chief executives, audit committees, and the independent auditors under heavy scrutiny.

Section 404 requires management and the external auditor to report on the adequacy of the company's internal control on financial reporting (ICFR). Under Section 404 of the Act, management is required to produce an *internal control report* as part of each annual Exchange Act report.

To create SOX 404 Certification, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click **Create SOX 404 Certification**. The SOX 404 Certification Details page is displayed.

   The status of the SOX 404 Certification is displayed as *New*.

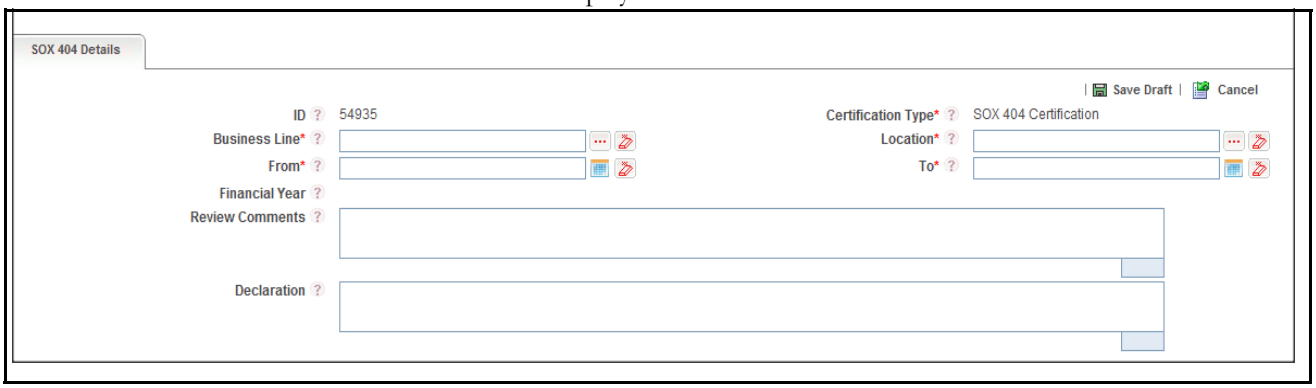



**Figure 355. SOX 404 Certification Details Page**

3. Enter the following information in the SOX 404 Certification Details page.

   The following table describes the fields of the SOX 404 Certification Details page:

**Table 197. Fields of SOX 404 Certification Details Page**

| Field | Description |
|---|---|
| ID | Displays the sequential tracking number of the SOX 404 Certification.This is an auto-generated unique identification number and cannot be modified. |
| Certification Type | Displays the SOX Certification type. The certificate provided as per Section 404 of the Sarbanes-Oxley Act of 2002, to certify the accuracy of their company's periodic reports on Forms 10-Q. |
| Business Line | Select the Business Line from the hierarchy browser. The Business Line for which SOX 404 Certification has been localized. |
| Location | Select the Location from the hierarchy browser. The Location for which SOX 404 Certification has been localized. |
| From | Select the From date from the calendar. This date is beginning of the financial year. |
| To | Select the To date from the calendar. This date is end of the financial year. |
| Review Comments | Enter the additional information, if any.<br>**Note:** You can enter up to 3000 characters. |
| Declaration | Enter the declaration comment.<br>**Note:** You can enter up to 3000 characters. |

4. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The status of the SOX 404 Certification changes to *Draft*. The SOX 404 Certification Details page is displayed.

### Submitting a SOX 404 Certification in Draft Status

You can submit the same SOX 404 Certification details by entering all mandatory fields.

To submit the SOX 404 Certification, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click the SOX 404 Certification ID in *Draft* status. The SOX 404 Certification Details page is displayed.

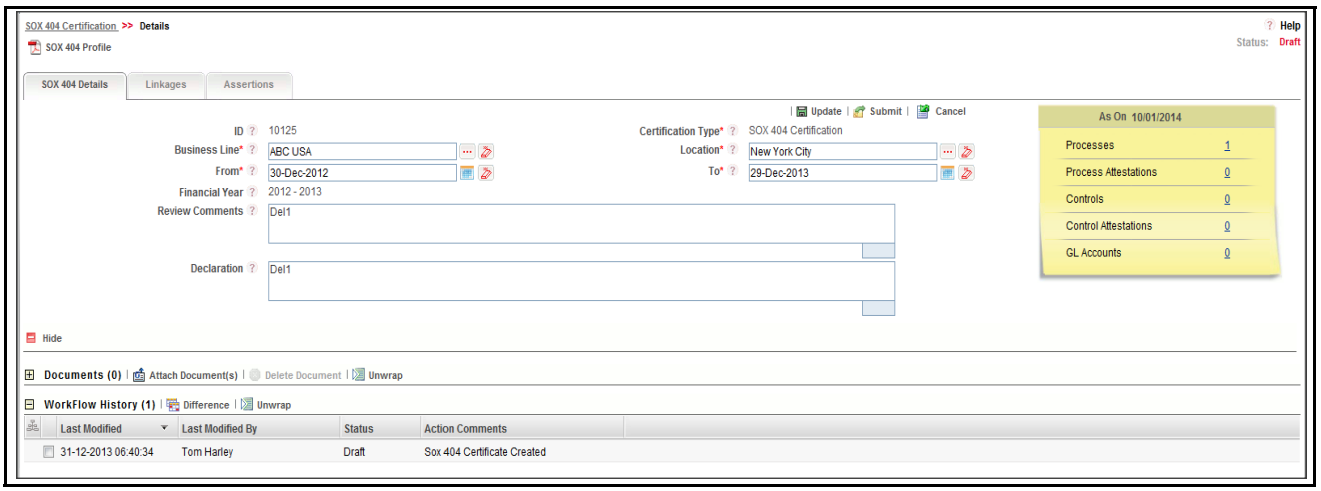



**Figure 356. SOX 404 Certification Details Page**

The SOX 404 Certification Details page allows you to perform the following tasks in *Draft* status:

- Editing SOX 404 Certification details
- Viewing the Workflow History of SOX 404 Certification
- Attaching and deleting documents related to SOX 404 Certification
- Viewing SOX 404 Certification Profile Report
- Managing Linkages
- Managing Assertion

For more information on above tasks, refer to *Managing SOX 404 Certification Details* section.

3. Click **Edit**. The SOX 404 Certification page is enabled to modify the information.
4. Modify the necessary information, for more details on field description, refer *Table 197*.
5. Click **Update**. The information is updated.
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** To submit SOX 404 Certification, it is mandatory to perform following actions:

   - Link at least one Process and Controls to the SOX 404 certification
   - Answer all Assertions. For negative feedback, you need to update comments

   For more information on above tasks, refer to *Managing SOX 404 Certification Details* section.

   **Warning:**

   - If you try to submit record without linking any Process, the application displays following message: *At least one Process should be added.*
   - If you try to submit record without linking any Control, the application displays following message: *At least one Control should be added*'.
   - If you try to submit record without answering Assertions, the application displays following message: *Please Answer the Questions in Assertion.*
   - All mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*
7. Click **OK**. The status of the SOX 404 Certification changes to *Submitted.*

## Managing SOX 404 Certification Details

This page allows you to manage various tabs and functionalities pertaining to the SOX 404 Certification.

This section discusses the following topics:

- Editing SOX 404 Certification Details
- Managing SOX 404 Details
- Managing Linkages
- Managing Assertion
- Viewing SOX 404 Certification Profile Report

### Editing SOX 404 Certification Details

This section describes how to edit and update existing SOX 404 Certification in Draft status. You can edit an SOX 404 Certification from the SOX 404 Certification Details page.

To edit SOX 404 Certification in Draft status, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click SOX 404 Certificates ID in Draft status. The SOX 404 Certification Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the SOX 404 Certification Details page.
4. Modify the necessary information. For more information on fields, refer *Table 197*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*.

### Managing SOX 404 Details

This section explains following topics:

- Attaching and Deleting Documents
- Viewing Workflow History

#### *Attaching and Deleting Documents*

The SOX 404 Certification Details page allows you to attach or delete documents related to SOX 404 Certification.

For more details on attaching and deleting documents, refer to *Chapter 3: Managing Issues and Actions, Managing Documents* section.

#### *Viewing Workflow History*

The SOX 404 Certification Details page shows the audit trail of all changes made to the SOX 404 Certification.

For more details, refer to *Chapter 3: Managing Issues and Actions, Viewing Workflow History* section.

### Managing Linkages

This section explains about linking and delinking entities to SOX 404 Certification.

You can link following entities to SOX 404 Certification in *Draft* status:

- Process
- Controls

To link or delink entities to SOX 404 Certification, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click SOX 404 Certificates ID. The SOX 404 Certification Details page is displayed.
3. Click **Linkage** tab. The Linkage Details page is displayed.

   **Note:** When a Process or Control is linked, all related attestations and GL accounts for the process or Control are displayed.

   For more details on linking and delinking entities to SOX 404 Certification, refer to *Chapter 3: Managing Issues and Actions, Managing Linkages* section.

## Managing Assertion

The purpose of assertion is to provide Confidence to all stakeholders about the financial information provided and the internal controls implemented by the company.

This section explains about updating assertion for a SOX 404 Certification.

To update the assertion for SOX 404 Certification, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click SOX 404 Certificates ID. The SOX 404 Certification Details page is displayed.
3. Click **Assertion** tab. The Questionnaire for SOX 404 Assertion page is displayed.

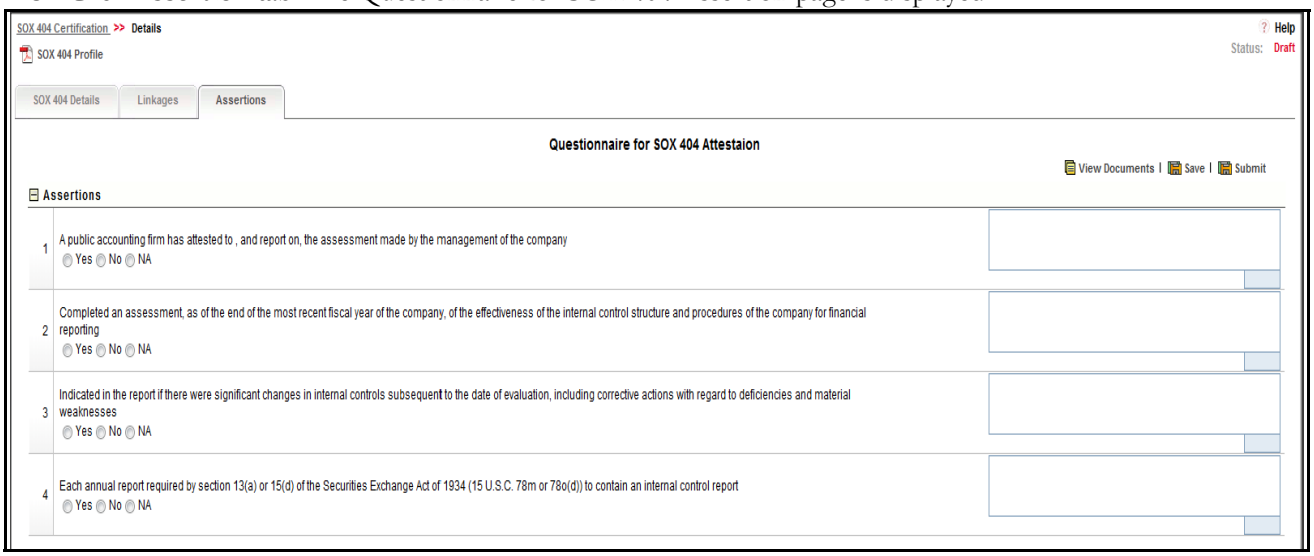



**Figure 357. Questionnaire for SOX 404 Assertion**

4. Select **Yes**, **No**, or **NA** to answer each question. Enter the relevant comment against each question.
5. Click **Save**. The following message is displayed: *Update Operation Successful.*
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

   **Note:** If you don't enter comments for the negative answers, the following message is displayed: *Please provide comments for the highlighted responses.*

## Viewing SOX 404 Certification Profile Report

The SOX 404 Certification profile report gives a snapshot of current SOX 404 Certification details.

You can view the complete details of a particular SOX 404 Certification in a PDF.

To view the SOX 404 Certification details in a PDF, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Click **SOX 404 Certificates ID**. The SOX 404 Certification Details page is displayed.

3. Click **SOX 404 Certification Profile**. A File Download Box is displayed.

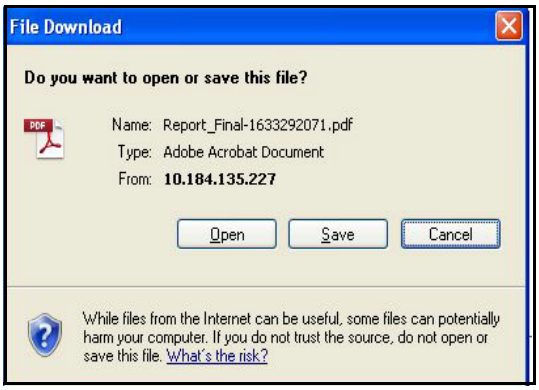



**Figure 358. File Download Box**

4. Click **Open**. A PDF report is generated.

## Deleting SOX 404 Certification

When an organization believes that a certain SOX 404 Certification has been drafted incorrectly or not required, they may be deleted. The SOX 404 Certification Search and List page allows you to delete SOX 404 Certification.

To delete SOX 404 Certification, follow these steps:

1. Navigate to the SOX 404 Certification Search and List page.
2. Select the check box of the SOX 404 Certificate in Draft status.
3. Click **Delete SOX 404 Certification**. 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 SOX 404 Certification Search and List page.

## Exporting SOX 404 Certification List

Exporting SOX 404 Certification List allows the organization to have a compiled list of all applicable SOX 404 Certification.

The SOX 404 Certification Search and List page allows you to export the details of the SOX 404 Certification. The SOX 404 Certification details can be exported to a Portable Document Format (PDF) for offline use.

For more information, refer to *Chapter 3: Managing Issues and Actions, Exporting Records* section.

# CHAPTER 18 Managing Admin Tasks

This chapter provides an overview of the Admin module in the OFSOR/GCM application and provides step-by-step instructions to use this module.

This chapter covers the following topics:

- About the Admin Module
- User Roles and Actions
- Tasks and Notifications
- Accessing Admin Features
- Managing Reference Data
- Setting Financial Impact Scales
- Managing Preferences
- Managing Delegation
- Using Universal Search
- Managing Access Rights
- Managing Planning and Scoping

## About the Admin Module

The Admin module of the OFSOR/GCM solution allows users mapped to the Administrator user role to configure, maintain and perform tasks that are applicable across the organization. This module helps organizations set their base values and thresholds, which define the amount of risk the organization will be facing. User can also distribute responsibilities in the organization to various users and user roles and maintain the users mapped, the roles mapped and the groups which they are attached to from the Admin module.
The Admin module also allows user to manage the data which populates the hierarchies and drop-down lists that are used throughout OFSOR/GCM. You can use the Workflow Manager to configure the process flow of each module. For example, your organization might want to create actions directly for an entity, such as a risk, without going through the process of creating an issue first and then creating an action for that issue. User has a provision to use the Issue Configuration feature to configure these preferences. It allows the user to set up plans for risk and control assessment scope for a particular entity. It permits the user to set up plans for risk and control assessment scope for a particular entity.

### Salient Features

The Admin module provides the following features to help organizations manage their operational risk:

- Reference Data Management controls and maintains the values which populate the hierarchies and drop-down lists throughout OFSOR/GCM
- Provides an ability to set Financial Impact Scales

- Allows users to set and manage the email notification configurations. It provides the ability to Turn on or Turn off receiving Task and Notification as email
- Provides an ability to assign a original users' rights to other users that they can perform and close tasks previously reserved for the original users
- Allows users to perform a search across all entities (Risks, Controls, and so on) in the application
- Allows users to maintain user groups and the mapping of roles to user groups. It also allows to map users to specific groups, providing role mapping for a Business Line and Location combination
- Provides an ability to 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.

### Admin Reports

The Admin module generates the following reports:

- Idle Users
- Unauthorized Users
- Disabled Users
- Deleted Users
- Logged in Users
- User Profile
- Risk Event Type & Basel Event Type Mapping
- Business Line & Basel Business Line mapping
- Business Line and Location Entities
- Resource Utilization
- User Access

For more information about these reports, refer to the section *Admin Reports* in the *Managing Dashboards* chapter.

## *User Roles and Actions*

The Administrator is the only user who manages the Admin features in an organization. This user configures, maintains, and performs tasks that are applicable across the organization. Users mapped to the role of Administrator can perform the following actions:

- **Managing Reference Data:** This action allows Administrators to control and maintain the values which populate the hierarchies and drop-down lists throughout OFSOR.
- **Setting Financial Impact Scales**: This action allows Administrators define Business Unit Impacts for Risk Assessment, Lower and Upper Threshold for Incidents and Base Currency.
- **Managing Preferences**: This action allows Administrators to define the settings used throughout the application, including Workflow, User Interface, Issues and Actions functionality, and Risk Assessment functionality.

- **Managing Preferences**: This action allows Administrators to set and manage the email notification configurations.
- **Managing Delegation**: This action allows Administrators to transfer roles and access rights for a short period of time.
- **Using Universal Search**: This action allows Administrators to perform a search across all records in the application.
- **Managing Access Rights**: This action allows Administrators to maintain user groups and the mapping of roles to user groups.
- **Document Repository**: This action allows Administrators to upload and hold the documents uploaded from and required to be used in, various modules of OFSOR.
- **Managing Planning and Scoping**: This action allows Administrators to create, edit, scope, schedule, submit, and delete plans.
- **Managing Questionnaires**: This action allows Administrators to create questions to determine the stability and efficient performance of Models.

The following sections provide step by step instructions to complete these actions:

## *Tasks and Notifications*

Tasks are actionable items assigned and sent to a user role. 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 notifications that each user role will receive in their Inbox menu on performing a particular delegation action.

**Table 198. Tasks and Notifications**

| Action Performed | Task/ Notification | Task/Notification Description | Sent o | Status |
|---|---|---|---|---|
| On Submitting Delegation | Notification | Notify Delegation - Rights delegated | Delegator | Active /Inactive |
| On Submitting Delegation | Notification | Notify Delegation - Rights delegated | Delegated To | Active /Inactive |
| On Submitting Delegation | Notification | Notify Delegation - Rights delegated | Administrator | Active /Inactive |
| On running the batch | Notification | Notify Delegation - Rights delegated | Delegator | Active |
| On running the batch | Notification | Notify Delegation - Rights delegated | Delegated To | Active |
| On running the batch | Notification | Notify Delegation - Rights delegated | Administrator | Active |
| On running the batch | Notification | Notify Expiration - Delegated Rights expired | Delegator | Expired |
| On running the batch | Notification | Notify Expiration - Delegated Rights expired | Delegated To | Expired |

**Table 198. Tasks and Notifications**

| Action Performed | Task/ Notification | Task/Notification Description | Sent o | Status |
|---|---|---|---|---|
| On running the batch | Notification | Notify Expiration - Delegated Rights expired | Administrator | Expired |
| On running the batch | Notification | Notify Revocation - Delegated Rights revoked | Delegator | Revoked |
| On running the batch | Notification | Notify Revocation - Delegated Rights revoked | Delegated To | Revoked |
| On running the batch | Notification | Notify Revocation - Delegated Rights revoked | Administrator | Revoked |

## Accessing Admin Features

This section explains how to access Admin module in Oracle Financial Services Operational Risk application.

To access the Admin module, follow these steps:

1. Login to OFSOR application. The OFSOR Home page is displayed.
2. Hover over the **Admin** primary menu.
3. Select the Admin feature that you wish to use from the **Admin** drop-down. The respective page displays. Users mapped to the Administrator user role may select the following features:
   - Reference Data Management
   - Financial Impact Scales
   - Application Preferences
   - Preferences
   - Delegation
   - Universal Search
   - Access Rights
   - Document Upload
   - Repository
   - Planning and Scoping
   - Questionnaire

## Managing Reference Data

This section gives complete information on Reference Data Management and describes how to manage Reference Data Management.

The Reference Data Management functionality allows you to control and maintain the values which populate the hierarchies and drop-down lists throughout OFSOR/GCM.

This section covers following topics:

- Searching Reference Data

- Managing Reference Data Details

## Searching Reference Data

This section explains you how to search and filter the existing Reference Data. The Search and List page allows you to filter the Reference Data that you want to view and analyze. The Reference Data search bar supports two types of search-Basic Search, and Universal Search. You can use only one search at a time.

This section explains the following topics:

- Searching Reference Data Using Basic Search
- Searching Reference Data Using Universal Search

### Searching Reference Data Using Basic Search

This search is based on limited set of search criteria and helps you to retrieve the relevant Reference Data details.

To search Reference Data using the Basic Search, follow these steps:

1. Navigate to the Reference Data Search and List page.




**Figure 359. Basic Search**

**Note:** By default, the Reference Data Search and List page displays twenty five records.

2. Enter the following details in the Search fields to filter the Reference Data list.

**Table 199. Reference Data Search Criteria**

| Criteria | Description |
|---|---|
| Code | Enter the Code of Hierarchy.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Name | Enter the Name of Hierarchy.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Component | Enter the Component of the Hierarchy. This helps to search for hierarchies based on the Component to which the Hierarchy belongs to.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Hierarchy Type | Select the Hierarchy Type from the drop-down list. This helps to search for Single level hierarchy or Multi-level hierarchy. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

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

### Searching Reference Data Using Universal Search

This search is based on Universal search criteria and helps you to retrieve the relevant Reference Data details.

To search Reference Data using the Basic Search, follow these steps:

1. Navigate to the Reference Data Search and List page.
2. Click **Universal Search**. For more information about the Universal Search page, refer to section *Using Universal Search*.

## Managing Reference Data Details

Reference Data Details page allows you create and update the reference data.

This section explains the following topics:

- Adding New Nodes
- Editing Nodes

**Note:** The dimensions which are part of common staging area, for example, Business line location, Product, and so on cannot add and modify existing data. For these dimesions, you can expire the node. On expiry, the node will not be available for further usage.

### Adding New Nodes

New Nodes are added to include new values in a Hierarchy or Drop-down. For example, if you want a new category in the Risk Category field. The same can be done by adding a new node to Risk Category Hierarchy.

This section explains how to add new reference data nodes.

To add Nodes, follow these steps:

1. Navigate to the Reference Data Search and List page.
2. Click the ID in the Code column for the reference data you wish to add a node for. The Reference Data Details page is displayed.

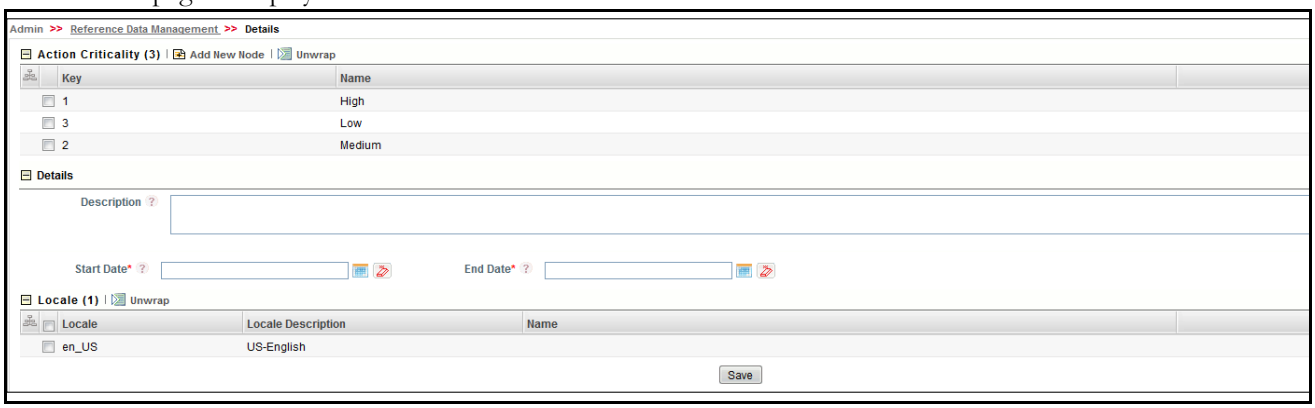



**Figure 360. Reference Data Details page**

3. Click **Add New Node**. The Details section expands in the Reference Data Details page.

4. Enter the following information in the Reference Data Node fields:

**Table 200. Add New Data Node**

| Field | Description |
|---|---|
| Description | Enter a description of the reference data node. |
| Start Date | Select the Start date from calendar. This is the date from when this node is available as a part of the Hierarchy. |
| End Date | Select the End date from calendar. This is the date till when this node is available as a part of the Hierarchy. |
| Parent Node | Select the node under which the new node will be listed in the Hierarchy.This field only applies to Multi-level hierarchies. |

5. Select the language or languages in the Locale section and enter the Name. If you define the name of the node for particular locale, the same will be displayed wherever the node is used for respective locales.
6. Click **Save.** The following message is displayed: *Add Operation Successful.*

   **Note:** To Submit a Reference Data, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

### Editing Nodes

This section explain how to edit and update the Nodes.

To edit Nodes, follow these steps:

1. Navigate to the Reference Data Search and List page.
2. Click the ID in the Code column for the Reference Data you wish to edit. The Nodes Details page is displayed.
3. Modify the necessary information. For more information of the fields, refer *Table 200*.
4. Click **Save**. The following message is displayed: *Add Operation Successful.*

   **Note:** If a node has reached the end date, it will no longer be available in the drop-down list or hierarchy list and so on.

## *Setting Financial Impact Scales*

This section explains complete details about Financial Impact Scales and describes how to set Financial Impact Scales.

Financial Impact Scales are required to define Business Unit Impacts for Risk Assessment, Lower and Upper Threshold for Incidents, set the financial year, and Base Currency for general use. This Admin setting must be defined at the start of implementation so that Risk Assessment and Incident workflows can be handled smoothly.

To set Financial Impact Scales, follow these steps:

1. Navigate to the Financial Impact Scales page.




**Figure 361. Financial Impact Scales page**

2. Select the Default radio button. Click **Go**. Thresholds, Impacts, and Frequency sections are expanded.

   Or

   Select the Business Unit radio button.

   Enter the following information in the Financial Impact Scales page.

**Table 201. Business Units**

| Field | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. For example, Corporate, Banking, and so on. |
| Location | Select the Location from the hierarchy browser. For example, Japan, India, and so on. |

3. Click **Go**. Thresholds, Impacts, and Frequency sections are expanded.

   **Note:** If you select **Default**, the Financial Impact Scale values are applicable to all business lines. If you select **Business Unit**, you can update the Financial Impact Scale values for the selected business Units.

4. Enter the following information in the Threshold Details section.

**Table 202. Threshold Details Fields**

| Fields | Description |
|---|---|
| Financial Year From | Select the date from calendar. This is the date from which the financial year period begins. |
| Financial Year To | Displays the date till which the financial period extends to. The value is auto populated one year from the date chosen in the Financial Year From field. |
| Base Currency | Select the Base Currency of the organization. This is auto-populated if Business Line and Location have been selected. |
| Risk Threshold | Enter the maximum risk appetite for individual risk. |
| Approval Date | Select the date from calendar. This is the date when the Risk Threshold amount has been approved by the stakeholders. |
| BU Risk Appetite Amount | Enter the risk appetite for a Business Unit. |
| Approval Date | Select the date from calendar. This is the date when the BU Risk Appetite amount has been approved by the stakeholders. |
| Operational Risk Capital | Enter the amount allocated as Operational Risk Capital. |
| Approval Date | Select the date from calendar. This is the date when the Operational Risk Capital has been approved by the stakeholders. |
| Incident Lower Threshold | Enter the Lower Threshold for Incidents. |
| Approval Date | Select the date from calendar. This is the date when the Incident Lower Threshold amount has been approved by the stakeholders. |
| Incident Upper Threshold | Enter the Upper Threshold for Incidents. |

**Table 202. Threshold Details Fields**

| Fields | Description |
|---|---|
| Approval Date | Select the date from calendar. This is the date when the Incident Upper Threshold amount has been approved by the stakeholders. |
| Comments | Enter any additional remarks or comments. |

5. Enter the following information in the BU Impact Details for all impact categories.

**Table 203. Impact Category Details Fields**

| Fields | Description |
|---|---|
| Impact Category | Select the check box against Impact category and select the type of impact from the drop-down list. For example, Minor, Major, and so on. |
| Lower Limit | Enter the lower limit.<br>**Note:** If you try to enter decimal numbers, the application displays the following message: *Please enter number between 0 and 9999999999.* |
| Upper Limit | Enter the upper limit.<br>**Note:** If you try to enter decimal numbers, the application displays the following message: *Please enter number between 0 and 9999999999.* |

**Note:**

- All rows in the BU Impacts grid should be checked
- The Lower Limit for Insignificant category should be 0
- The limits should be continuous in ascending order starting from Insignificant to Catastrophic3. Otherwise, the following message displays: *Limits should be continuous in ascending order from Insignificant to Catastrophic 3*.

6. Click **Save**. The following message is displayed if the impact is being created for the first time: *Add Operation Successful*. If the impact is being edited, the following message is displayed: *Update Operation Successful.*

7. Enter the following information in the BU Impact Details for all impact frequencies.

**Table 204. Impact Frequency Details Fields**

| Fields | Description |
|---|---|
| Impact Category | Select the check box against Impact Frequency and select the type of impact from the drop-down list. For example, Rare, Possible, and so on. |
| Lower Limit | Enter the lower limit.<br>**Note:** If you try to enter decimal numbers, the application displays the following message: *Please enter number between 0 and 9999999999.* |
| Upper Limit | Enter the upper limit.<br>**Note:** If you try to enter decimal numbers, the application displays the following message: *Please enter number between 0 and 9999999999.* |

**Note:**

- All rows in the BU Impacts grid should be checked
- The Lower Limit for Insignificant category should be 0
- The limits should be continuous in ascending order starting from Insignificant to Catastrophic3. Otherwise, the following message displays: *Limits should be continuous in ascending order from Insignificant to Catastrophic 3*.

8. Click **Save**. The following message is displayed if the impact is being created for the first time: *Add Operation Successful*. If the impact is being edited, the following message is displayed: *Update Operation Successful*.

   **Note:** All Risk Assessments and incident workflows should happen based on the values defined for the specific node of the Business Line and Location. If no values are defined, then default values should be picked and risks assessments and incident workflows should be driven.

## Managing Preferences

The Preferences feature allows you to set and manage the email notification configurations. It provides the ability to Turn on or Turn off receiving Task and Notification as email.

To configure the Email Notification settings, follow these steps:

1. Select the **Preference** from the Admin menu on the Home page. The Preferences page displays.

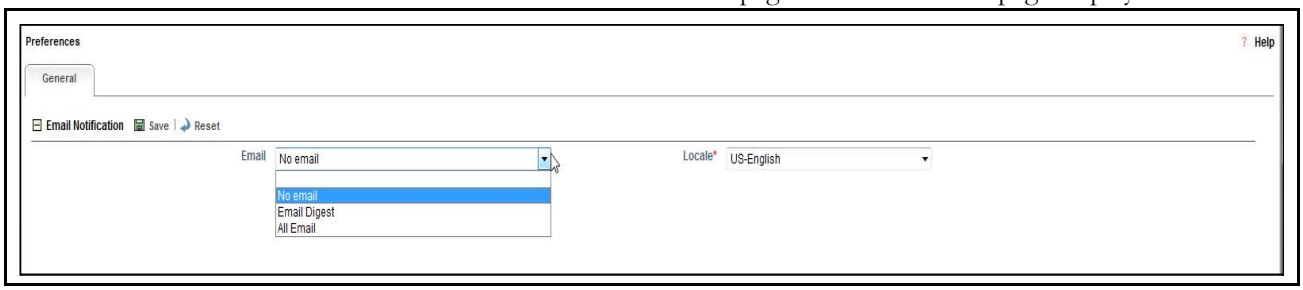



**Figure 362. Preferences page**

2. Enter the pertinent information in the Preference page.

**Table 205. Preference Settings**

| Fields | Description |
|---|---|
| Email | Select **Email** from the drop-down list. The following options display:<br>• **No Email**: No email will be generated, that is Task and Notification will not to send to user Inbox.<br>• **Email Digest:** Sends one email with all task and notification generated for the current day.<br>• **All Email:** Sends email as and when the Task and Notification are triggered. |
| Attach Profile Reports | Select the **Attach Profile Reports** option either as Yes or as No, from the drop-down list. This option is enabled only if you have selected the **All Email** option in the Email field. |
| Locale | This drop-down list displays all locales present in the application. By default, this is set to US-English. |

3. Click **Save**. The selected preferences are saved and will be used whenever the Send Email option is present.

**Note:** User should specify the Valid Email ID to receive the Task and Notification.

The emails which are sent as Task and Notification will have following sections:
Email Content

**Table 206. Email Content**

| Fields | Description |
|---|---|
| Addressee | The user name to whom the email to be sent. |
| Subject | Subject of the email. It will be automatically set to the Task or Notification Type. |
| Salutation | Salutation is the user's first name appended to the word Dear. System picks the user first name in case of both User based and Role based task and notification. |
| Body of the Message | This is based on the task and notification specific. |
| Content of the Email | Following sections will be used for Content printing on the email:<br>New Task Generation<br>● Name<br>● Entity ID<br>● Entity name<br>● Entity Status<br>● Due Date<br>Reassigned Task<br>● Name<br>● Entity ID<br>● Entity name<br>● Entity Status<br>● Due Date<br>● Reassigned By<br>● Reassigned On<br>Notification<br>● Name<br>● Entity Name<br>● Entity ID<br>● Due Date<br>● Task owner |
| Signature: | No signature is applicable. |

## *Managing Delegation*

This section gives complete information on Delegation and describes how to manage Delegation.

Delegation is a general administration function created to improve the business continuity. This allows to assign a original users' rights to other users that they can perform and close tasks previously reserved for the original users.

The Delegation functionality allows users to transfer roles and access rights for a short period of time. This functionality is only available for modules where the workflow is based on User Roles. Delegation can be done by all user roles.

This section covers following topics:

- Searching Delegation
- Creating Delegation
- Managing Delegation Details
- Revoking Delegation

## Searching Delegation

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

This section explains the following topics:

- Searching Delegation Using Basic Search
- Searching Delegation Using Pre-defined Views

### Searching Delegation Using Basic Search

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

To search Delegation using the Basic Search, follow these steps:

1. Navigate to the Delegation Search and List page.

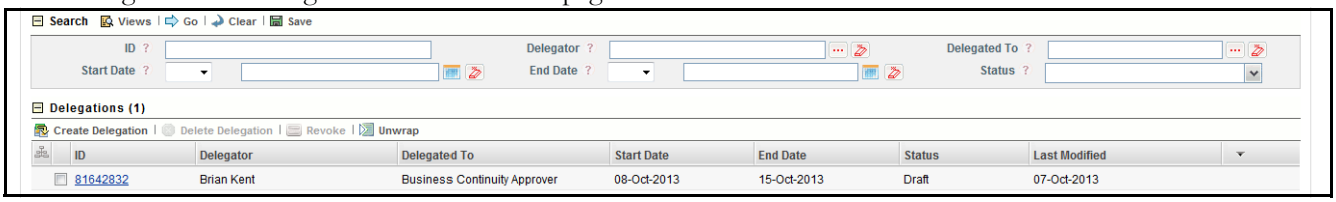



**Figure 363. Basic Search**

**Note:** By default, the Delegation Search and List page displays all Delegations.

2. Enter the following details in the Search fields to filter the Delegation list.

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

**Table 207. Delegation Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Delegation.<br>This field allows you to enter a maximum of 30 numeric values. This field supports wildcard search. |
| Delegator | Select the Delegator from the hierarchy browser. This allows you to search Delegator whose tasks or roles are delegated. |
| Delegated To | Select the Delegator To from the hierarchy browser. This allows you to search Delegator whom tasks or roles are delegated to. |
| Start Date | Select the equality operator from drop-down list. Select the start date from the calendar. This is the date from when the tasks or roles are transferred. |

**Table 207. Delegation Search Criteria**

| Criteria | Description |
|---|---|
| End Date | Select the equality operator from drop-down list. Select the end date from the calendar. This is the date until when the tasks or roles are transferred. |
| Status | Select the status of delegation from drop-down list. For example, Draft, Active, and so on. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank

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

### Searching Delegation Using Pre-defined Views

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

To search Delegation using pre-defined views, follow these steps:

1. Navigate to the Delegation Search and List page.
2. Click **Views**. The Views multi-select drop-down list is displayed.

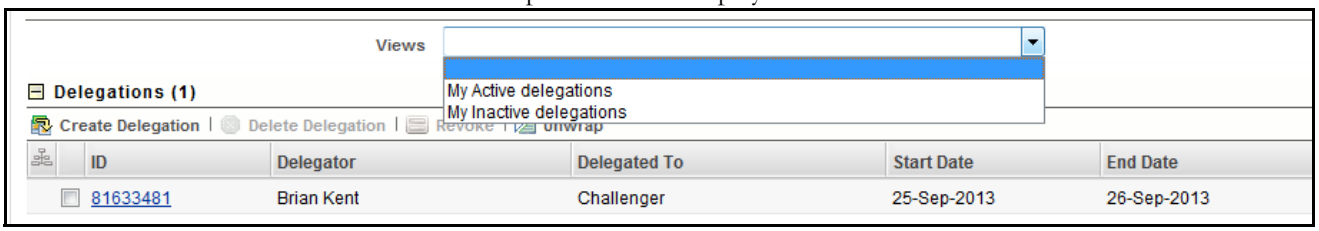



**Figure 364. Predefined Views Search**

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 208. Delegation Views**

| Views | Description |
|---|---|
| My Active delegations | Select *My Active delegations* from the views drop-down list to display Delegation which are active in status in descending order of the last modified date. |
| My Inactive delegations | Select *My Inactive delegations* from the views drop-down list to display Delegation which are Inactive in status in descending order of the last modified date. |

## Creating Delegation

Delegations are created in the event of an employee or person being unavailable for a certain period (vacation) or in the event of a person leaving the organization.

To create a Delegation, follow these steps:

1. Navigate to Delegation Search and List page.

1. Click **Create Delegation**. The Delegation Details page displays.

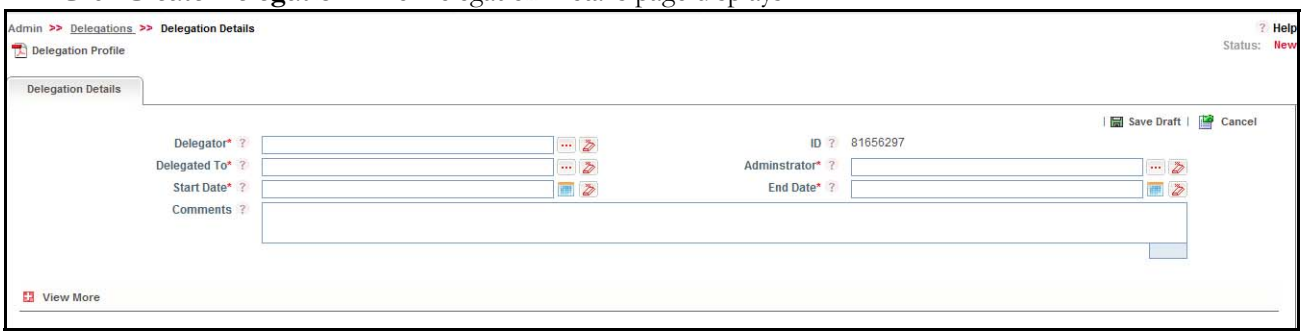



**Figure 365. Delegation Details page**

2. Enter the following information in the Delegation Details page.

   The following table describes the fields of the Delegation Details page:

**Table 209. Fields of Delegation Details Page**

| Fields | Description |
|---|---|
| ID | Displays the sequential tracking number of the Delegation. This is an auto-generated unique identification number and cannot be modified. |
| Delegator | Select the Delegator from the hierarchy browser. This allows you to enter Delegator whose tasks or roles are delegated.<br>**Note:** This field will be auto-populated if accessed by any user other than Admin. |
| Delegated To | Select the Delegated To from the hierarchy browser. This allows you to enter Delegator whom tasks or roles are delegated to. |
| Start Date | Select the start date from the calendar. This is the date from when the tasks or roles will be transferred.<br>**Note:** Start Date could should be greater than or equal to the current date. |
| Administrator | Select the Administrator from the hierarchy browser to whom the notification is sent about the delegation. |
| End Date | Select the end date from the calendar. This is the date until when the tasks or roles will be transferred.<br>**Note:** End Date cannot be beyond 90 days starting from the Start date of Delegation. |
| Comments | Enter the additional comments or remarks regarding the delegation. |

3. Click **Save Draft**. The following message is displayed: *Add Operation Successful.*
4. Click **OK**. The status of the Delegation changes to *Draft*.

### Submitting Delegation in Draft Status

Due to some reason you might not have submitted the Delegation details while creating a new one and saved it as a draft. After sometime you decide to submit the same Delegation details by entering all mandatory fields.

This section explains how to submit a Delegation in Draft status.

The Delegation Details page allows you to submit the selected Delegation.

To submit the Delegation in draft status, follow these steps:

1. Navigate to the Delegation Search and List page.
2. Click the Delegation ID in *Draft* status. The Delegation Details page is displayed.

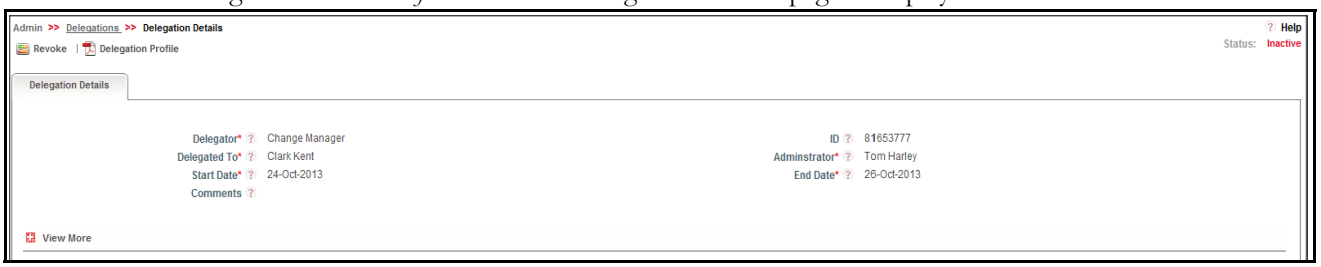



**Figure 366. Delegation Details Page**

The Delegation Details page allows you to perform following tasks in *Draft* status:

- Editing Delegation details
- Linking and delinking Profiles to Delegation
- Viewing the Workflow History for the Delegation
- Attaching and deleting documents related to Delegation
- Viewing Delegation Profile Report

For more information on above tasks, refer to *Managing Delegation Details* section.

3. Click **Edit**. The Delegation Details page is enabled to modify the information.
4. Modify the necessary information, for more details on field description, refer *Table 209*.
5. Click **Update**. The information is updated
6. Click **Submit**. The following message is displayed: *Update Operation Successful.*

**Warning:** To submit a Delegation, all mandatory fields (fields marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*

7. Click **OK**. The status of the Delegation changes to Inactive or Active.

A notification is sent to Delegator, Delegated To, and Administrator.

**Note:**

- The status changes from Draft to Inactive, if the Start Date is not equal to the Current Date
- The status changes from Draft to Active, if the Start Date is equal to the Current Date
- The status changes from Inactive to Active when the Start Date is equal to Current Date. The status change is trigger through batch run. A notification is sent to the Delegator, Delegated To and Administrator when the status changes from Inactive to Active.
- When Current Date is equal to End Date, the status of the Delegation changes from Active to Expired. The status change is trigger through batch run. A notification is sent to the Delegator, Delegated To, and the Administrator when the status changes and the Delegated To should cease to have the rights delegated to him by the Delegator.
- Delegation which is in Inactive, Active, Revoked, or Expired status cannot be modified or deleted by any user.

The Delegation Details page allows you to perform following tasks in *Draft*, *Inactive or Active* status:

- Editing Delegation details

- Linking and delinking Profiles to Delegation
- Viewing the Workflow History for the Delegation
- Attaching and deleting documents related to Delegation
- Viewing Delegation Profile Report

For more information on above tasks, refer to *Managing Delegation Details* section.

## Managing Delegation Details

This section describes how to manage Delegation Details page. The Delegation Details page gives complete information about the Delegation.

This section discusses the following topics:

- Editing Delegation Details
- Linking and Delinking Profiles
- Attaching and Deleting Documents
- Viewing Workflow History
- Viewing Delegation Profile Report

### Editing Delegation Details

This section describes you how to edit and update the existing Delegation. You can edit Delegation only in *Draft* status.

To edit a Delegation in draft status, follow these steps:

1. Navigate to the Delegation Search and List page.
2. Click Delegation ID in draft status. The Delegation Details page is displayed.
3. Click **Edit**. The editable fields are enabled in the Delegation Details page.

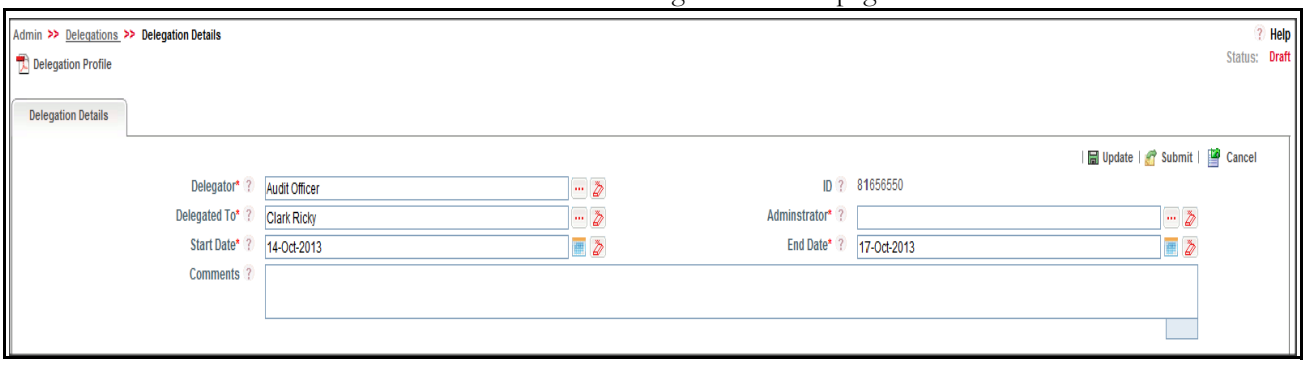



**Figure 367. Editing Delegation Details in Draft Status**

4. Modify the necessary information. For more information on the fields, refer to *Table 209*.
5. Click **Update**. The following message is displayed: *Update Operation Successful*. Or, click **Submit**. The following message is displayed: *Update Operation Successful*.

   **Note:** To submit the Delegation Details, it is necessary to enter all mandatory fields.
6. Click **OK** to confirm the changes. The updated Delegation Details page is displayed.

### Linking and Delinking Profiles

Profiles are the roles or rights which are available with the Delegator. The Delegator can choose which all selected roles to transfer to the Delegated To user.

The Delegation Details page allows you to link and delink profiles to Delegation which is in *Active* or *Inactive* status.

For more information on linking and delinking Profiles, refer to *Chapter 3: General Features, Managing Linkages* section.

### Attaching and Deleting Documents

The Delegation Details page allows you to attach or delete documents related to Delegation.

For more details on attaching and deleting documents, refer to *Chapter 3: General Features, Managing Documents* section.

### Viewing Workflow History

The Delegation Details page shows the audit trail of all changes made to the Delegation. For more details, refer to *Chapter 3: General Features, Viewing Workflow History* section.

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

**Table 210. Audit Entry in Workflow History section**

| Action | Action Taker | Audit Entry |
|---|---|---|
| On Creation | Administrator | New Delegation created |
| On subsequent saves | Administrator | Delegation updated. |
| On Submit in Draft status to Inactive | Administrator | Delegation Inactive |
| On Submit in Draft status to Active | Administrator | Delegation in effect |
| Batch run to Active status | Administrator | Delegation in effect |
| On revoke | Administrator | Delegation revoked |
| On Expire | Administrator | Delegation expired |

### Viewing Delegation Profile Report

The Delegation profile report gives current snapshot of the selected Delegation. It gives you the details of the Delegation along with its assessments and associated entities as on date.

For more details, refer to *Chapter 3: General Features, Viewing Profile Report* section.

## Revoking Delegation

In the event of the Delegator being available in office for work (after vacation, sick, and so on), the Delegated roles can be revoked and the Delegated To users can no longer be able to work on the roles assigned them as per the delegation.

You can revoke a Delegation which is in Active and Inactive status only.

To revoke a Delegation, follow these steps:

1. Navigate to the Delegation Search and List page.
2. Select the delegation you want to revoke. The Delegation Details page is displayed.
3. Click **Revoke**. The following message is displayed: *Rights will be revoked. Do you want to continue*?
4. Click **OK**. The updated Delegation Details page is displayed.

   **Note:** The status of the delegation changes to *Revoked*.

### Deleting Delegation

You can delete Delegation in draft status, which may not be applicable for the business or organization. The Delegation Search and List page allows you to delete Delegation.

To delete a Delegation, follow these steps:

1. Navigate to the Delegation Search and List page.
2. Select the delegation you want to remove.
3. Click **Delete Delegation**. 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.*

   **Note:** Delegation which is in Inactive, Active, Revoked, or Expired status cannot be modified or deleted by any user.

## *Using Universal Search*

This section gives complete information on Universal Search and describes how to perform Universal Search.

The Universal Search feature allows you to perform a search across all entities (Risks, Controls, and so on) in the application.

This section covers following topics:

- Searching Records
- Managing Summary Tab

### Searching Records

This section explains you how to search and filter the existing records pertaining to all entities. The Search and List page allows you to filter the records that you want to view and analyze.

This section explains the following topics:

- Searching Records Using Basic Search
- Searching Records Using BU Combinations

### Searching Records Using Basic Search

This section explains you how to search and filter the existing records. The Search and List page allows you to filter the records that you want to view and analyze.

To use the Basic Search, follow these steps:

1. Navigate to the Universal Search and List page.

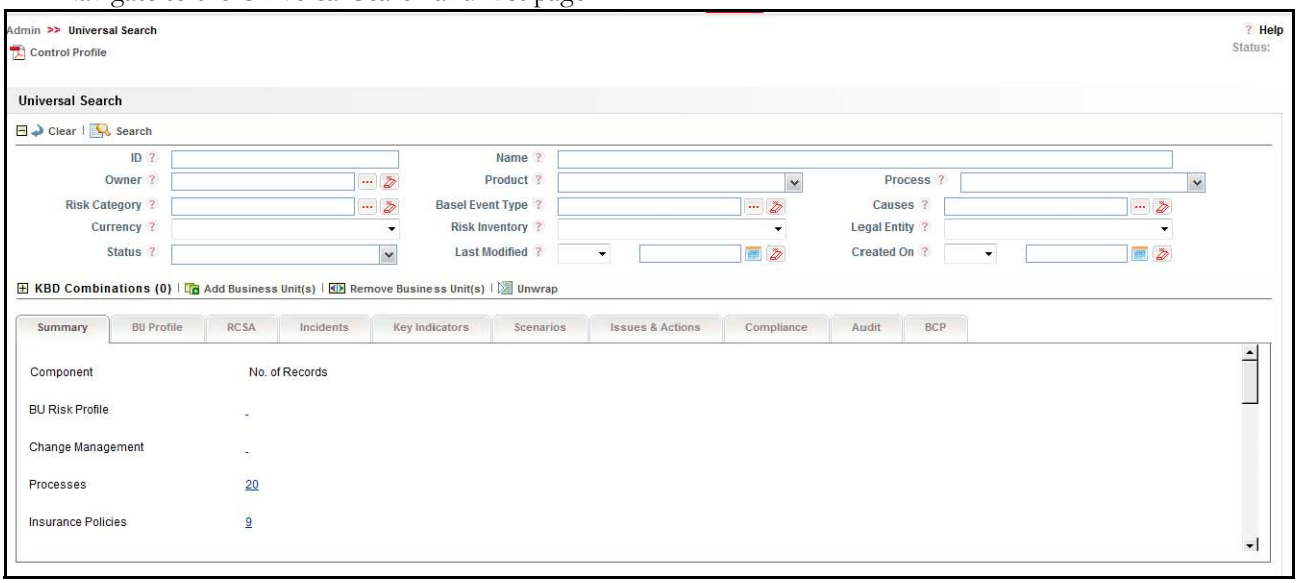



**Figure 368. Basic Search**

2. Enter the following details in the Search fields to filter the records list.

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

**Table 211. Criteria for Universal Search**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the record.<br>This field allows you to enter a maximum of 20 numeric values and supports wildcard search. |
| Name | Enter the name of record.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Owner | Select the owner from the hierarchy browser. This searches for records owned by the selected user. |
| Product | Select the product from the hierarchy browser. This searches for records with the selected Product. |
| Process | Select the process from the hierarchy browser. This searches for records with the selected Process. |
| Risk Category | Select the risk category from the hierarchy browser. This searches for records with the selected Risk Category. |
| Basel Event Type | Select the Basel event type from the hierarchy browser. This searches for records with the selected Basel Event Type. |
| Cause Category | Select the Cause Category from the hierarchy browser. This searches for records with the selected Causes. |

**Table 211. Criteria for Universal Search**

| Criteria | Description |
|---|---|
| Currency | Select the currency from the drop-down list. This searches for records with the selected Currency. |
| Risk Inventory | Select the risk inventory from the drop-down list. This searches for records with the selected Risk Inventory. For example, Life Insurance Risk, Traded Market Risk, and so on. |
| Legal Entity | Select the legal entity from the drop-down list. This searches for records with the selected Legal Entity. |
| Status | Select the status from the drop-down list. This searches for records with the selected status. For example, Closed, Open, and so on. |
| Last Modified | Select the equality option from Equality Operator drop-down list ("<, "<=, "=, ">, ">=). Select date from Calendar. This helps you to search the records with Last Modified date as specified. |
| Created On | Select the equality option from Equality Operator drop-down list ("<, "<=, "=, ">, ">=). Select date from Calendar. This helps you to search the records with created date as specified. |

### Searching Records Using BU Combinations

You can add and remove BU Combinations to filter the search results.

**Note:** By Default, no BU Business Unit is added. If a search is performed, it is done across all BUs Business Units mapped to the logged in user.

This section explains following topics:

- Adding Business Units
- Removing Business Units

#### *Adding Business Units*

To add Business Units, follow these steps:

1. Navigate to BU Combinations section.
2. Click **Add Business Units**. The Business Units Window is displayed.
3. Select the relevant Business Line and click **Link**. The following confirmation message is displayed: *Add Operation Successful.*
4. Click **Close**. The updated Summary tab is displayed
5. Click **Search**. The relevant search list is displayed in the Summary tab.

#### *Removing Business Units*

To remove Business Units, follow these steps:

1. Navigate to BU Combinations section.
2. Select the Business Unit. Click **Remove Business Units**. The following message is displayed: *Are you sure you want to delink this record?*

3. Click **OK**. The following message is displayed: *De-link Operation Successful.*
4. Click **OK**. The Business Units are removed from the BU Combinations section.
5. Click **Search**. The updated search result is displayed in Summary tab.

## Managing Summary Tab

This section describes and displays all components and the number of records corresponding to each component. Summary tab explains about following columns:

- **Component** - This column lists the name of the Component. For example, Risks, Controls, Incidents, and so on.
- **Number of Records** - This column lists the number of records fetched for the search criteria for all components for each corresponding Component.

  Following is the list of components:
  - BU Risk Profile
  - Change Management
  - Processes
  - Insurance Policies
  - Information Libraries
  - Risks
  - Controls
  - Internal Incidents
  - Key Indicators
  - Scenarios
  - Issues
  - Actions
  - Regulations
  - Obligations
  - Compliance Plans
  - SOX 302 Certifications
  - SOX 404 Certifications
  - Financial Attestation
  - Audit Plans
  - Audit Tasks
  - Audit Assessments
  - Business Continuity Plans

**Note:** Compliance, Audit and Business Continuity Management are available in OFSGCM only.

## Viewing component details

This section explains how to view each component details.

To view components details, follow these steps:

1. Navigate to Summary Details page.

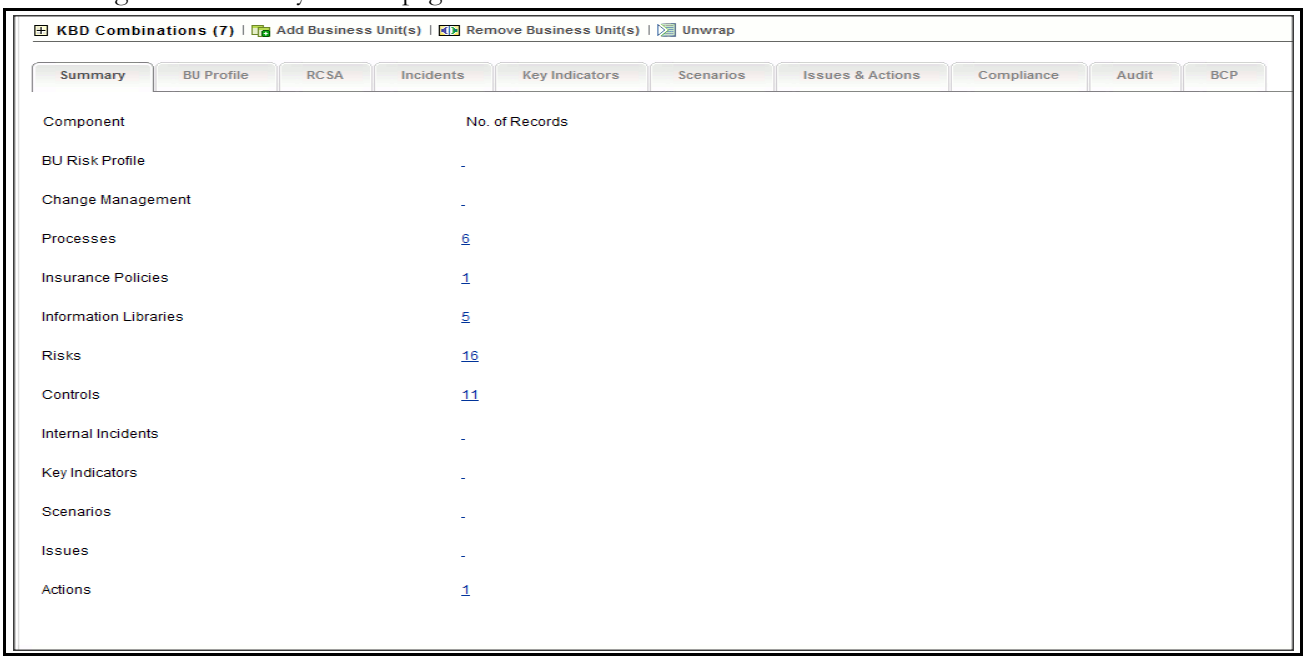



**Figure 369. Summary Details Page**

2. Click Number of Records link, for example, Risks, Control, Scenario, and so on. The respective details page is displayed.

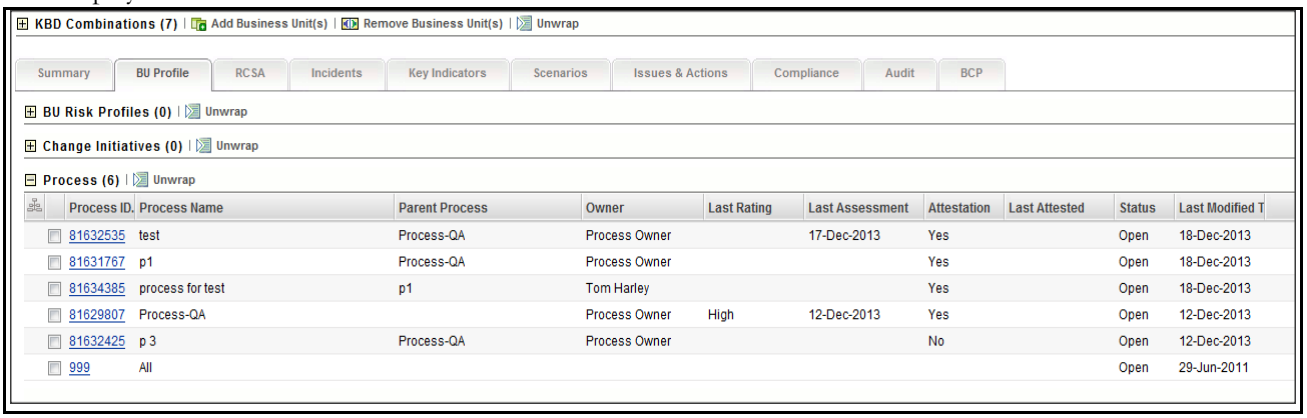



**Figure 370. Component Details Page**

3. Click **ID link**. The respective Details page is displayed.

# *Managing Access Rights*

The Access Rights feature allows you to maintain user groups and the mapping of roles to user groups. It also allows you to map users to specific groups, providing role mapping for a Business Line and Location combination.

This section covers following topics:

- Maintaining User profile
- Mapping User Profile

## Maintaining User profile

This section describes how to manage user groups and map access rights to user groups.

This section covers following topics:

- Searching User Profiles
- Creating User Groups
- Editing User Groups
- Deleting User Groups
- Viewing User Details
- Managing Access Rights

### Searching User Profiles

This section explains you how to search and filter the existing User Profiles. The Search and List page allows you to filter the User Profiles that you want to view and analyze.

To search User Profiles using the Basic Search, follow these steps:

1. Navigate to the User - Profile Maintenance Search and List page.

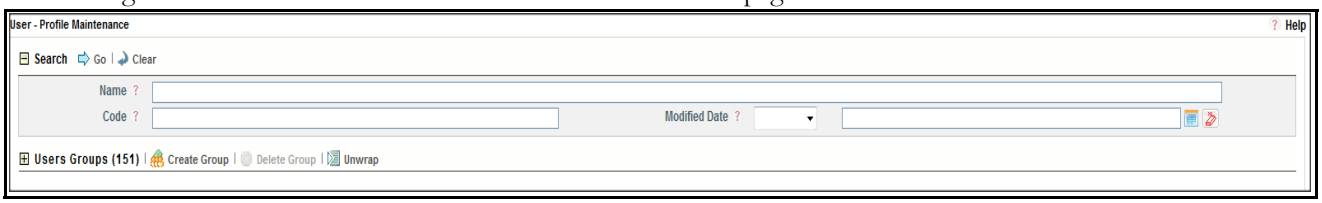



**Figure 371. User - Profile Maintenance Search**

**Note:** By default, the User - Profile Search and List page displays all User Profiles.

2. Enter the following details in the Search fields to filter the User - Profile Maintenance list.

   The following table provides a list of the search criteria that display in the User - Profile Maintenance Search section:

**Table 212. Criteria for Search**

| Criteria | Description |
|---|---|
| Name | Enter the name of the user group. This helps to search the User Profile with this name. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Code | Enter the code of the user group. This helps to search the User Profile with this code. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Modified Date | Select the equality operator from drop-down. Select the last modified date from the calendar to display User Profile having modified date greater than or equal to the specified date. |

3. Click **Go**. The relevant search list is displayed.
4. Click **Clear** to reset the search fields to blank.

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

### Creating User Groups

User Groups are created to group users with similar roles or rights under one umbrella.

To create User Group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Click **Create Group**. The Group Details window is displayed.

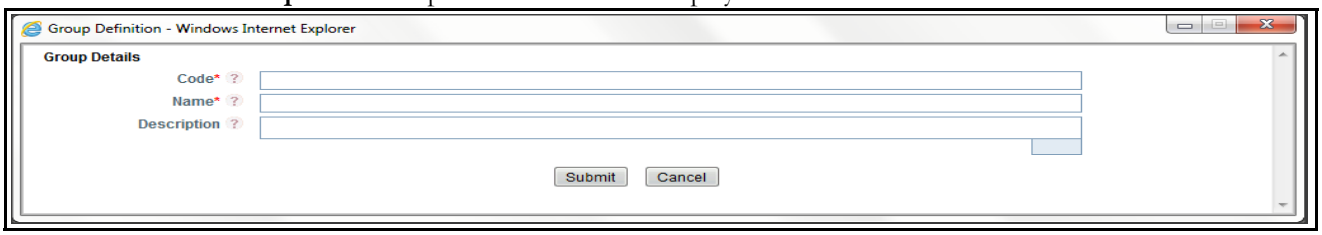



**Figure 372. Group Details window**

3. Enter the following details in the Group Details window fields.

**Table 213. Criteria for Search**

| Fields | Description |
|---|---|
| Code | Enter the code of User Group.<br>**Note:** If you try to submit the User Group details without entering the code, the application displays the following message: *Name and Code are mandatory to create a user group.* |
| Name | Enter the name of User Group.<br>**Note:** If you try to submit the User Group details without entering the code, the application displays the following message: *Name and Code are mandatory to create a user group.* |
| Description | Enter the description of the user group. This helps to search the User Profile with this code.<br>This field allows you to enter a maximum of 300 characters |

4. Click **Submit**. The following message is displayed: *Add Operation Successful.*
5. Click **OK**. The new user group is updated in User Group list.
6. Click **Cancel** to return to the User Groups section.

   **Warning:** To save a User Group as draft, It is mandatory to enter the Name, Type, and Purpose of the plan. If not, the application displays the following message: *Name and Code are Mandatory for creating Group.*

### Editing User Groups

This section allows you to edit and update only description in User Group details.

To edit User Group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.

2. Click the **Name of Group**. The Group Details window is displayed.
3. Modify the necessary information in Description field.

   **Note:** You can not edit Code and Name of the User Group.
4. Click **Submit**. The following message is displayed: *Update Operation Successful.*
5. Click **OK**. The user group is updated in User Group list.
6. Click **Cancel** to return to the User Groups section.

### Deleting User Groups

This section allows you to delete User Groups.

To delete User Group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Select the **Name** of Group. If the selected group is mapped to any access rights, then the Access Rights section expands.
3. Click **Delete Group**. Application checks if the user group has users mapped. If yes, the following error message is displayed: *Users are mapped to this User Group. Please remove the users before deleting the group.*

   Application also checks if the user group has access rights mapped. If yes, the following message displays: *Action Rights are mapped to this User Group. Please remove the action rights before deleting the group.*

   If there are no users or access rights mapped to the user group, the following confirmation message displays: *Are you sure you want to delete this record?*
4. Click **OK** to delete the user group. The updated User Group list is displayed.

### Viewing User Details

This section allows you to view the users mapped to the user group.

To view users mapped to the user group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Click the link in the Users Mapped column. The Users Mapped to the Group window is displayed with the User ID, User Name, and Email ID of all users mapped to this group.

## Managing Access Rights

This section allows you to how to manage Access Rights.

This section covers following topics:

- Mapping Access Rights
- Deleting Access Rights

### *Mapping Access Rights*

Access rights mapped to the user to have access to perform tasks for the selected Business Units or roles. This section allows you to map access right to the selected User Groups.

To map access rights to a user group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Select a User Group. The relevant Access Right details are expanded.
3. Select the Business Line you wish to map to the User Group and click **Map Rights**. The Add Access Rights window is displayed.

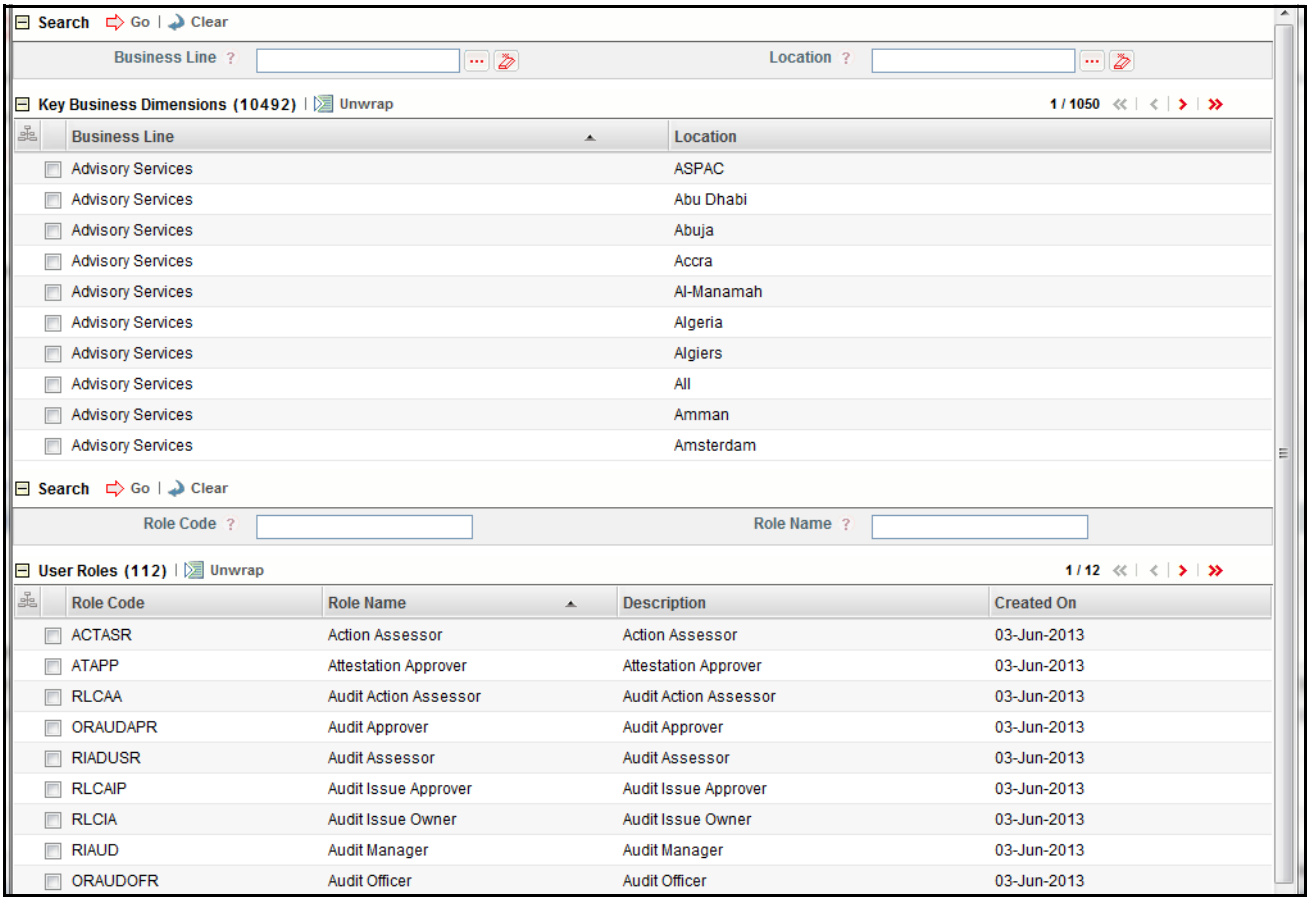



**Figure 373. Add Access Rights window**

4. Select the Business Line and Location combination from the Key Business Dimensions section. You can select multiple Business Line and Location combinations.

   **Note:** You can search the specific Business Line and Location from the hierarchy browser.

5. Select the User Role or Roles you wish to map to the user group.

   **Note:** You can search the specific User Role or Roles from the hierarchy browser.

6. Click **Map Rights**. The following confirmation message is displayed: *Update Operation Successful.*

### *Deleting Access Rights*

Access Rights are removed when a User Group is designed not to have access to perform tasks for a certain Role(s)

and/or Business Lines.

To delete access rights from a user group, follow these steps:

1. Navigate to the User-Profile Maintenance Search and List page.
2. Select a User Group. The relevant Access Right details are expanded.
3. Select the Access Rights you wish to delete.
4. Click **Delete Rights**. The following confirmation message is displayed: *Are you sure you want to delete this record?*
5. Click **OK** to delete the access right from the user group. The Updated Access Rights list is displayed.

## Mapping User Profile

The User Profile Mapping feature allows you to map and unmap users to user groups.

### Searching User Groups

This section explains you how to search and filter the existing User Groups. The Search and List page allows you to filter the User Groups that you want to view and analyze.

To search User Profiles, follow these steps:

1. Navigate to the User - Profile Mapping Search and List page.

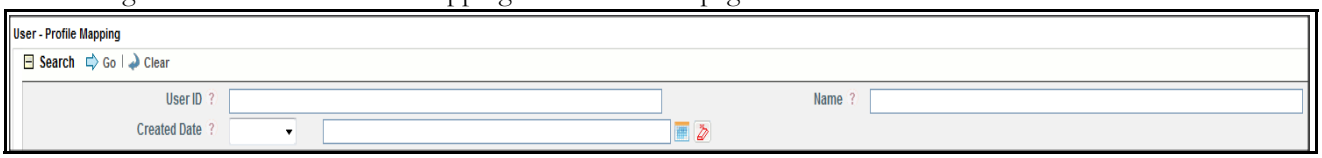



**Figure 374. User - Profile Mapping Search**

**Note:** By default, the User Groups Search and List page displays all User Groups.

2. Enter the following details in the Search fields to filter the User - Profile Mapping list.

   The following table provides a list of the search criteria that display in the User - Profile Mapping Search section:

**Table 214. Criteria for Search**

| Criteria | Description |
|---|---|
| User ID | Enter the login ID of the user. This helps to search the User Profile with this name.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Name | Enter the name of the user. This helps to search the User with this name.<br>This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Created Date | Select the equality operator from drop-down. Select the created date from the calendar to display User having created date greater than or equal to the specified date. |

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

## Mapping User Groups to a User

To map an existing user to a user group, follow these steps:

1. Navigate to the User - Profile Mapping Search and List page
2. Select the user you wish to map to a user group. The User Groups and Access Rights sections expand.

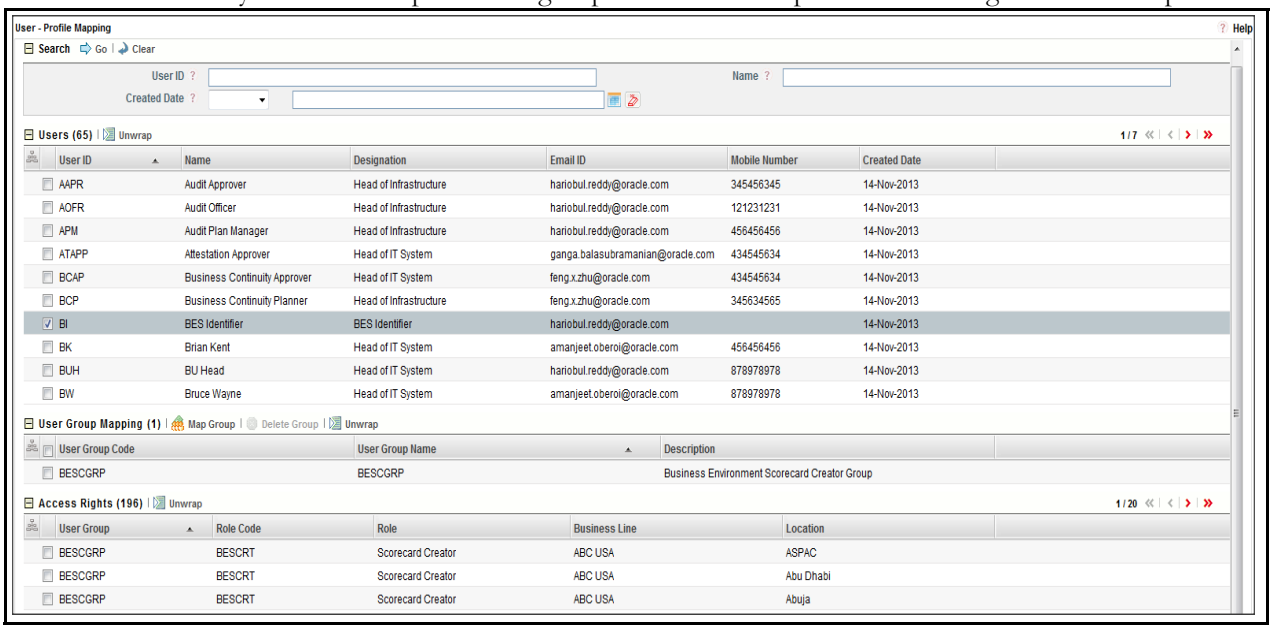



**Figure 375. User Profile Mapping window**

3. Click **Map Group**. The Map Groups to User window displays.
4. Select the user group or groups you wish to map the user to.

   **Note:** You may select multiple user groups.

5. Click **Save**. The user groups selected are mapped to the selected user. The Access Rights section refreshes and displays all rights the user has been given.

## Deleting User Group Mappings

To delete a user group mapping, follow these steps:

1. Navigate to the User - Profile Mapping Search and List page.
2. In the Users section, select the user you wish to delete mappings. The User Groups and Access Rights sections expand.
3. In the User Groups section, select the user group you wish to delete a mapping for.

   **Note:** You can select multiple user groups to delete mappings for.

4. Click **Delete Group**. The following confirmation message displays: *Are you sure you want to delete this record?*
5. Click **OK** to delete the user group mapping.

# *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
- 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:

- **Risk 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.
- **Control Assessment:** An Assessment plan is set for controls of a specific BU which have been defined as a questionnaire, manual, or test plan type of assessment. Based on the type of assessment, tasks are generated. Controls are assessed to identify and monitor their effectiveness. Multiple controls can be attached to a single assessment plan.
- **Risk and Control Assessment:** Multiple risks can be linked to a single assessment plan. All risks pertaining to a selected BU, which is in open status, will be available for linking. All controls attached to those risks will be linked automatically to the plan. Based on the type of assessment, tasks are generated.
- **Process Assessment:** All processes which are in open status and are mapped to the selected BU available for inclusion in the plan.
- **Control Attestation:** The Control Attestation plan adds controls which must be attested. SOX Controls and Controls which require attestation for the selected BUs available for inclusion in the plan.

- **Process Attestation:** Processes must be attested under SOX Requirements. A plan can be created under which the processes which require attestations can be added. Processes which are In scope for attestation and are in open status for the selected BU are available to be included in the plan.
- **Obligation Assessment**: All Obligations which are in Open status and are mapped to the selected Business Units will be available to include in the plan.
- **Compliance Plan**: All Regulations and Obligations belonging to the selected compliance plan. And are mapped to the selected Business Units will be available to include in the 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.
- **Compliance Plan Attestation**: Compliance Plan can be attested under this Type of Plan.
- **Financial Attestation**: A Business Unit can be attested under this type of Plan.
- **SOX 302/404 Certifications:** This plan will enable the organization to plan the entire cycle for attestations for SOX 302 or 404 Certifications. Processes which are In scope for attestation and the related Controls (SOX Controls and which requires attestation) are available to be included 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 OFSOR 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:

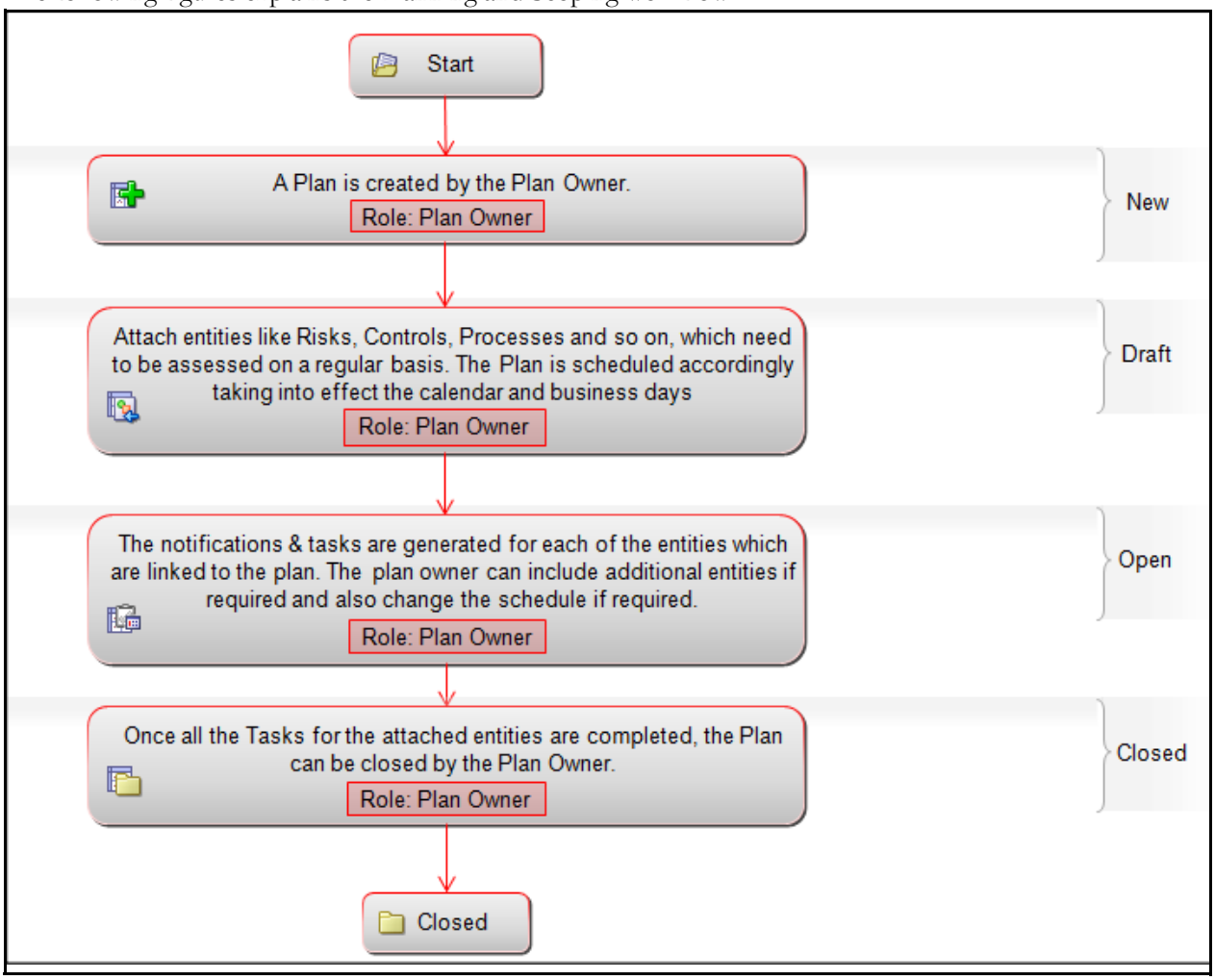



**Figure 376. Obligations Workflow**

## Accessing Planning and Scoping

This section explains how to access Planning and Scoping section of Admin module in Oracle Financial Services Operational Risk application.

To access the Planning and Scoping, follow these steps:

1. Login to OFSOR application. The OFSOR 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.

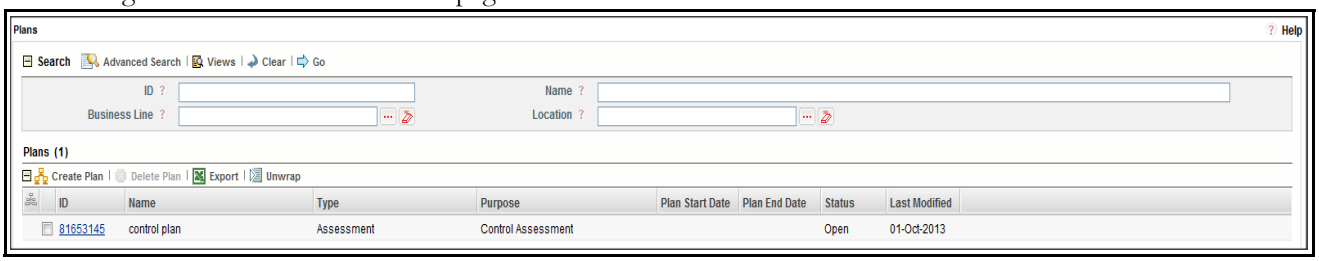



**Figure 377. Basic Search**

**Note:** By default, the Plans Search and List page displays all Plans.

2. 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 215. Plans Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Plans. This helps to search the Plans with this unique number.<br>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.<br>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). |

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

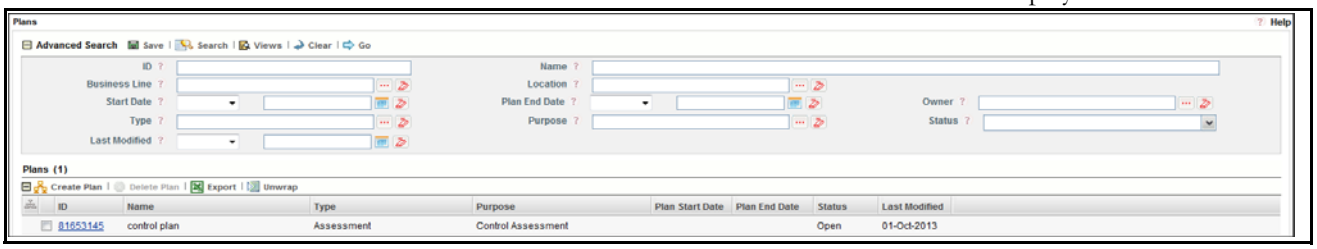



**Figure 378. Advanced Search**

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 216. Advanced Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Plans. This helps to search the Plans with this unique number.<br>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.<br>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). |
| 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. |
| 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. |

**Table 216. Advanced Search Criteria (Continued)**

| Criteria | Description |
|---|---|
| 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:<br>● Select All<br>● Draft<br>● Closed<br>● 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. For more information on Save a Search, refer to *Chapter 3: General Features, Saving a Search* section.

### 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.

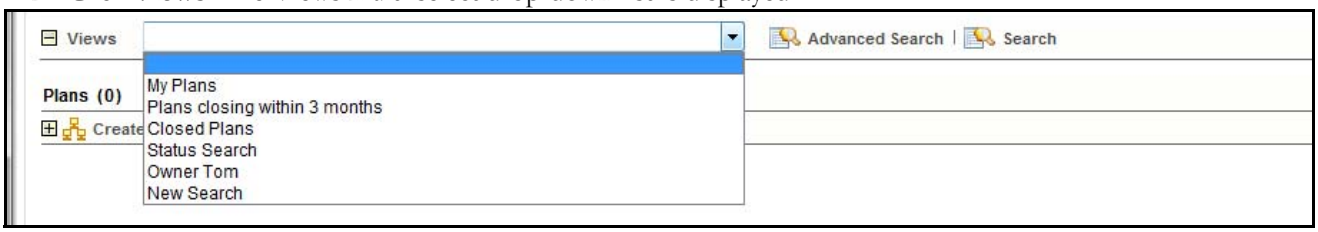



**Figure 379. Predefined Views Search**

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 217. Plans Views**

| Criteria | Description |
|---|---|
| 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. |

**Table 217. Plans Views**

| Criteria | Description |
|---|---|
| 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.

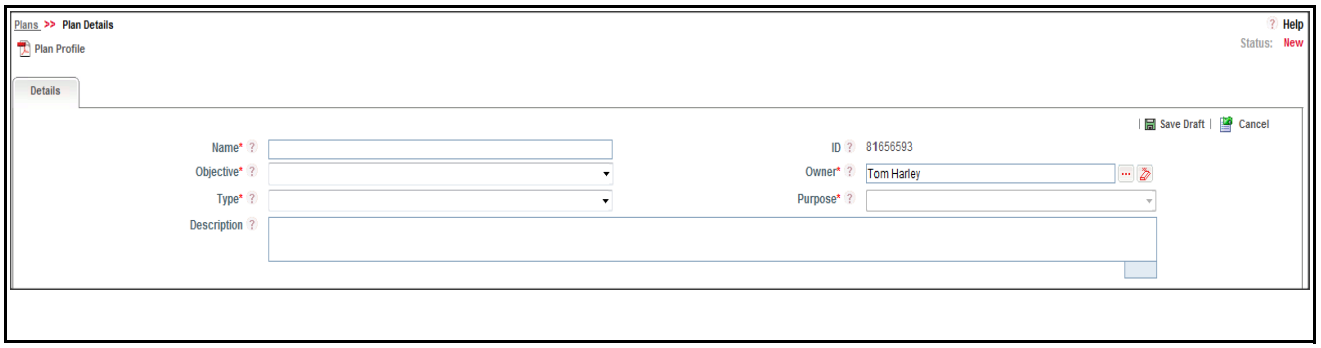



**Figure 380. Plan Details Page**

3. Enter the following information in the Plan Details page.

   The following table describes the fields of the Plan Details page:

**Table 218. Fields of Plans Details Page**

| Fields | Description |
|---|---|
| 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 so on. This is the objective of the plan. |
| Owner | Select the owner from the drop-down list. The Owner is the one who is responsible for tracking the Plan. |
| Type | Select the type of the plan from the drop-down list. For example, Attestation, Assessment, SOX Certification, and Questionnaire. |

**Table 218. Fields of Plans Details Page**

| Fields | Description |
|---|---|
| Purpose | Select the purpose of the plan from the drop-down list, purpose depends on the type you select. For example,<br>If you select Control Assessment, you can select following Purposes:<br>● Control Assessment<br>● Process Assessment<br>● Risk Assessment<br>● Risk and Control Assessment<br>● Obligation Assessment<br>● Compliance Plan<br>If you select Attestation, you can select following Purposes:<br>● Control Attestation<br>● Process Attestation<br>● Compliance Plan<br>● Financial Attestation<br>If you select SOX Certification, you can select following Purposes:<br>● SOX 302 Certification<br>● SOX 404 Certification<br>If you select Questionnaire, you can select following Purposes:<br>● Inherent Risk Assessment<br>● Control DE Assessment<br>● Control OE Assessment<br>● Regulation Assessment<br>● Obligation Assessment<br>● Generic |
| Description | Enter the plan description. This field allows you to enter a maximum of 3000 characters.<br>**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, 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.

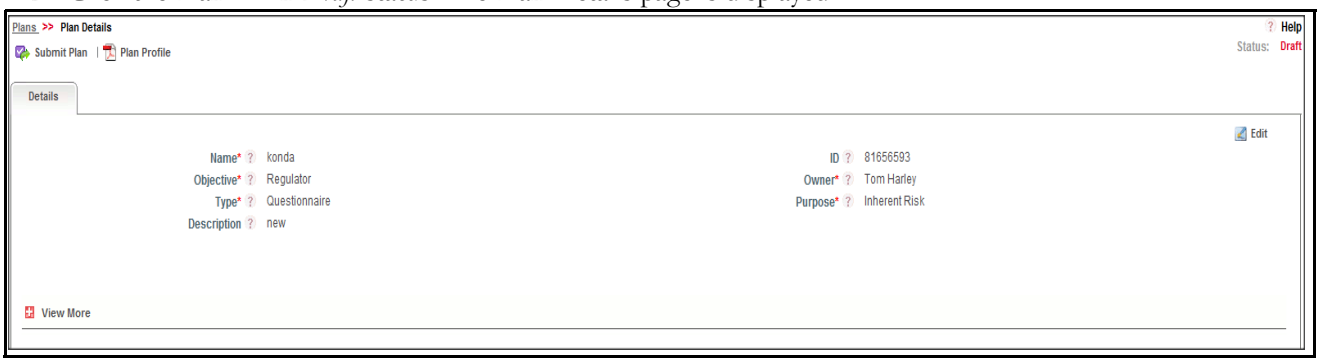



**Figure 381. Plans Details Page**

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.

3. Define the scope of Plan, for more information on defining the Scope, refer to *Managing Plan Scope*.
4. 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.*

5. 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.*

6. 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
- Task Flow
- 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.

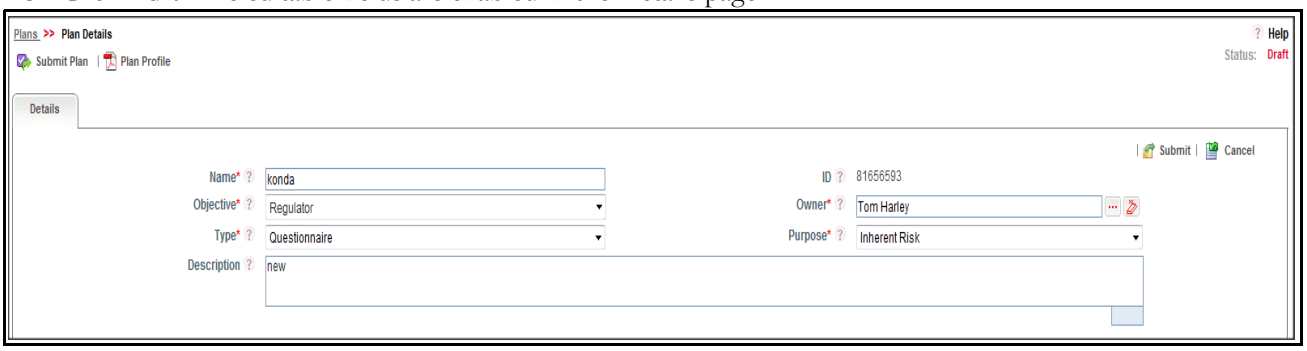



**Figure 382. Editing Plan Details in Draft Status**

4. Modify the necessary information. For more information on the fields, refer to *Table 218*.
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.

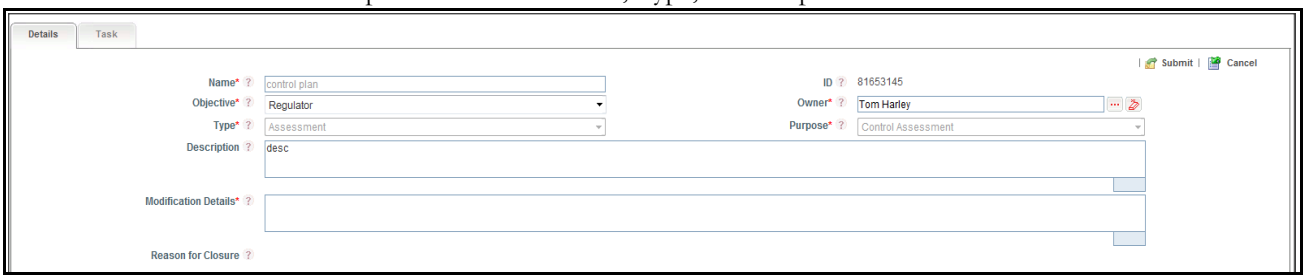



**Figure 383. Editing Plan Details in Draft Status**

4. Modify the necessary information. For more information on the fields, refer to *Table 218*.
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.

   For more information on adding and deleting Business Units, refer to *Chapter 3: General Features, Managing Linkages* section.

#### 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 can not 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).

   For more information on linking and delinking Risks, Controls, or Processes, refer to *Chapter 3: General Features, Managing Linkages* section.

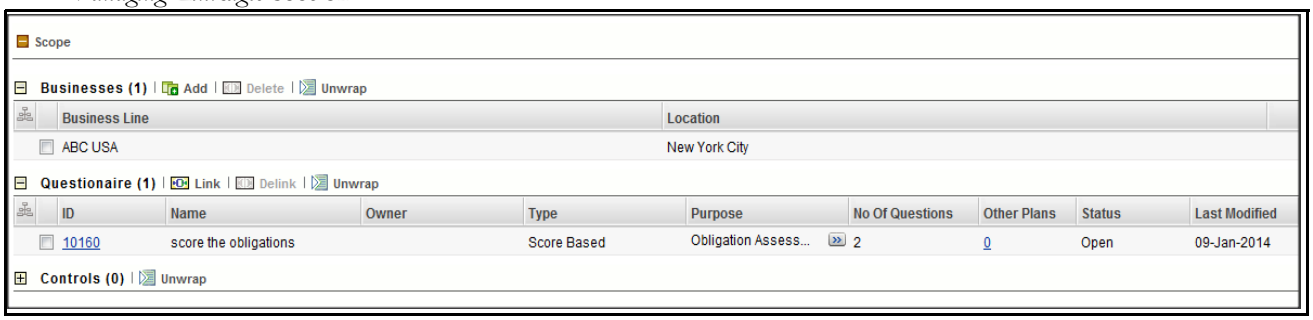



**Figure 384. Schedule a Plan Section**

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.

### *Task Flow*

Following table explains the flow of task in tabular form.

**Table 219. Task Flow**

| Plan Purpose | Plan Type | Classifications | Task Flow |
|---|---|---|---|
| Assessment | Control Assessment | Manual | Control Assessors receive the task on the assigned date. |
| | | Test plan | Control Testers receive the test results task with the Control details and Test plan details. |
| | | | Control Assessors receive the Control Assessment task with the Test result as generated from this Plan. |
| | | Questionnaire | OE/DE Respondents receive the OE/DE Questionnaire Task respectively with the Control details.<br>**Note:** If Respondents are not available, the Control Assessors receive the Questionnaire. |
| | | | Control Assessors receive the Control Assessment task along with the Questionnaire result as generated from this Plan.<br>**Note:** If there is no questionnaire available for the selected Controls, Control Assessors receive only the Control Assessment Task. |
| | Risk Assessment | Manual | Risk Assessors receive the task on the assigned date. |
| | | Questionnaire | Respondents receive the Questionnaire Task with the Risk details.<br>**Note:** If Respondents are not available, the Risk Assessors receive the Questionnaire. |
| | | | Risk Assessors receive the Risk Assessment task along with the Questionnaire result as generated from this Plan.<br>**Note:** If there is no questionnaire available for the selected Risks, Risk Assessors receive only the Risk Assessment Task. |
| | Process Assessment | Manual | Process Owners receive the task on the assigned date. |
| | Risk and Control Assessment | | Control Assessors receive the task on the assigned date |
| | | | Risk Assessors receive the task on the assigned date when all linked control assessments are submitted.<br>**Note:**<br>• Incase Assessment type is Questionnaire, OE and DE Respondents receive the Questionnaire for Control and Risks. Control Assessors receive the Assessment tasks.<br>• Incase Assessment type is Test Result, Tester receive test result. Control Assessors receive Control Assessment task.<br>• Incase Respondents are not available, Risk or Control Assessors receive the Questionnaire. |

**Table 219. Task Flow**

| Plan Purpose | Plan Type | Classifications | Task Flow |
|---|---|---|---|
| | Obligation Assess-ment | | Obligation Assessors receive the task on the assigned date.<br><br>**Note:**<br><br>● Incase Questionnaire is linked to Obligations, Respondents receive the Questionnaire for Obligations. Obligation Assessors receive the Assessment tasks.<br>● Incase Respondents are not available, Obligation Assessors receive the Questionnaire. |
| | Compliance Plan | | Obligation Assessors receive the task on the assigned date. |
| | | | Compliance Assessors receive the Regulation Assessment task on the assigned date when all linked Obligation assessments are submitted.<br>**Note:**<br><br>● Incase Questionnaire is linked to the Regulation or Obligations, Respondents receive the Questionnaire for Regulation or Obligations. Compliance and Obligations Assessors receive the Assessment tasks.<br>● Incase Respondents are not available, Obligation and Compliance Assessors receive the Questionnaire. |
| Attestation | Control Attestation | | Control Owners receive a task on Assigned Date. |
| | | | Once the Control Owners submit the task, Attestation Approvers receive the same record with all the details updated by Control Owners. |
| | Process Attestation | | Process Owners receive a task on Assigned Date. |
| | | | Once the Process Owners submit the task, Attestation Approvers receive the same record with all the details updated by Process Owners. |
| | Compliance Plan Attestation | | Compliance Plan owners receive a Compliance Plan Attestation task on Assigned Date. |
| | | | Once the Compliance Plan Owners submit the task, Attestation Approvers receive the same record with all the details updated by Compliance Plan Owners. |
| | Financial Attestation | | Business Unit owners receive a Financial Attestation task on Assigned Date. |

**Table 219. Task Flow**

| Plan Purpose | Plan Type | Classifications | Task Flow |
|---|---|---|---|
| Certification | SOX 302 Certifications | Process and Controls Requires Attestation | Control Owners (of linked Control Attestations) receive a Control Attestation task on Assigned Date. |
| | | | Attestation Approver SOX Controllers receive task whenever a Control Attestation is submitted for Approval (that is, the status of Control Attestation changes to Pending Approval). |
| | | | Process Owners receive a task when all the Control Attestations linked to that Process is submitted for Approval (that is, the status of Control Attestation changes to Pending Approval). |
| | | | Attestation Approvers receive a task whenever a Process is submitted for Approval (that is, the status of Process Attestation changes to Pending Approval). |
| | | | CEOs receive a Sox 302 Certificate task when all the linked Process and Control Attestations are submitted (that is, all linked Attestations are in Submit status). |
| | SOX 404 Certifications | Process and Controls Requires Attestation | Control Owners (of linked Control Attestations) receive a Control Attestation task on Assigned Date. |
| | | | Attestation Approver SOX Controllers receive task whenever a Control Attestation is submitted for Approval (that is, the status of Control Attestation changes to Pending Approval). |
| | | | Process Owners receive a task when all the Control Attestations linked to that Process is submitted for Approval (that is, the status of Control Attestation changes to Pending Approval) |
| | | | Attestation Approvers receive a task whenever a Process is submitted for Approval (that is, the status of Process Attestation changes to Pending Approval). |
| | | | CEOs receive a Sox 302 Certificate task when all the linked Process and Control Attestations are submitted (that is, all linked Attestations are in Submit status) |

**Table 219. Task Flow**

| Plan Purpose | Plan Type | Classifications | Task Flow |
|---|---|---|---|
| Questionnaire | Inherent Risk | | Respondents receive the Questionnaire task with the Risk details. |
| | | | Risk Assessors receive the Risk Assessment task along with the Questionnaire result as generated from this Plan. |
| | | | Incase Respondents are not available, Risk Assessors receive the Questionnaire task. |
| | Control DE | | Respondents receive the DE Questionnaire task with the Control details. |
| | | | Control Assessors receive the Control Assessment task along with the Questionnaire result as generated from this Plan.<br>**Note:** Incase Respondents are not available, Control Assessors receive the Questionnaire task. |
| | Control OE | | Respondents receive the OE Questionnaire task with the Control details. |
| | | | Control Assessors receive the Control Assessment task along with the Questionnaire result as generated from this Plan.<br>**Note:** Incase Respondents are not available, Control Assessors receive the Questionnaire task. |
| | Regulation Assessment | | Respondents receive the Questionnaire for regulations task. Compliance Assessors receive Assessment tasks. |
| | | | Respondents receive the Questionnaire for obligation task. Obligation Assessors receive Assessment tasks.<br>**Note:** Incase Respondents are not available, Compliance and Obligation Assessors receive the Questionnaire task. |
| | Obligation Assessment | | Respondents receive the Questionnaire for Obligations task. Obligation Assessors receive Assessment tasks.<br>**Note:** Incase Respondents are not available, Obligation Assessors receive the Questionnaire task. |
| | Generic | | Respondents receive the Questionnaire. |

### *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.

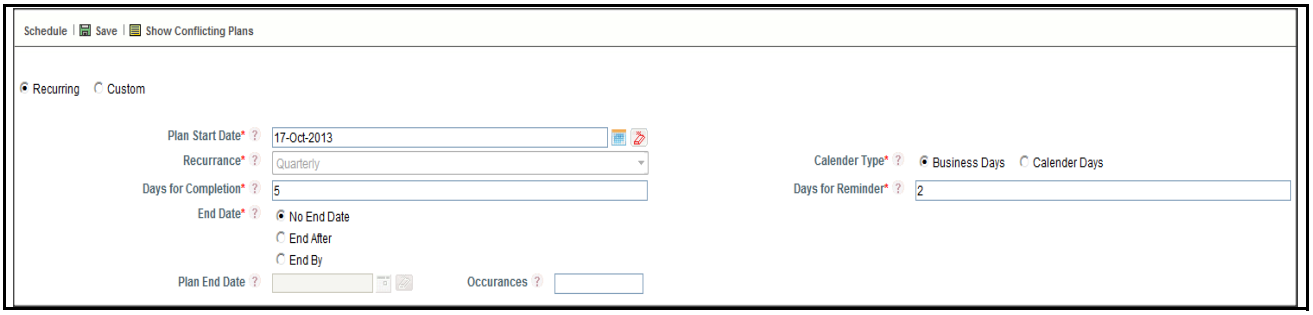



**Figure 385. Schedule a Plan Section**

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 220. Fields of Plans Details Page**

| Fields | Description |
|---|---|
| Recurring or Custom | Select whether the schedule for Plan is Recurring or Custom.<br>● **Recurring**: you can generate tasks based on selected recurrence<br>● **Custom**: you can select specific dates on which the task has to be sent<br>**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.<br>**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.<br>**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.<br>**Note:** It should be less than Days for Completion. |

**Table 220. Fields of Plans Details Page**

| Fields | Description |
|---|---|
| End Date | Select the end date whether No End Date, End After, or End by.<br>● To generate task contentiously, select **No End date**. This will continue to generate task until the plan is closed.<br>● To generate tasks for specific number of occurrence, select **End after**. Enter the number of occurrences<br>● To be generate task for specific period, select **End by**. Enter the end date.<br>**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.<br>**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

   For more information on fields, refer *Table 220*.

   *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.*

   **Note:** 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.*

7. Click **Save**. The following message is displayed: *Add Operation Successful.*
8. 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 *Chapter 3: General Features, 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 *Chapter 3: General Features, 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.

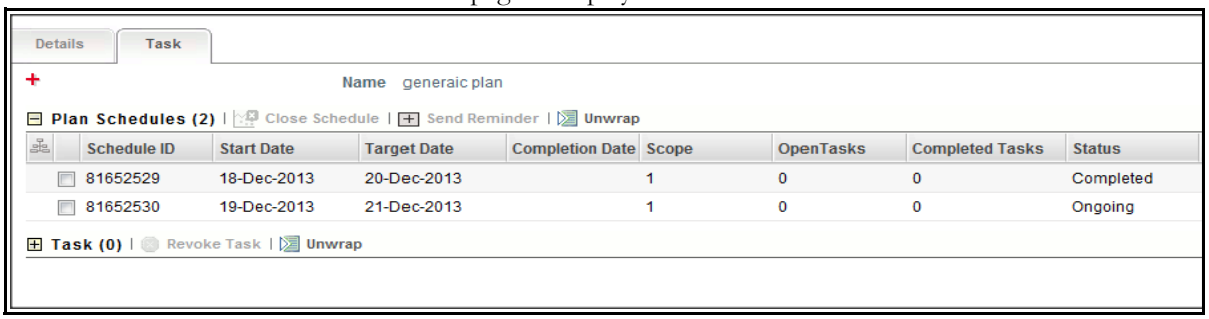



**Figure 386. Tracking Plan**

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 obligation 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 in-box 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 Plans Search and List page allows you to export the details of the Plans. The Regulations or Policies details can be exported to an Excel sheet for offline use.

For more information, refer to *Chapter 3: General Features, Exporting Records* section.

## Viewing a Plan Profile

The Plan Details page allows you to view plan details in a PDF.

For more information, refer to *Chapter 3: General Features, Viewing Profile Report* section.

# CHAPTER 19 Managing Application Preferences

This chapter provides an overview of the Application Preferences in the OFSOR/GCM application and provides step-by-step instructions to use this module.

This chapter covers the following topics:

- About the Application Preferences
- User Roles and Actions
- Managing the Workflow Manager
- Managing the User Interface Language Manager
- Managing the Issues and Action Configuration
- Managing the Risk Assessment Configuration

## About the Application Preferences

Application Preferences allows you to manage the workflows of each module of OFSOR, manage the field names, messages, screen name, and so on.

The following sections provide step by step instructions for using the Application Preferences features.

- Managing the Workflow
- User Interface Language Configuration Manager
- Managing the Issues and Action Configuration
- Managing the Risk Assessment Configuration

**Note:** When you are populating/loading the user specific dimension data into following table (Atomic schema), you should not use (including update/delete) following reserved keys in the associated tables for any different purpose:

- **Application Information:**
  - Tables: DIM_APP_INFO, DIM_APP_INFO_MLS
  - Application Reserved Key **"1"** for Operational Risk, and Application Reserved Key **"2"** for Model Risk Management
- **Business Line:**
  - Tables: DIM_KBD_1, DIM_KBD_1_MLS
  - Business Line Reserved Key **"1"** for All
  - Business Line Reserved Key **"-1"** for All
- **Location:**
  - Tables: DIM_KBD_2, DIM_KBD_2_MLS

- Location Reserved Key **"1000"** for All/Global
- Location Reserved Key **"-1"** for All/Global

## *User Roles and Actions*

This section covers the following topics:

- User Role
- Actions

### User Role

The Administrator is the only user who manages the Application features in an organization. This user configures, maintains, and performs the tasks that are applicable across the organization. The Administrators can define the settings used throughout the application, including Workflow, User Interface, Issues and Actions functionality, and Risk Assessment functionality.

### Actions

An **Administrator** can perform the following actions in Application Preference:

- **Managing Workflows:** The Administrator can create, edit, active, or deactive the Workflow. Also, this user can add a new Route Rule, Notification, and Tasks, and map them with user roles/users.
- **Managing User Interface Langauge:** The Administrator manages the Langauge settings of Screens, Messages, Fields, and Containers.
- **Managing Issues and Actions Configuration:** The Administrator can enable or disable the Issues and Action for selected module.
- **Managing Risk Assessment Configuration:** The Administrator allows you to choose which of these non-mandatory fields should be displayed or hidden, according to the needs of your organization.

# Managing the Workflow Manager

The Workflow Manager feature allows you to configure the process flow of each module of OFSOR from a centralized location. You can also configure the Tasks and Notifications sent to each user based on the rules.

This section covers following topics:

- Accessing the Workflow Manager
- Process Flow of Workflow
- Creating a Workflow
- Managing Workflow Details
- Activating a Workflow
- Deactivating a Workflow

## Accessing the Workflow Manager

This section explains how to access the Workflow Manager under the Admin module in Oracle Financial Services Operational Risk application.
Users mapped to the role of Admin can access the Workflow Manager section.
To access the Workflow Manager section, follow these steps:

1. Login to OFSOR application. The OFSOR Home page is displayed.
2. Select **Application Preference** from the Admin menu on the Home page and then select **Workflow Manager**. The Workflow Manager page is displayed.
3. Select **Application name** and the required **Workflow Function Name**. The default Master Workflow will be displayed with all other Workflows for the selected Function. Only one Workflow will be active at a time for selected Function.

## Process Flow of Workflow

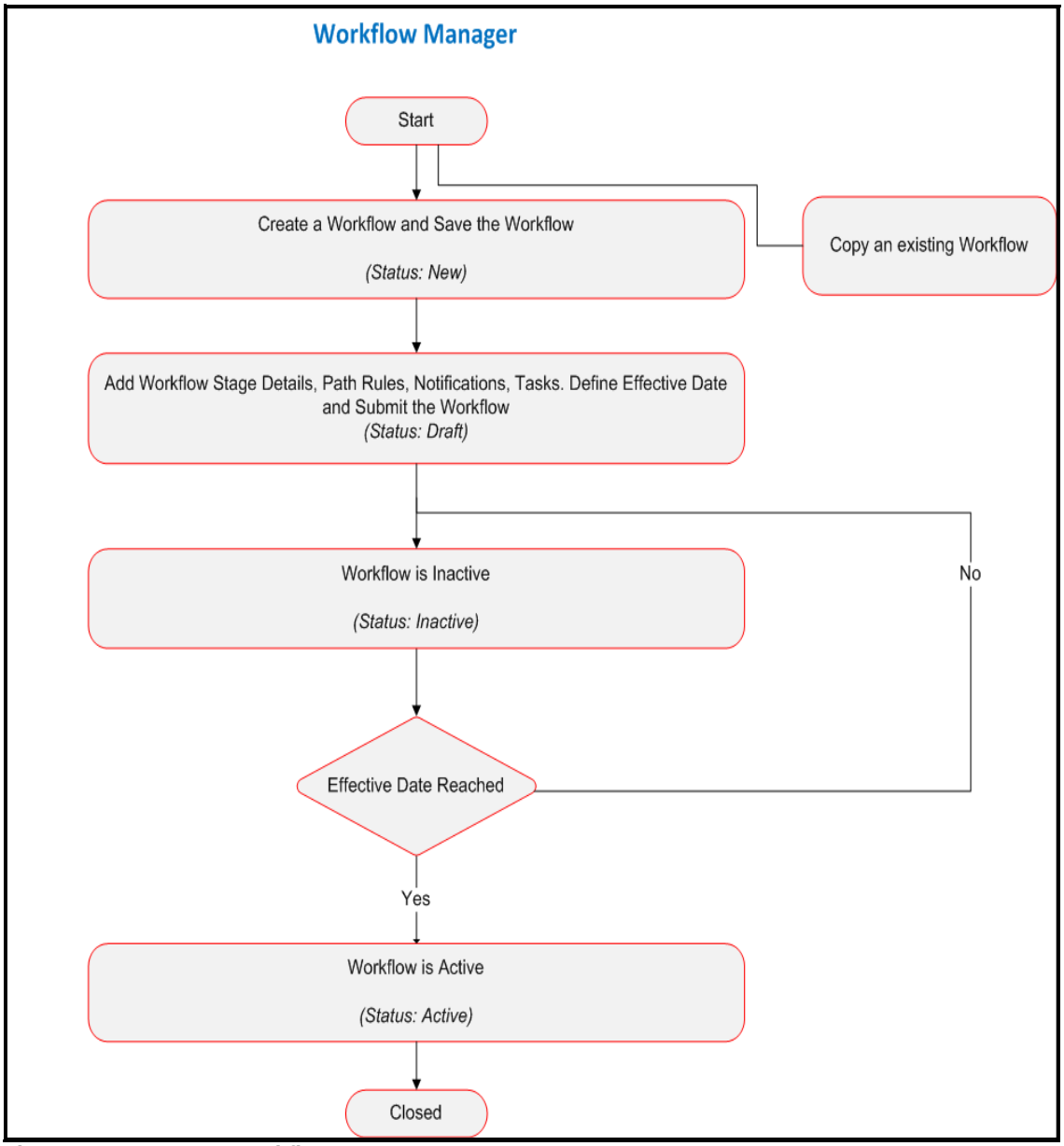



**Figure 387. Process Workflow**

## Searching Workflow

This section explains you how to search and filter the existing Workflow. The Search and List page allows you to filter the Workflow that you want to view and analyze.

To search Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.




**Figure 388. Searching Workflow**

2. Enter the following details in the Search fields to filter the Workflow list.

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

**Table 221. Search Criteria**

| Criteria | Description |
|---|---|

**Table 221. Search Criteria**

| | |
|---|---|
| Application | Select the application for which Workflow Manager is installed. |
| Workflow Functions | Select the function of an application for which Workflows are to be defined.<br>It will be enabled after selecting the Application name in Application field.<br>If you select Application name as Operational Risk application, then following values are applicable for Workflow Function field:<br>● Change Management<br>● Process<br>● KI Assessment<br>● Key Indicators<br>● KI Library<br>● Planning and Scoping<br>● Issues<br>● Actions<br>● Scenario<br>● Control Assessment<br>● Control Definition<br>● External Incident Management<br>● BU Risk Profile<br>● Information Libraries<br>● Insurance Policies<br>● Challenge<br>● Business Environment<br>● Obligation<br>● Risk Definition<br>● Risk Assessment<br>● KI Aggregation<br>● Obligation Library<br>● Risk Library<br>● Test Plan<br>● Incident Management<br>● Regulation/Polices<br>● Control Library<br>● Obligation Assessment<br>● Regulation Assessment<br>If you select Application name as Governance and Compliance Management application, then following options are also applicable for Workflow Function field:<br>● Audit Assessment<br>● Audit Tasks<br>● Audit Plans<br>● Business Continuity Plan<br>● Compliance Plan<br>● Compliance Plan Attestation |

## Creating a Workflow

The Workflow Search and List page allows you to create a new Workflow for a selected function.
To create a new Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click **Create Workflow.** The Workflow Details page is displayed.

   **Note:** The status of the Workflow is *New.*

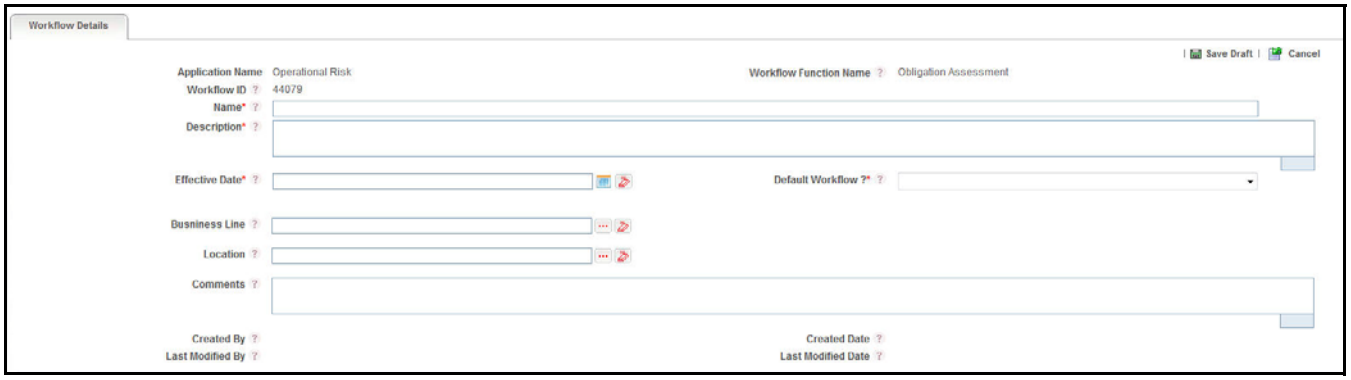



**Figure 389. Workflow Details page**

4. Enter the pertinent information in the Workflow Details page.

**Table 222. Workflow Details**

| Field | Description |
|---|---|
| Application Name | This is the application name in which Workflow Manager is installed. The field will be auto populated. |
| Workflow Function Name | This is the Workflow Function name to which Workflow being created. The field will be auto populated. |
| Workflow ID | Displays the sequential tracking number given to a Workflow. (system generated) |
| Name | Enter the name of the Workflow. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Workflow details without entering the Workflow name, the application displays the following message: *Please enter the Workflow Name.* |
| Description | Enter a brief description of the Workflow.<br>The description field in the Workflow Details page allows you to enter a maximum of 3000 characters.<br>As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: *Number of characters exceeded*. |
| Effective Date | Select the date from which Workflow will be activated, from the calendar. The Workflow will be activated automatically from the defined Effective Date using the Batch run. |

**Table 222. Workflow Details**

| | |
|---|---|
| Default Workflow | Select the default status of the Workflow Rule as Yes or No.<br>● If you select the **Default Workflow** as Yes, then the Workflow will be applicable to all business Line and Location. After selecting this option as Yes, Business Line and Location fields will be disabled.<br>● If you select the **Default Workflow** as No, then the Workflow will be applicable to selected business Line and Location. After selecting this option as No, Business Line and Location fields will be enabled to enter the details. |
| Business Line | Select the business line where the Workflow is applicable from the hierarchy browser. Workflow are mapped to the business line (for example, Product, Corporate, and so on). |
| Location | Select the location where the Workflow is applicable from the hierarchy browser. Workflow are mapped to the location (for example, London, Bangalore, and so on). |
| Comments | Enter remarks if applicable.<br>**Note:** If you try to enter more than 3000 characters in the Comment field, the application displays the following message: *Number of characters exceeded*. |
| Created By | Shows the user's name who created the workflow. This field is auto populated after saving the Workflow. |
| Created Date | Show the date on which the workflow was created. This field is auto populated after saving the Workflow. |
| Last Modified By | Shows the user's name who last modified the workflow. This field is auto populated. |
| Last Modified Date | Shows the date on which the workflow was last modified. This field is auto populated. |

5. Click **Save Draft**. A Confirmation dialog box is displayed. If you click OK, the Workflow is saved and the Workflow Details page is displayed. Now, the status of Workflow is changed to *Draft*.

### Submitting a Workflow in Draft Status

Users mapped to the role of Admin can submit a Workflow. The Workflow Search and List page allows you to submit a Workflow.

A Workflow in *Draft* status can be submitted if all mandatory fields of Workflow Details are entered.

To submit a Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the Application and Workflow Function Name.
3. Select a Workflow in *Draft* status. The Workflow Details page is displayed.

The Workflow Details page allows you to perform the following tasks in *Draft* status:

- Editing Workflow Details
- Attaching and deleting documents related to Workflow
- Viewing Workflow
- Viewing/Creating Workflow Rules

- Updating Workflow Stage Details

For more information on these sections, refer to the *Managing Workflow Details* section.

4. Enter the details before submitting the Workflow.
5. Click **Submit**. The following message is displayed: *Update Operation Successful.* The Status of the Workflow changes to *Inactive*.
   If the Effective date of Workflow is today's date, then the Workflow will be *Active* from today's date.

### Coping Workflow

The **Copy Workflow** functionality allows you to make a copy of existing Workflow. It will copy the Stage details, Routing Rules, Notifications, Tasks of existing Workflow.
To copy a Workflow, follow the steps given below:

1. Navigate to Workflow Search and List page.
2. Select the Application and Workflow Function Name. The list of Workflows will display.
3. Select a Workflow ID.
4. Click **Copy Workflow.** The Copy Workflow page will display.

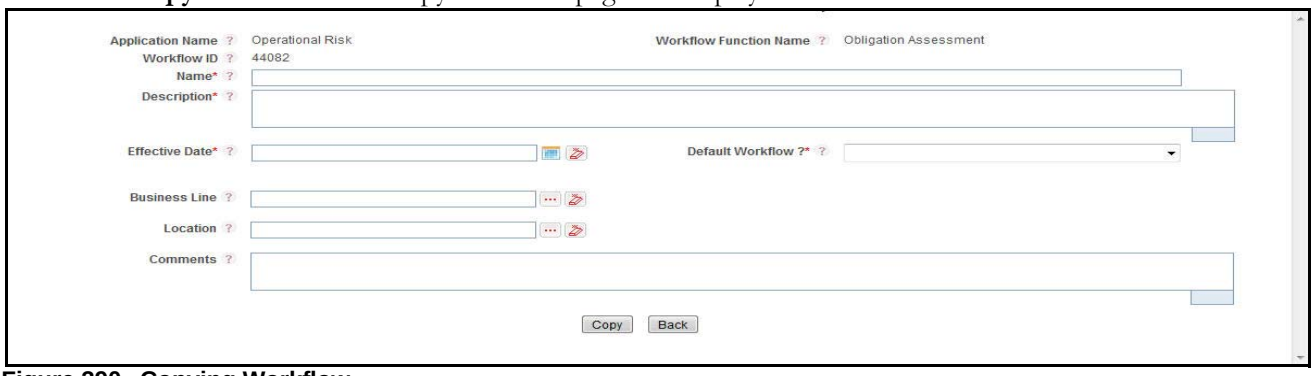



**Figure 390. Copying Workflow**

5. Click **Copy**.

## Managing Workflow Details

The Workflow Details page allows you to manage functionalities pertaining to the Workflow.
The section explains the following topics:

- Managing Details
- Managing Workflow Rules
- Managing Workflow Stage Details
- Viewing Workflow Process

**Note:** Only an Administrator can edit the Workflow details.

### Managing Details

This tab displays the complete information about the Workflow.

This section allows to perform following tasks:

- Editing Workflow Details
- Attaching and Deleting Documents

### *Editing Workflow Details*

This section describes how to edit and update the existing Workflow details. You can edit the Workflow details when it is in *Draft* status. You can edit the following fields in *Draft* status:

- Name
- Description
- Effective Date
- Business Line
- Location
- Default Workflow
- Comments.

**Note:** You can edit **Business Line** and **Location** fields only if the **Default Workflow** option is selected as No.

To edit a Workflow, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the Application and Workflow Function Name.
3. Select a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Details** tab.
5. Click **Edit**. The editable fields are enabled in the Workflow Details page.
6. Modify the necessary information. For more information about the Workflow Details page, refer to *Table 222* .
7. Click **Update**. The following message is displayed: *Update Operation Successful.*
8. Click **OK** to confirm the changes. The updated Workflow Details page is displayed.

### *Attaching and Deleting Documents*

The Workflow page allows you to attach or delete documents related to a Workflow. Users mapped to the role of Administrator can attach and delete documents related to the Workflow.

For more details on attaching and deleting documents, refer to *Chapter 3: Manages Issues and Actions, Managing Documents* section.

## Managing Workflow Rules

This section allows you to manage the Workflow Rules. The Workflow Rule Search and List page is accessible from Workflow Details page. You can map a rule from **Default** workflow to another workflow using the Rule repository. If the rule is not defined, then you can create the rule and map it
This section allows you to perform the following tasks:

- Searching Workflow
- Creating Workflow Rule

- Editing Workflow Rule
- Deleting Workflow Rule

### *Searching Workflow Rules*

This section explains you how to search and filter the existing Workflow Rules. The Workflow Rule Search and List page allows you to filter the Workflow Rules that you want to view and analyze. The Workflow Rule search section supports two types of search- Search by Views, and Search and you can use only one search at a time.

This section explains the following topics:

- Searching Workflow Rules Using Basic Search
- Searching Workflow Rules Using Pre-defined Views

#### Searching Workflow Rules Using Basic Search

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

To search for a Workflow Rule using the basic search, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select a Workflow ID in *Draft* Status. The Workflow Details page will be displayed.
3. Click **Workflow Rules**.

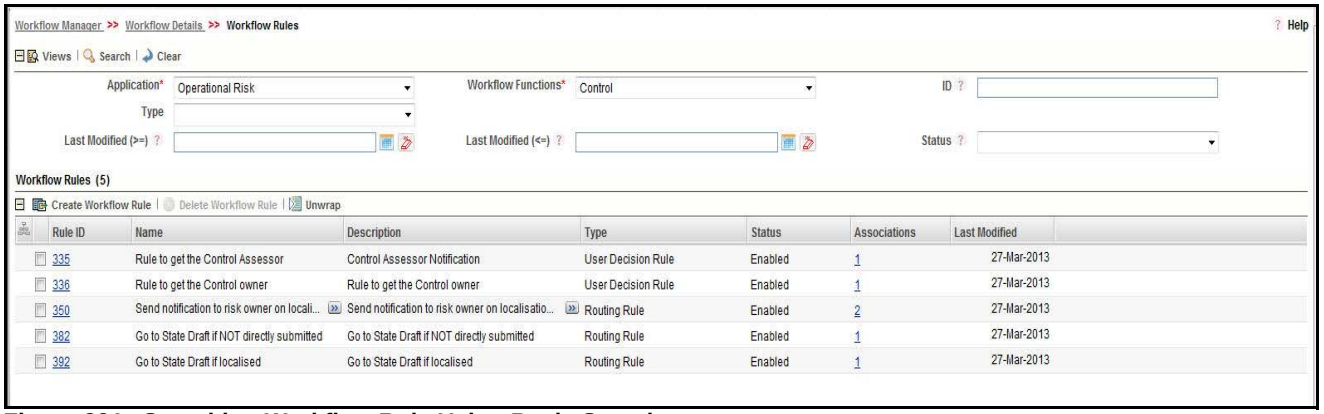



**Figure 391. Searching Workflow Rule Using Basic Search**

**Note:** By default, the Workflow Rule Search and List page displays all the Workflow Rules for selected Application and Workflow Function.

4. Enter the following search criteria in the basic search fields to filter the Workflow Rule list.

   The following table provides a list of the search criteria that display in the Workflow Rule Search section:

**Table 223. Basic Workflow Rule Search Criteria**

| Criteria | Description |
|---|---|
| Application | Select the application for which Workflow Manager is installed. |
| Workflow Function | Select the function of an application.<br>It will be enabled after selecting the Application name in Application field. |

**Table 223. Basic Workflow Rule Search Criteria**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the Workflow. This field allows you to enter a maximum of 8 numeric values. |
| Type | Select the category to which the Workflow Rule belongs, from the drop-down list.<br>Following are the possible values for Workflow Rule Type drop-down list:<br>• Routing Rule<br>• User Decision Rule<br>• User Allocation Rule<br>• Role Allocation Rules |
| Last Modified From | Select the last modified date from the calendar to display Workflow Rules having modified date greater than or equal to the specified date.<br>**Validations:**<br>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.* |
| Last Modified To | Select the last modified date from the calendar to display Workflow Rules having modified date less than or equal to the specified date.<br>**Validations:**<br>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.* |
| Status | Select the Workflow Rule status from the drop-down<br>Following are the possible values for Status drop-down list:<br>• Enable<br>• Disable |

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

   **Note:** You can click **Clear** to reset the search fields to blank.

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

#### Searching Workflow Rules Using Pre-defined Views

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

To search for a Workflow Rule using pre-defined views, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the Application and Workflow Function Name.
3. Select a Workflow ID in *Draft* Status. The Workflow Details page will be displayed.
4. Click **Workflow Rules**.

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

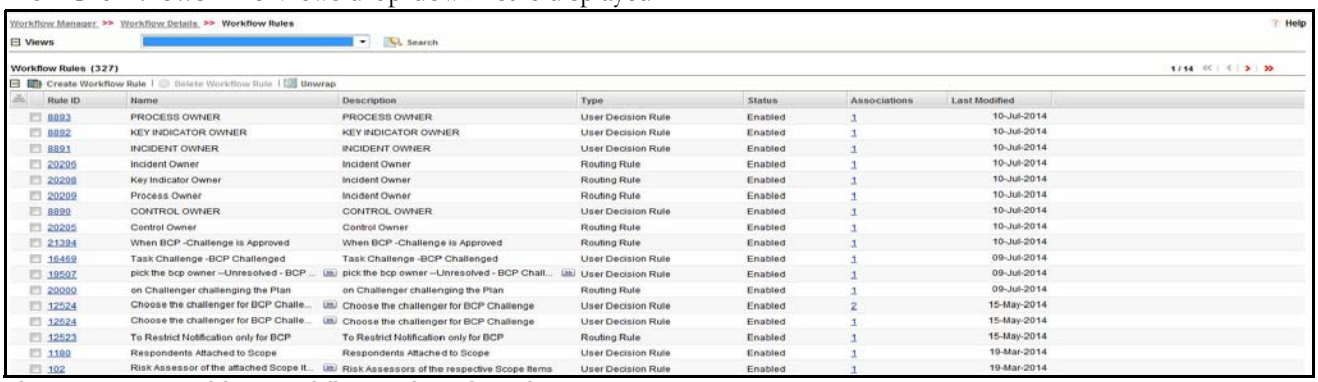



**Figure 392. Searching Workflow Rule Using Views**

6. Select any of the pre-defined views from the Views drop-down list. The relevant Workflow Rule list page is displayed.

   The following table explains the different types of pre-defined views available.

**Table 224. Workflow Views**

| View Type | Description |
|---|---|
| Active Allocation Rules | Select *Active Allocation Rules* from the Views drop-down list to display the Allocation Workflow Rules which are in enabled status in descending order of the last modified date. |
| Active Routing Rules | Select *Active Routing Rules* from the Views drop-down list to display the Routing Workflow Rules which are in enabled status in descending order of the last modified date. |

### *Creating Workflow Rule*

You can create a new Workflow Rule using the Create Workflow Rule option. You can map the workflow rule to Stage details, Notification, or Task, if workflow in draft, inactive, and active status.
To create a Workflow Rule, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Rules.**
5. Click **Create Workflow Rule**.




**Figure 393. Workflow Rule Details Page**

6. Enter the pertinent information in the Workflow Rule Details page. The following table describes the fields of this page.

**Table 225. Components of the Workflow Rule Details Page**

| Field | Description |
|---|---|
| Application | This field is auto-populated and shows the selected Application name. You cannot edit this field. |
| Workflow Function | This field is auto-populated and shows the selected Workflow Function name. You edit the Workflow function name, if required. |
| Rule ID | This is an auto populated sequential tracking number assigned to Workflow Rules. This field is not editable. |
| Name | Enter the name of the Workflow Rule. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Workflow Rule details without entering the Workflow Rule name, the application displays the following message: *Please enter the Workflow Rule Name.* |
| Description | Enter a brief description of the Workflow Rule.<br>The description field in the Workflow Rule Details page allows you to enter a maximum of 3000 characters.<br>As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: *Number of characters exceeded*. |

**Table 225. Components of the Workflow Rule Details Page**

| | |
|---|---|
| Type | Select the type of Workflow rule.<br>The following values are possible for Type drop-down:<br>● **Routing Rule:** Select the Type of Workflow Rule as **Routing Rule**, if the Rule belongs to any Routing stage.<br>● **User Decision Rule:** Select the Type of Workflow Rule as **User Decision Rule**, if the Rule belongs to user's decision.<br>● **User Allocation Rule:** Select the Type of Workflow Rule as **User Allocation Rule**, if the Rule belongs to user's irrespective of User's role.<br>● **Role Allocation Rules:** Select the Type of Workflow Rule as **Role Allocation Rule**, if the Rule belongs to user's Role allocation irrespective of User. |
| Status | Enter the Status of the Workflow rule as Enable or Disable.<br>● Enable: If the Workflow Rule is Enabled, then the Workflow Rule will be effective for Workflow, where is it selected.<br>● Disable: If the Workflow Rule is Disabled, then the Workflow Rule will not be effective for Workflow, where is it selected. |
| Rule Logic | Enter the logic of Workflow Rule in standard programming language (SQL Query).<br>**Note:** If you try to enter more than 3000 characters in the Rule Logic field, the application displays the following message: *Number of characters exceeded*. |
| Comments | Enter remarks if applicable.<br>**Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*. |
| Notes | Enter the notes, if required.<br>**Note:** If you try to enter more than 3000 characters in the Notes field, the application displays the following message: *Number of characters exceeded*. |
| Created By | Shows the user's name who created the workflow Rule. This field is auto populated after saving the Workflow. |
| Created Date | Show the date on which the workflow Rule was created. This field is auto populated after saving the Workflow. |
| Last Modified By | Shows the user's name who last modified the workflow Rule.This field is auto populated. |
| Last Modified Date | Shows the date on which the workflow Rule was last modified. This field is auto populated. |

7. Click **Save** button. A confirmation message is displayed: *Add Operation Successful.*
8. Click **Ok**. The Workflow Rule is saved and is displayed under *Workflow Rules* grid after clicking **Cancel**.

### *Editing Workflow Rule*

You can edit or update an existing Workflow Rule.
To edit a Workflow Rule, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.

3. Click a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Rules.**
5. Click a Workflow Rule. The Workflow Rule Details page will be displayed.
6. Click **Edit**. Following editable fields will enable for updation: Workflow Function, Name, Description, Type, Status, Rule Logic, Comments, and Notes.
7. Modify the necessary information. For more information about the Workflow Rule Details page, refer *Table 222* .
8. Click **Update**. The following confirmation message is displayed: *Update Operation Successful.*
9. Click **Ok**.

#### *Deleting Workflow Rule*

You can delete an existing Workflow Rule, which is not required to map to any Stage details, Notification, or Tasks. If the Workflow rule is mapped to any stage details, notification, tasks and you try to delete that workflow rule, then an error message will display.
To delete a Workflow Rule, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID. The Workflow Details page is displayed.
4. Click **Workflow Rules.**
5. Select a Workflow Rule for which **Stages Associated** field is set as "0" (that shows, the rule is mapped with any stage details, Notification, or Task). You cannot delete Workflow rule, if the **Stage Associated** field of it is set to any other value.
6. Click **Delete Workflow Rule**. The following message is displayed: *Are sure you want to delete this record?*
7. Click **Ok**. The following message is displayed: *Delete Operation Successful.*

### Managing Workflow Stage Details

This section allows you to manage the Workflow Stage details. You can define the followings Stages of Workflow, that is how and when Workflow will move from one stage to another with Notifications and Tasks.

This section allows you to perform following tasks:

- Creating Workflow Stage
- Adding Routing Rules
- Adding Notification
- Adding Tasks
- Mapping of User Roles
- Mapping of Users
- Mapping of User Allocation Rule
- Mapping of Role Allocation Rule
- Mapping of User Decision Rule

### *Creating Workflow Stage*

You can create a new Workflow Stage using the Create Workflow Stage option, when a Workflow is in *Draft, Active,* or *Inactive* status.

To create a Workflow Stage, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Select the Workflow Stage Details section.
5. Click **Create Workflow Stage**.

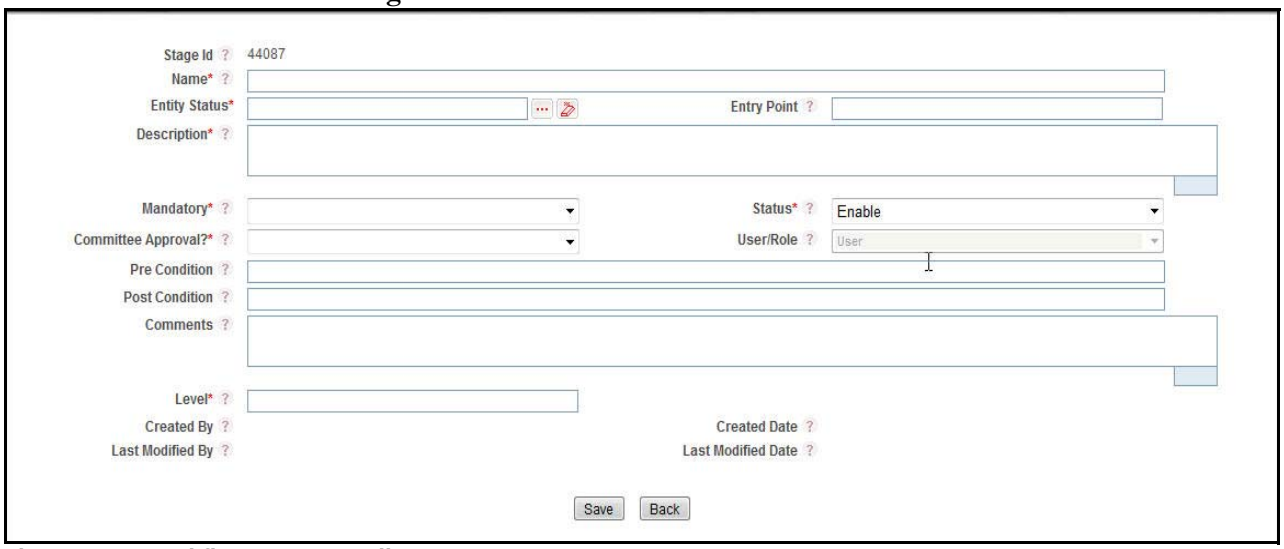



**Figure 394. Workflow Stage Details Page**

6. Enter the pertinent information in the Workflow Stage Details page.
   The following table describes the fields of this page.

**Table 226. Components of the Workflow Stage Details Page**

| Field | Description |
|---|---|
| Application | This field is auto-populated and shows the selected Application name. You cannot edit this field. |
| Workflow Function | This field is auto-populated and shows the selected Workflow Function name. You cannot edit this field. |
| 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. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Workflow Stage details without entering the Workflow Stage name the application displays the following message: *Please enter the Workflow Stage name.* |

**Table 226. Components of the Workflow Stage Details Page**

| | |
|---|---|
| Entity Status | Enter the Entity Status in which the workflow stage is applicable, from hierarchy browser. For example, in case of Incident module, the Entity Status can be New, Closed, Approved, and so on. |
| Entry Point | Enter the Entry path for the Workflow, that is you can select a path at which Workflow will enter. This field is numeric and the values are set in individual Stages. |
| Description | Enter a brief description of the Workflow.<br>The description field in the Workflow Details page allows you to enter a maximum of 3000 characters.<br>As you begin entering the comments, the word count displayed below the Description text box keeps decreasing. If you try to enter more than 3000 characters in this field, the following error message is displayed: *Number of characters exceeded*. |
| Mandatory | Select this field as yes if the stage is to be made mandatory. If You have selected this option as Yes, then workflow cannot skip the stage. |
| Status | Enter the Status of the Workflow Stage as Enable or Disable. |
| Committee Approval | Select this option as yes or No. If you select this option as yes then a committee approval is required to move to next stage, that is Workflow will not proceed until all the users of task have worked on it. |
| User/Role | If this is selected as user, then all the tasks for which the user is the assigned user will be completed on completion of any one related task in stage.<br>If this is selected as Role, then all the tasks with roles similar to the logged in user will get completed on completion of any one related task in stage. |
| Pre Condition | Enter the name of procedural condition which should be satisfied, before reaching this stage. |
| Post Condition | Enter the name of procedural condition which is to be checked, to reach the next stage. |
| Level | Enter the Level to which the Workflow Stage belongs. This field accepts only numeric values. |
| Comments | Enter remarks if applicable.<br>**Note:** If you try to enter more than 3000 characters in the Comment field, the application displays the following message: *Number of characters exceeded*. |
| Created By | Shows the user's name who created the Workflow Stage. This field is auto populated after saving the Workflow. |
| Created Date | Show the date on which the Workflow Stage was created. This field is auto populated after saving the Workflow. |
| Last Modified By | Shows the user's name who last modified the Workflow Stage.This field is auto populated. |
| Last Modified Date | Shows the date on which the Workflow Stage was last modified. This field is auto populated. |

7. Click **Save** button. The Workflow Stage is saved and is displayed under *Workflow Stages* grid.

### *Adding Routing Rules*

Routing rules are the criteria to determine how a workflow moves between stages. This is performed with the help of adding routing rules which have the logic defined for moving the next stage.

To map a routing rule to a Workflow Stage from the *Workflow Details* window, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Select the **Workflow Stage Details** tab.
5. Select the Workflow **Stage ID**, to which you want to map a routing rule.
6. Click **Map Rules** button in the *Routing Rules* grid.
7. The *Workflow Rule Details* window is displayed.

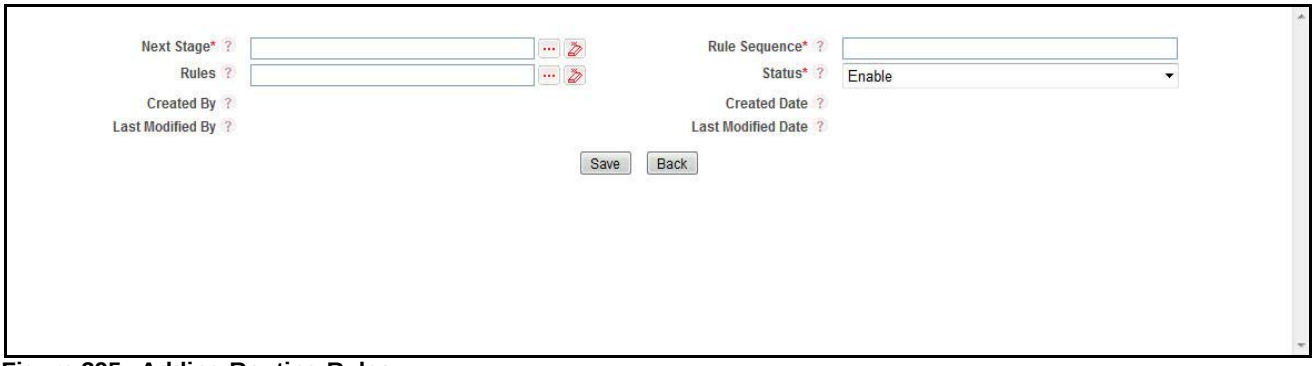



**Figure 395. Adding Routing Rules**

The following table describes the fields of the Routing Rules page:

**Table 227. Adding Routing Rules**

| Field | Description |
|---|---|
| Next Stage | Select the Next Stage to where Workflow should move from the current selected stage, from Hierarchy Browser. |
| Rule Sequence | Enter the rule execution sequence number.<br>This is the order/sequence in which the Rule has to be executed in comparison with the other rules available. |
| Rules | Select the Routing Rule from Hierarchy Browser. For example, for Incident Module, **Approval** is a Rule. |
| Status | Select **Enable** if the rule is to be enabled on the Workflow Stage and **Disable** otherwise.<br>By default, it is set to **Enable**. |
| 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. |

8. Click **Save** button.
   The rule is mapped to the Stage and is displayed under *Routing Rules* grid.
   You can click the **Rule ID** 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.

### *Adding Notification*

You can create notifications to be generated, during the entry to a Stage, in the Stage, or during exit from a Stage.

The below example explains the **on Exit** option:
For example, in case of Incident module, the Incident Owner receives a Notification after approval of the Incident.
The below example explains the **on Entry** option:
For example, in case of Incident module, the Incident Approver receives a Notification to approve the Incident.
The below example explains the **on Stage** option:
For example, in case of Incident module, the Obligation Owner receives a Notification, that the Obligation is linked with the Incident.

To add a notifications from the *Workflow Details* window, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Click Workflow Stage Details tab
5. Select the Workflow Stage.
6. Click **Notifications**.The *Notifications* grid is displayed.
7. Click **Create Notification** button. The *Workflow Notifications Details* page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.




**Figure 396. Create Notification Page**

The following table describes the fields of the Notification page.

**Table 228. Creating Notification**

| Field | Description |
|---|---|
| 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.<br>This field is alphanumeric and the maximum allowed characters are 300. |
| Generate | Select from the drop down list, when to display the notification.<br>The available values are:<br>• **On Entry:** If this option is selected, then notification will be generated on the entry of Stage of Workflow. For example, in case of Incident module, the Incident Owner receives a notification about the Pending Owner status.<br>• **On Exit:** If this option is selected, then notification will be generated on the exit of Stage of Workflow. For example, in case of Incident module, the Incident Owner receives a notification about the Approved status.<br>• **On Stage:** If this option is selected, then notification will be generated during the Stage of Workflow. For example, in case of Incident module, the Incident Owner receives a notification about the Pending Approval status. |
| Description | Enter the description for the notification.<br>This field is alphanumeric and the maximum allowed characters are 3000. |
| Access Rights | Select the access rights from the drop down list.<br>The available values are:<br>• **Single:** In Single, you can add only one role. Users of a specific role (for example, in case of Incident module, it can be Approvers and so on) can be selected and rules can be mapped for those users.<br>• **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 for notification access based on defined conditions.<br>• **User Defined:** In User Defined, the behavior is as defined from the front-end.<br>• **Default Access:** Default Access overrides all conditions of that Workflow and provides Stage access to the selected role and users. For example, in case of Incident module, the Incident will move to the default user irrespective of user. |
| Status | Select the status of the notification as **Enable** or **Disable.** If the status of Notification is set as Enable, then only the Notification will be generated. |
| 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 last modified the notification. |
| Last Modified Date | This field is auto populated with the date on which the notification is last modified. |

8. Click **Save** button. The notification is saved. After saving a Notification, you can perform the following functions based on the access right selected:

- **Mapping of User Role:** This option allows you to map a notification with a User Role. For more information on Mapping of User Role, refer to *Mapping of User Roles* section.
- **Mapping of Users:** This option allows you to map a user to the notification. For more information on Mapping of Users, refer to *Mapping of Users* section.
- **Mapping of Role Allocation Rule:** This option allows you to map a Rule to a Role. For more information on Mapping of Role User Allocation Rule, refer to *Mapping of Role Allocation Rule* section.
- **Mapping of User Allocation Rule:** This option allows you to map a Rule to a User. For more information on User Allocation Rule, refer to *Mapping of User Allocation Rule* section.
- **Mapping of User Decision Rule:** This options allows you to map a decision Rule to a Role. For more information on Mapping of User Decision Rule, refer to *Mapping of User Decision Rule* section.

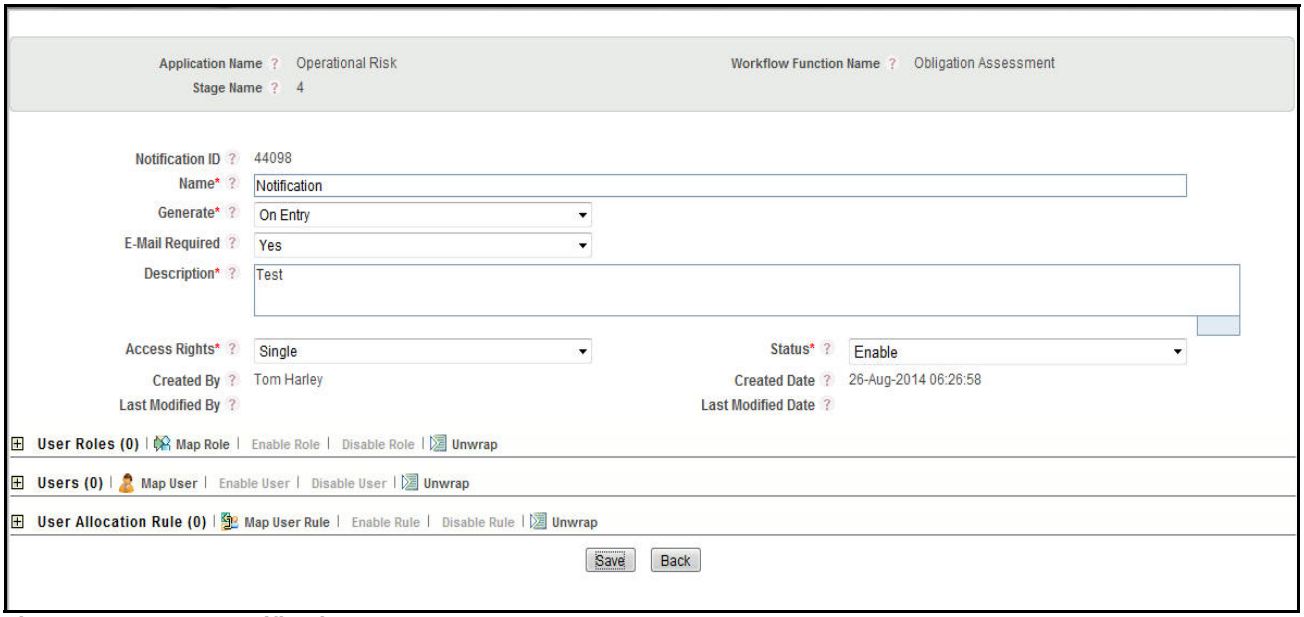



**Figure 397. Create Notification Page**

9. Click **Back** to navigate the Workflow Stage Details page. Here, you can perform following functions in the Notification grid:
   - **Enable Notification:** If the Notification is set to enable, then only the Notification will be generated. Click **Enable Notification** button from the *Notifications* grid to enable the selected notification. Only Disabled Notification can be Enabled. After clicking on **Enable Notification**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **Disable Notification:** Click **Disable Notification** button from the *Notifications* grid to disable the selected notification. Only Enabled Notification can be Disabled. After clicking on **Disable Notification**, a message is displayed: *Update Operation Successful*. Click **Ok**
   - **Mapping of Rule to Notification:** Click **Map Rule** button from the *Notification Rules* grid to map and link a Notification to a rule. For more information, refer to *Mapping of Notification to Rule* section.
   - **Enable Rule:** Click **Enable Rule** button from the *Notification Rules* grid to enable the selected rule.Only Disabled Rule can be Enabled. After clicking on **Enable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**. You can enable only one Active Rule at a time.**Disable Rule:** Click **Disable Rule** button from the *Notification Rules* grid to enable the selected rule. Only Enabled Rule can be Disabled. After clicking on **Disable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**.

- **View Language:** This option allows you to change the langauge of the Notification as per locale. Select a language under the *Language Manager* grid to select and save a language in which the notification has to be displayed. You can modify the Notification name if required as per locale. This grid will be active only after selecting a Notification ID from Notification grid. By default, the language is set to english. You can edit the same to other languages if the langauge pack is available.

### *Mapping of Rule to Notification*

After adding a Notification, you can map an existing workflow rule to notification. You can map a Rule to Notification when the Workflow is in Draft, Active, or Inactive status.
To map a notification to a rule, follow the steps given below:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Click the Workflow Stage Details tab.
5. Select the defined Workflow Stage ID.
6. Select the Notification to which you want to map the rule. For more information on adding a Notification, refer to *Adding Notification* section.

   **Note:** You should select a Notification from Notification grid before mapping a rule, else following message is displayed: *Please select a Notification rules.* At least one rule should be mapped to the notification with enable status. If you want to map any another rule to that notification, then first you will have to disable the existing rule.
7. Click **Map Rule** button from the *Notification Rules* grid. The *Map Rule* window is displayed.
8. In Map Rule window, select the Rule and click **Link**. You can map only one active rule to a notification. For more information on Workflow Rule, refer to Managing Workflow Rules section.

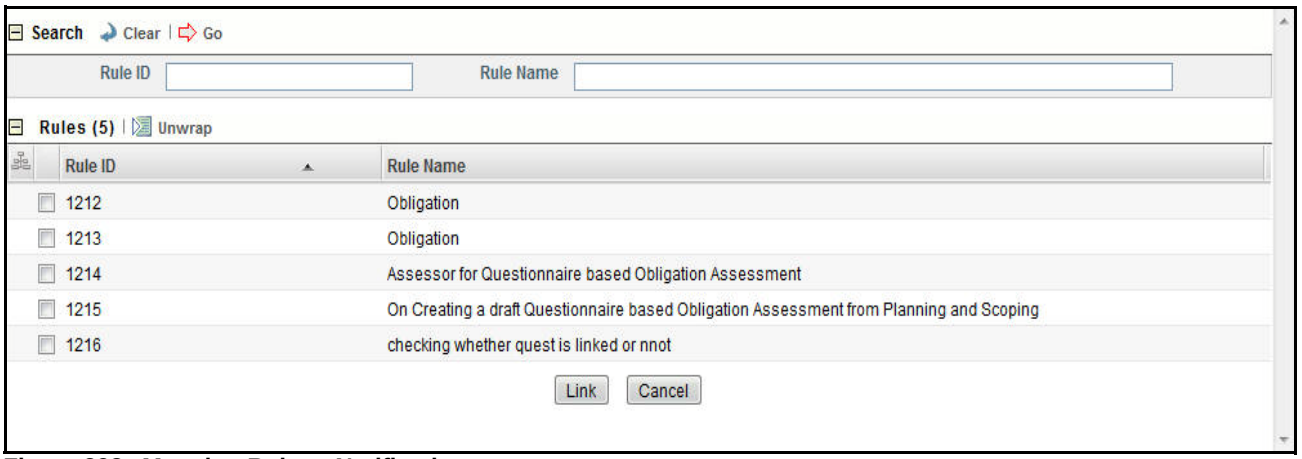



**Figure 398. Mapping Rule to Notification**

### *Adding Tasks*

You can pre-define tasks to be executed during the entry to a Stage, in the Stage, or during exit from a Stage.
The below example explains the **on Exit** option:
For example, in case of Incident module, the Incident Owner receives a Task with Approval status after approval of the Incident.

The below example explains the **on Entry** option:
For example, in case of Incident module, the Incident Approver receives a Task with Pending Approval status to approve the Incident.
The below example explains the **on Stage** option:
For example, in case of Incident module, the Obligation Owner receives a Task, that the Obligation is linked with the Incident.

To create a task from the *Workflow Details* window, follow these steps:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Click a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.
4. Click the Workflow Stage Details tab.
5. Select the Workflow Stage **ID**.
6. Click **Tasks**. The *Tasks* grid is displayed.
7. Click **Create Task**. The *Workflow Tasks* Details page is displayed with the details such as Application Name, Workflow Function Name, and Stage Name.

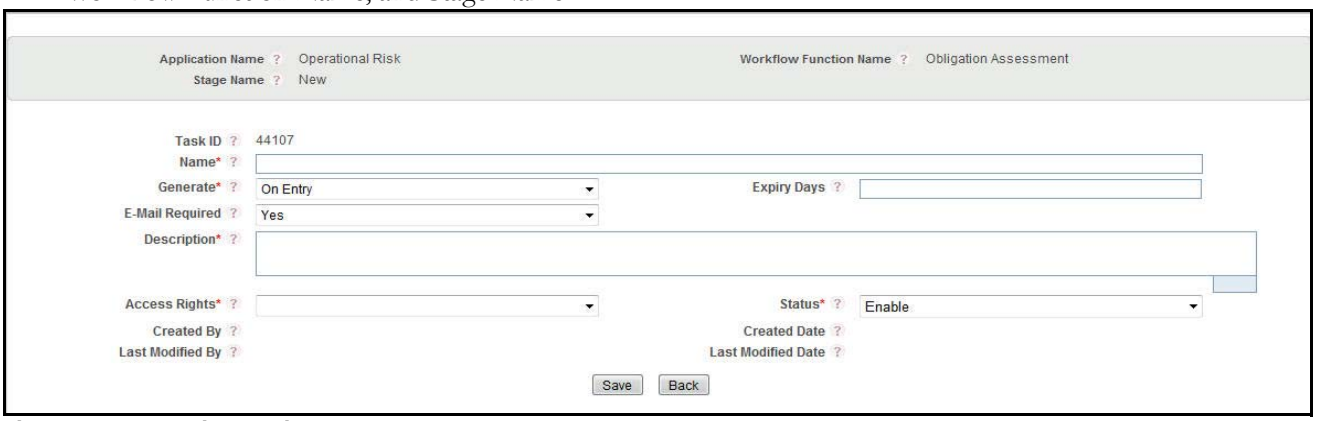



**Figure 399. Creating Task Page**

The following table describes the fields of the Task page.

**Table 229. Creating Tasks**

| Field | Description |
|---|---|
| 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.<br>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 | • **On Entry:** If this option is selected, then notification will be generated on the entry of Stage of Workflow.<br>• **On Exit:** If this option is selected, then notification will be generated on the exit of Stage of Workflow.<br>• **On Stage:** If this option is selected, then notification will be generated during the Stage of Workflow. |

**Table 229. (Continued)Creating Tasks**

| Field | Description |
|---|---|
| Description | Enter the description for the task.<br>This field is alphanumeric and the maximum allowed characters are 3000. |
| Access Rights | Select the access rights from the drop down list.<br>The available values are:<br>● **Single:** In Single, you can add only one role. Users of a specific role (for example, in case of Incident module, it can be Approvers and so on) can be selected and rules can be mapped for those users.<br>● **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 for notification access based on defined conditions.<br>● **User Defined:** In User Defined, the behavior is as defined from the front-end.<br>● **Default Access:** Default Access overrides all conditions of that Workflow and provides Stage access to the selected role and users. For example, in case of Incident module, the Incident will move to the default user irrespective of user. |
| Status | Select the status of the task from the drop down list as **Enable** or **Disable**. If the status of Task is set as Enable, then only the Task will be generated. |
| 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. |

8. Click **Save** button. The task is saved. After saving a Notification, you can perform the following functions:
   - **Mapping of User Role:** This option allows you to map a notification with a Role. For more information on Mapping of User Role, refer to *Mapping of User Roles* section.
   - **Mapping of Users:** This option allows you to map a user to the Task. For more information on Mapping of Users, refer to *Mapping of Users* section.
   - **Mapping of Role Allocation Rule:** This option allows you to map a Rule to a Role. For more information on Mapping of Role User Allocation Rule, refer to *Mapping of Role Allocation Rule* section.
   - **Mapping of User Allocation Rule:** This option allows you to map a Rule to a User. For more information on User Allocation Rule, refer to *Mapping of User Allocation Rule* section.

- **Mapping of User Decision Rule:** This options allows you to map a decision Rule to a Role. For more information on Mapping of User Decision Rule, refer to *Mapping of User Decision Rule* section.

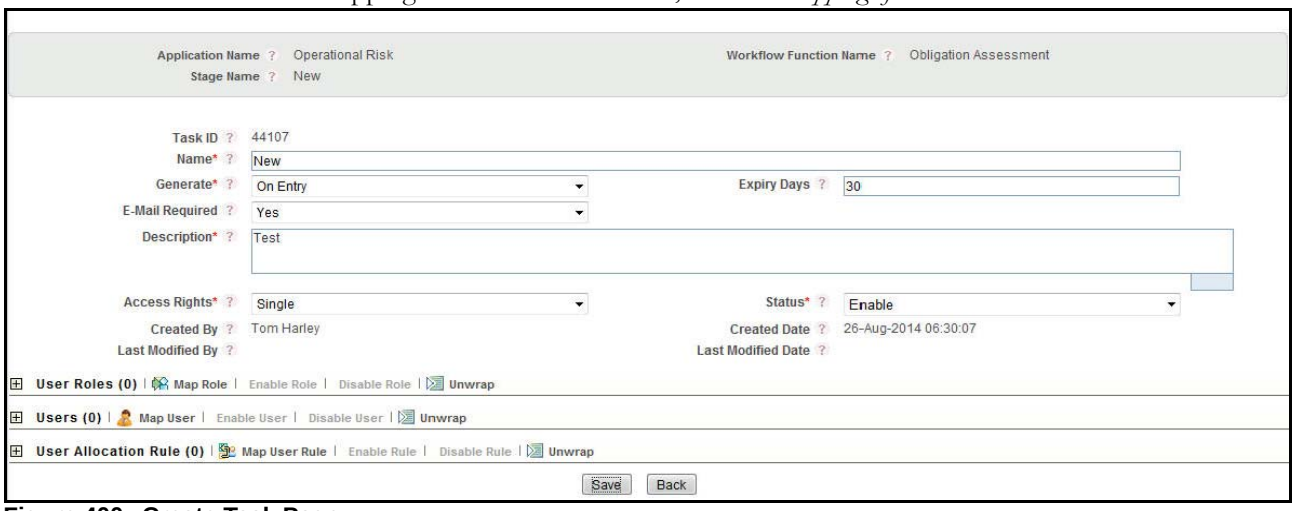



**Figure 400. Create Task Page**

9. Click **Back** to navigate the Workflow Stage Details page. Here, you can perform following functions from Task grid:
   - **Enable Task:** Click **Enable Task** button from the *Tasks* grid to enable the selected notification. Only Disabled Task can be Enabled. After clicking on **Enable Task**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **Disable Task:** Click **Disable Task** button from the *Tasks* grid to disable the selected notification. Only Enabled Task can be Disabled. After clicking on **Disable Task**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **Mapping of Rule to Task:** Click **Map Rule** button from the *Task Rules* grid to map and link a Task to a rule.
   - **Enable Rule:** Click **Enable Rule** button from the *Task Rules* grid to enable the selected rule. Only Disabled Rule can be Enabled. After clicking on **Enable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**. You can enable only one Active Rule at a time.
   - **Disable Rule:** Click **Disable Rule** button from the *Task Rules* grid to enable the selected rule. Only Enabled Rule can be Disabled. After clicking on **Disable Rule**, a message is displayed: *Update Operation Successful*. Click **Ok**.
   - **View Language:** This option allows you to change the langauge of the Task as per locale. Select a language under the *Task Manager* grid to select and save a language in which the notification has to be displayed. You can modify the Notification name if required as per locale. This grid will be active only after selecting a Task ID from Task grid.

### *Mapping of Rule to Task*

After adding a Task, you can map an existing workflow rule to the Task. You can map a Rule to the Task, when the status of Workflow is Draft, Active, or Inactive.
To map a Rule to a Task, follow the steps given below:

1. Navigate to the Workflow Search and List page.
2. Select the **Application Name** and **Workflow Function Name**.
3. Select a Workflow ID from the Workflow Search and List page. The Workflow Details page is displayed.

4. Select the Workflow Stage Details tab.
5. Select the defined Workflow Stage ID.
6. Select the Task to which you want to map the rule. For more information on adding a Task, refer to *Adding Task* section.

   **Note:** You should select a Task from Task grid before mapping a rule, else following message is displayed: *Please select a Task rules. You should map* at least one rule Task with enable status. If you want to map another rule to the Task, then you will have to disable the existing rule.
7. Click **Map Rule** button from the *Task Rules* grid. The *Map Rule* window is displayed.
8. In Map Rule window, select the Rule and click **Link**. You can map only one active rule to a Task. For more information on Workflow Rule, refer to *Managing Workflow Rules* section.

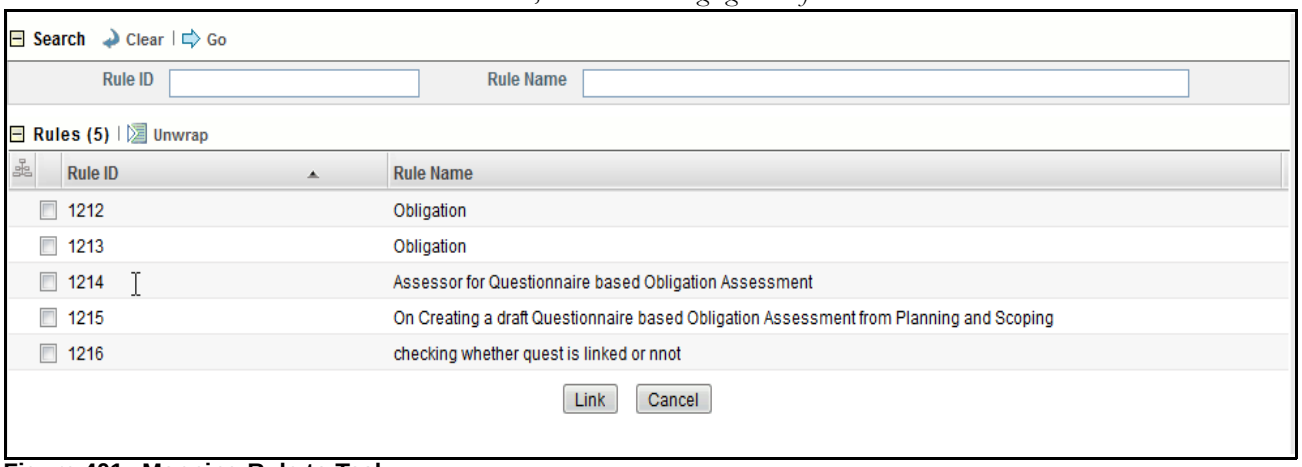



**Figure 401. Mapping Rule to Task**

### *Mapping of User Roles*

You can map a Role to a Notification or a Task.

Example:

For Incident module, if you want an Incident Owner to receive a notification after approval of Incident by Incident Approver, then you can map the Incident Owner (Role) to the particular Notification. Here, the status of the Notification should be Enabled, and the Notification should be mapped to a Rule.

This option will be available when you select the **Access Right** as Single, Multi, or Default Access on **Create Notification** or **Create Task** page.

To map a Role to Notification or a Task, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role. For more information on Adding Notification, refer to Adding Notification section. For more information on *Adding Tasks* section.

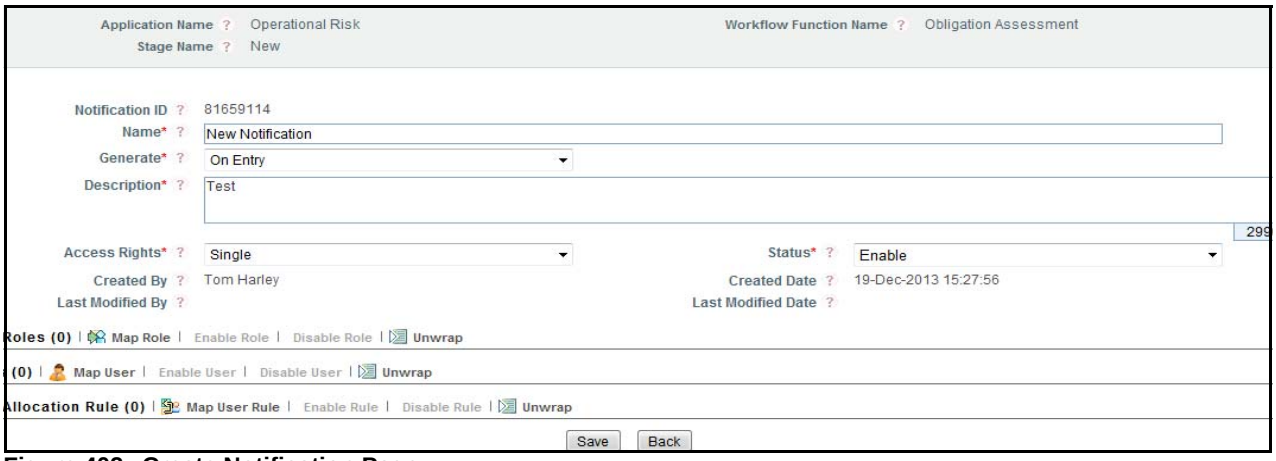



**Figure 402. Create Notification Page**

2. Click **Map Role** in User Roles grid. The list of User Roles will display. This list shows only those roles which are mapped to the Business Line and Location selected for a workflow. If the Workflow is set to default, then all roles will be displayed in this list.

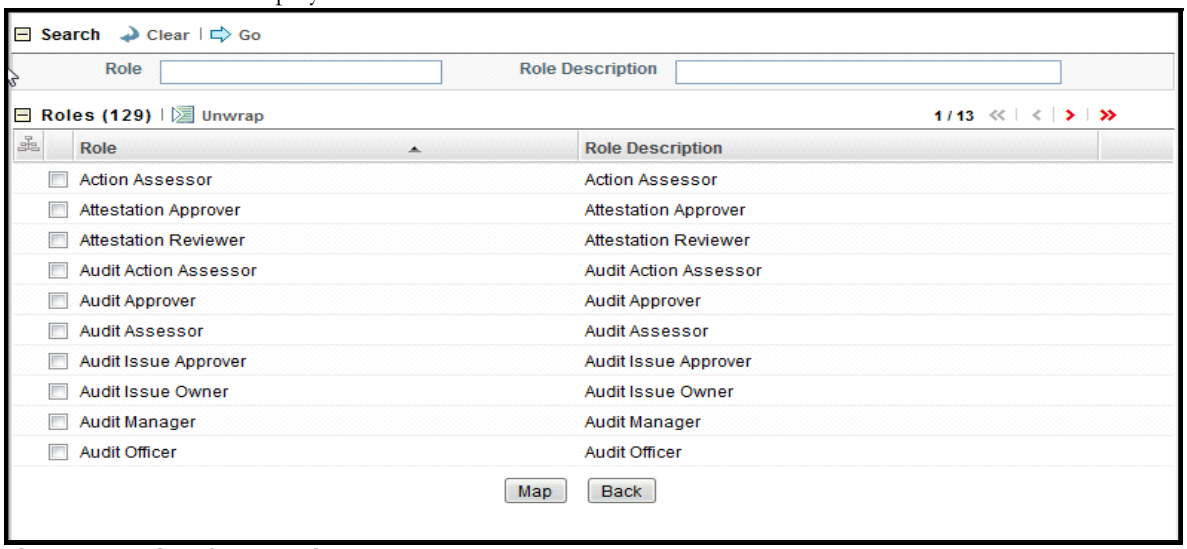



**Figure 403. List of User Roles**

3. Select a Role and click **Map**. A Confirmation message will display.

### *Mapping of Role Allocation Rule*

This option allows you to add a new Role Allocation Rule. You can map a Role with a Rule.
Example:
For Incident module, if you have defined a rule for approval, then you can map this rule to Incident Approval role. In this case, the Incident Owner will receive a notification, when the Approval condition will be satisfied by the Incident Approver.
This option will be available when you select the **Access Right** as Multi on **Create Notification** or **Create Task** page.

To add a User Allocation Rule, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.

For more information on Adding Notification, refer to Adding Notification section. For more information on Adding Task, refer to *Adding Tasks* section.

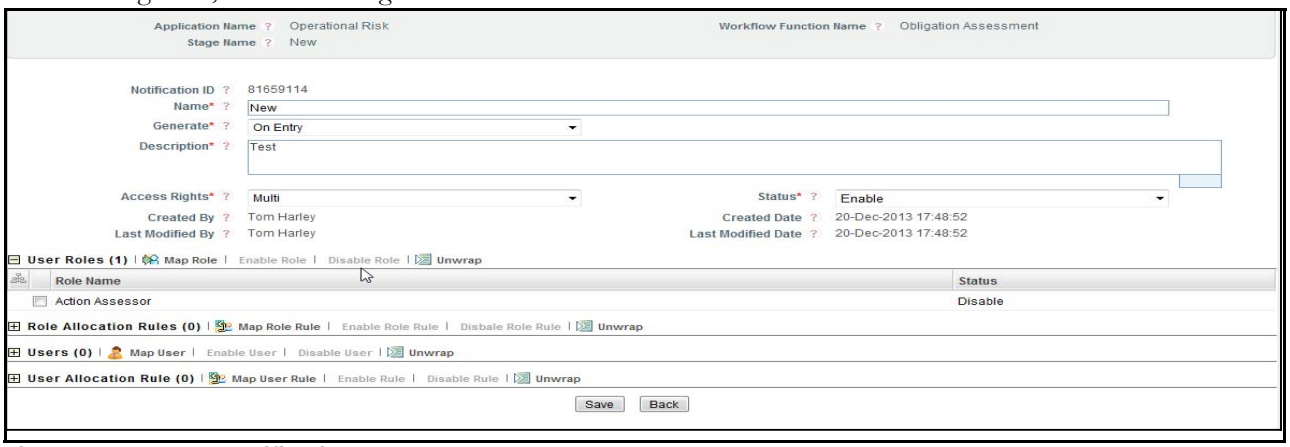



**Figure 404. Create Notification Page**

2. Select a **User Role**. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule*.
3. Click **Map Role Rule**. The list of Role Allocation Rules will display. This list shows all the rules which are role allocation rules.

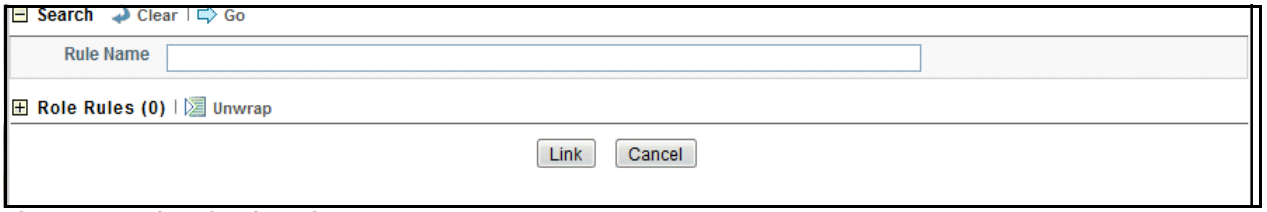



**Figure 405. List of Role Rules**

4. Select the Role Rule and click **Link**. A Confirmation message will display and you will be directed back to **Create Notification** or **Create Task** page.
   After selecting a User Role and User, the corresponding linked User Rule will be displayed in *User Allocation Rule* grid.

### *Mapping of Users*

This option allows you to map a new user for a Role in a Notification or a Task.
Example:
For Incident module, Incident Approver is a Role and "Tom" is a User. You can the Incident Approver Role to "Tom". In this case, "Tom" will receive the Notification for Incident Approval, since he is mapped to Incident Approver Role.
This option will be available when you select the **Access Right** as Single, or Multi on **Create Notification** or **Create Task** page.

To add a user in Notification or a Task, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.
   For more information on Adding Notification, refer to *Adding Notification* section. For more information on

Adding Task.

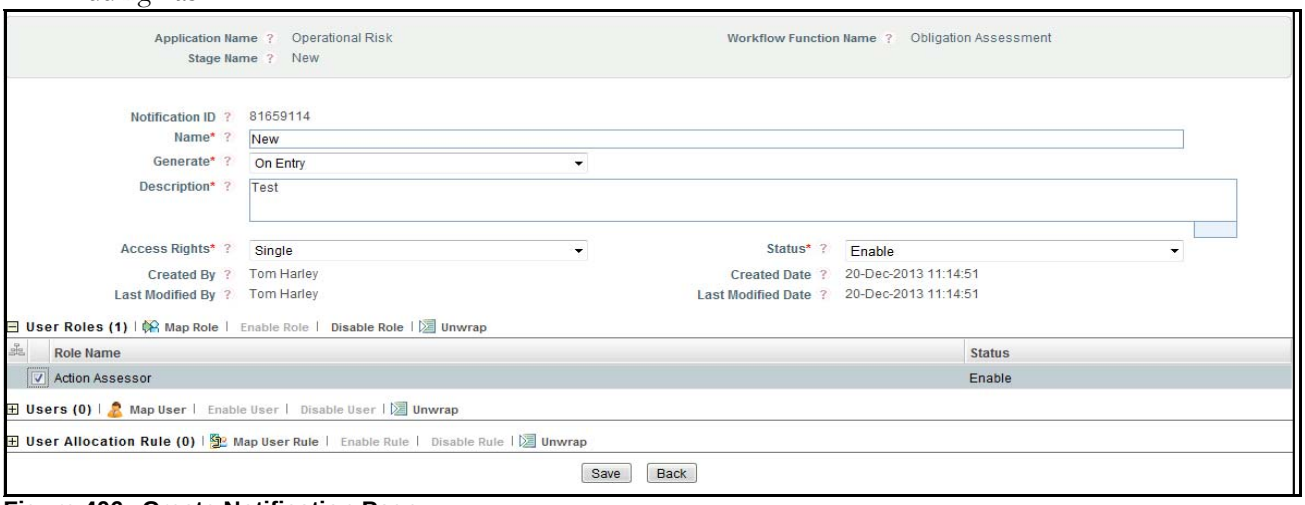



**Figure 406. Create Notification Page**

2. Select a **User Role** in **User Roles** grid. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule.*
3. Click **Map User in Users grid**. The list of users will display. This list shows all the users which are mapped to the selected Role.

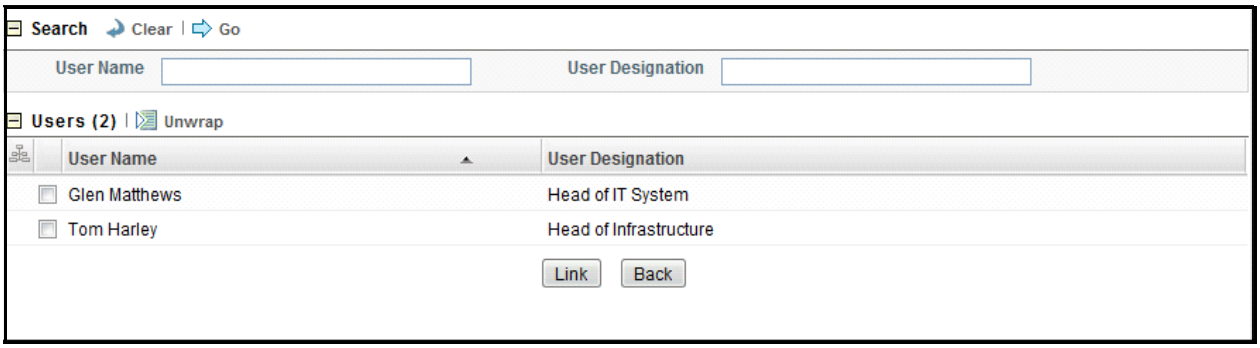



**Figure 407. List of Users**

4. Select a User and click **Link**. A Confirmation message will display and you will be directed back to previous window.
   After selecting a Role, the corresponding linked User name will be displayed in *Users* grid.

### *Mapping of User Allocation Rule*

This option allows you to add a new rule to the user. That is, the user receive the Notification or Task only when the condition defined in the Rule will satisfy.
Example:
For Incident module, the Incident Owner will receive the notification after approval of Incident by Incident Owner. In this case, you can create a rule where it picks up the user who satisfies the Approval condition.
This option will be available when you select the **Access Right** as Single, or Multi on **Create Notification** or **Create Task** page.

**Note:** Only one active user allocation rule can be mapped to a user.

To add a User Allocation Rule, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.

For more information on Adding Notification, refer to *Adding Notification* section.

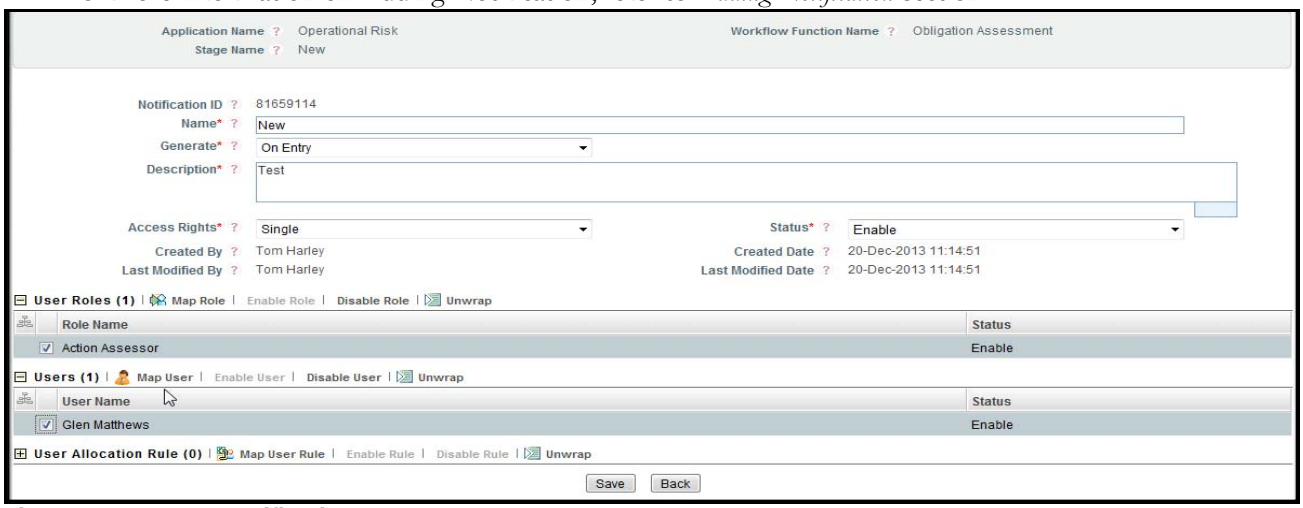



**Figure 408. Create Notification Page**

2. Select a **User Role**. If a User Role is not selected, then following message is displayed: *Please select a Role to Map Rule.*
3. Select the corresponding **User**. If a User is not selected, then following message is displayed: *Please select a User.*
4. Click **Map User Rule**.




**Figure 409. List of User Rules**

5. Select the User Rule and click **Link**. A Confirmation message will display and you will be directed back to **previous window.**
   After selecting a User Role and User, the corresponding linked User Rule will be displayed in *User Allocation Rule* grid.

### *Mapping of User Decision Rule*

This option allows you to add a new User Decision Rule. You can map a User with a decision Rule.
Example:
For incident, if you want to send the incident to a particular Incident Owner who has created that Incident. In this case, you can create a Rule where it will pick up that particular Incident Owner and mapped it to notification or task.
This option will be available only if you have selected **Default User** option from **Access Rights** drop-down list in **Create Notification** or **Create Task** window.
To add a User Decision Rule, follow the steps given below:

1. Access the Notification Details page or Task Details page, to which you want to map the Role.

For more information on Adding Notification, refer to *Adding Notification* section.

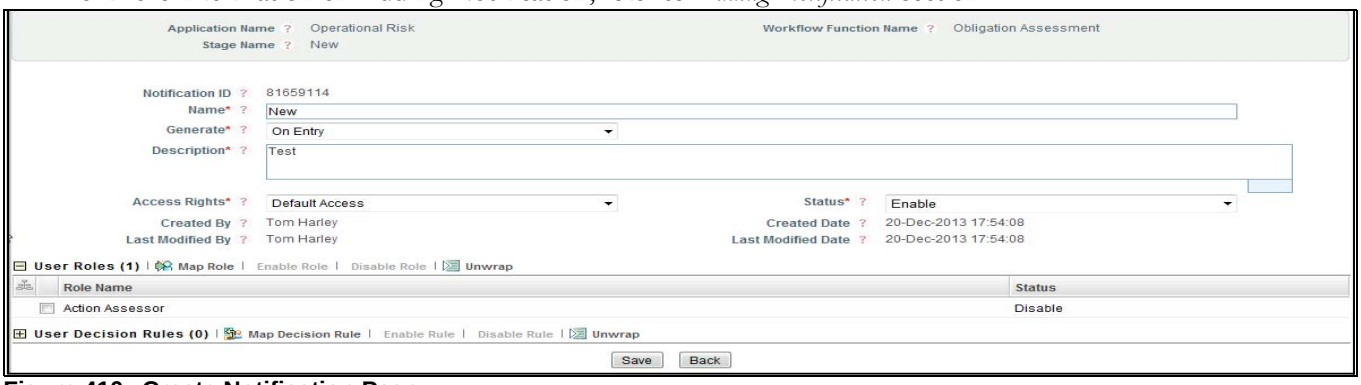



**Figure 410. Create Notification Page**

2. Click **Map Decision Rule**. The list of user decision rules will display.

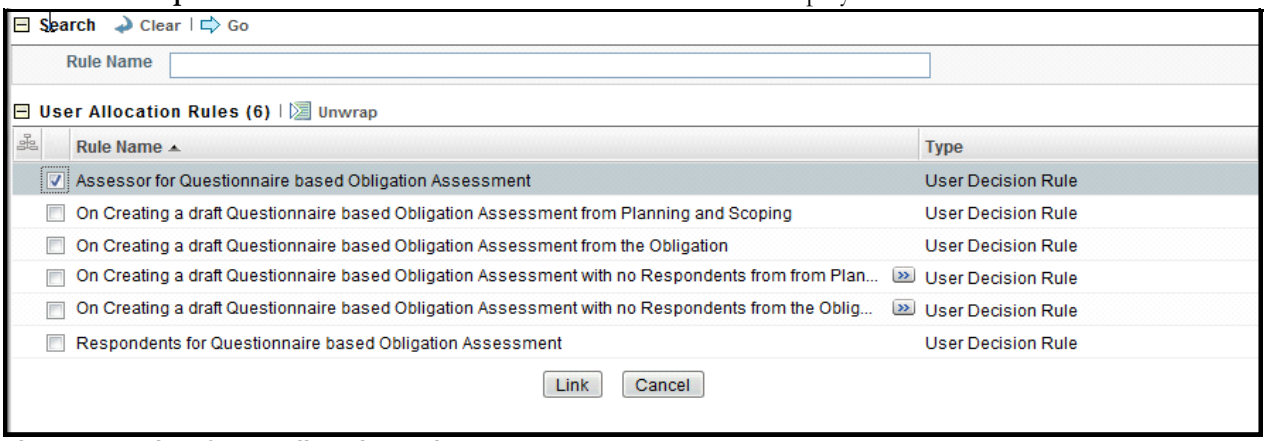



**Figure 411. List of User Allocation Rules**

3. Select the User Allocation Rule and click **Link**. A Confirmation message will display and you will be directed back to **Create Notification** or **Create Task** page.

### Viewing Workflow Process

The View Workflow option allows you to view the process flow of Workflow in graphical format.
To view the Workflow, follow the steps given below:

1. Navigate to Workflow Search and List page.
2. Select a Workflow ID in *Draft, Active, Inactive,* or *Deactive* status.
3. Click **View Workflow**.

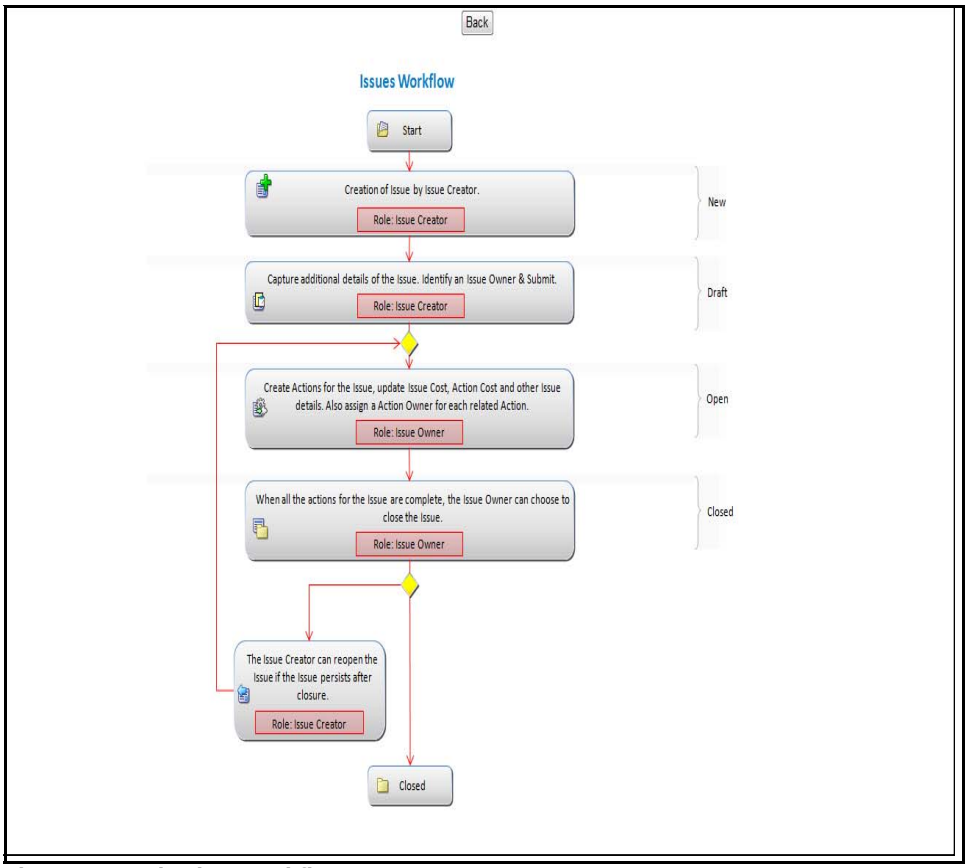



**Figure 412. Viewing Workflow**

## Activating a Workflow

The Workflow will be automatically active from Inactive status to Active through a batch run. It will be active from the date that is defined in **Effective Date** field during the Workflow Creation. While activating a draft status workflow, if the effective date matches to current date, the workflow directly moves into Active status.

**Note:** On a particular workflow being activated all other workflows existing for the same business line and location will move into *Deactive* status.

## Deactivating a Workflow

This option allows you to deactive the Workflow. Before Deactivating a workflow, make sure that at least one active workflow should be there for Application.
To deactivate a Workflow, follow the steps given below:

1. Navigate to Workflow Search and List page.

2. Select a Workflow ID, which you want to deactive.

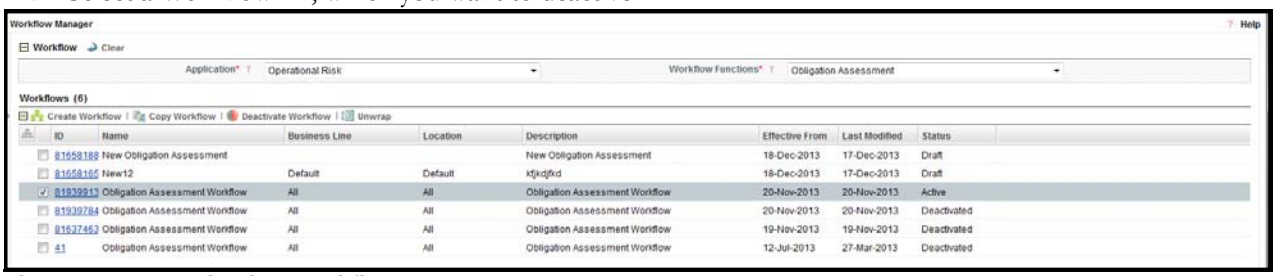



**Figure 413. Deactivating Workflow**

3. Click **Deactivate Workflow**.

**Note:** You can deactive the Workflow, which is in active state.

# Managing the User Interface Language Manager

The User Interface Language Manager allows you to maintain the labels of Fields, Containers and Messages in multiple languages and update existing labels in OFSOR.

This section covers following topics:

- Accessing the User Interface Language Manager
- Managing Screens
- Managing Containers
- Managing Fields
- Managing Messages

## Accessing the User Interface Language Manager

This section explains how to access the User Interface Language Manager under the Admin module in Oracle Financial Services Operational Risk application.
Users mapped to the role of Admin can access the User Interface Language Manager module.
To access the User Interface Language Manager section, follow these steps:

1. Login to OFSOR application. The OFSOR Home page is displayed.
2. Select **Application Preference** from the Admin menu on the Home page and then select **User Interface Langauge Manager**. The User Interface Language Manager page is displayed.

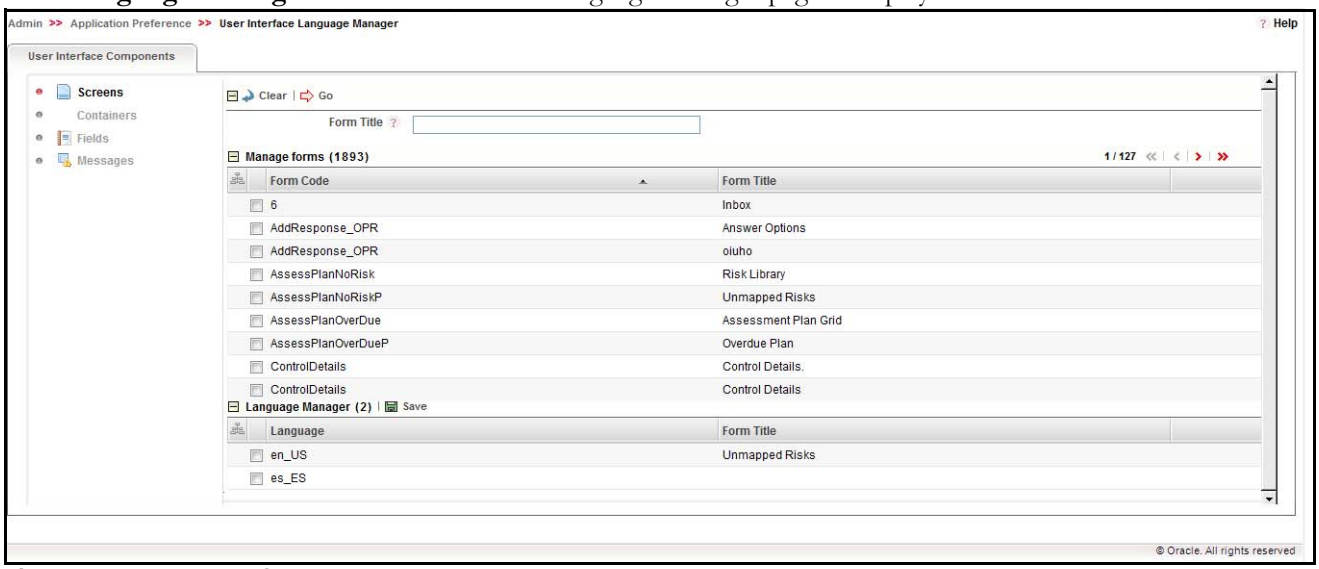



**Figure 414. User Interface Language Manager page**

You can select the following types of UI components:

- Screens
- Containers
- Fields
- Messages

## Managing Screens

To manage OFSOR Screens, follow these steps:

1. Navigate to the User Interface Language Manager page.
2. Select **Screens** from the User Interface Components List. The **Manage Forms** section displays.

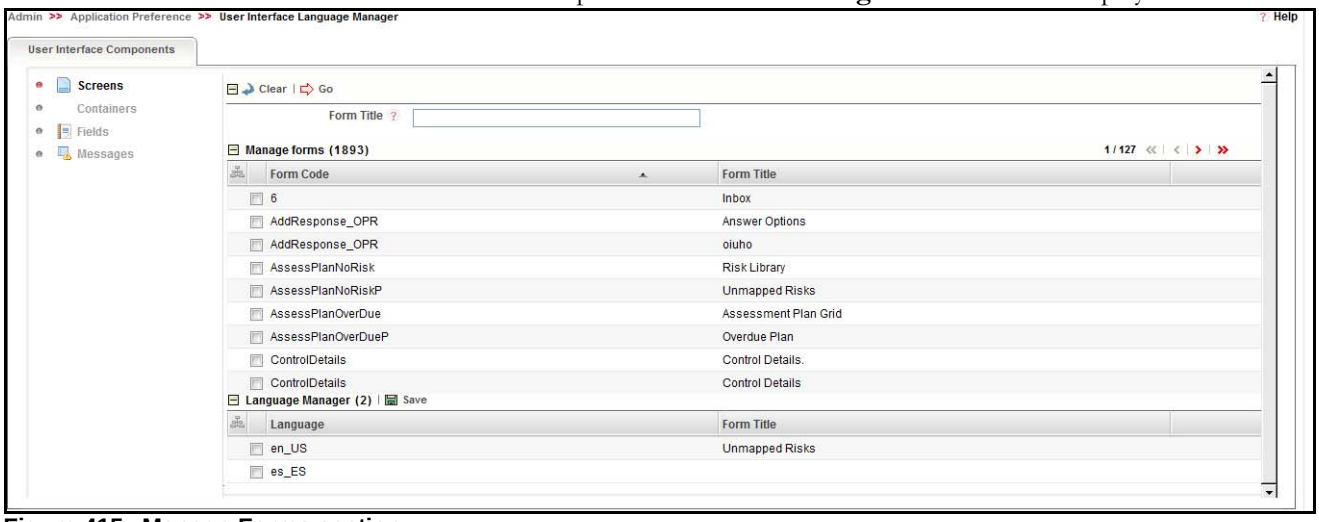



**Figure 415. Manage Forms section**

3. Select a Form by clicking the check box associated with the form in the **Manage Forms** section. The **Language Manager** section expands, displaying all the available languages and the form title in non-editable format.
4. Select a language in the **Language Manager** section by clicking the check box associate with the language. The **Form Title** column becomes editable.
5. Enter the name of the form in the specified language.
6. Click **Save**. Your changes are updated in the table and are reflected throughout OFSOR.

## Managing Containers

To manage OFSOR Containers, follow these steps:

1. Navigate to the User Interface Language Manager page.

2. Select **Containers** from the User Interface Components List. The **Container Details** section displays.

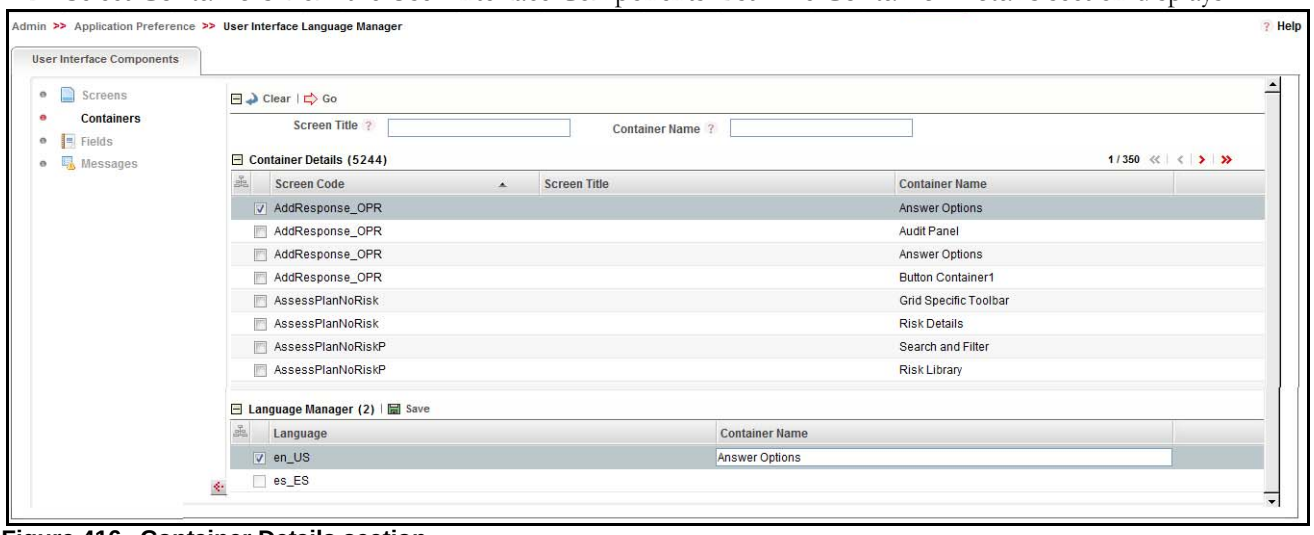



**Figure 416. Container Details section**

3. Select a Container by clicking the check box associated with it in the **Container Details** section. The **Language Manager** section expands, displaying all the available languages and the **Container Name** column in non-editable format.
4. Select a language in the **Language Manager** section by clicking the check box associate with the language. The **Container Name** column becomes editable.
5. Enter the name of the container in the specified language.
6. Click **Save**. Your changes are updated in the table and are reflected throughout OFSOR.

## Managing Fields

To manage OFSOR Fields, follow these steps:

1. Navigate to in the User Interface Language Manager page.
2. Select **Fields** from the User Interface Components List. The Field Details section displays.

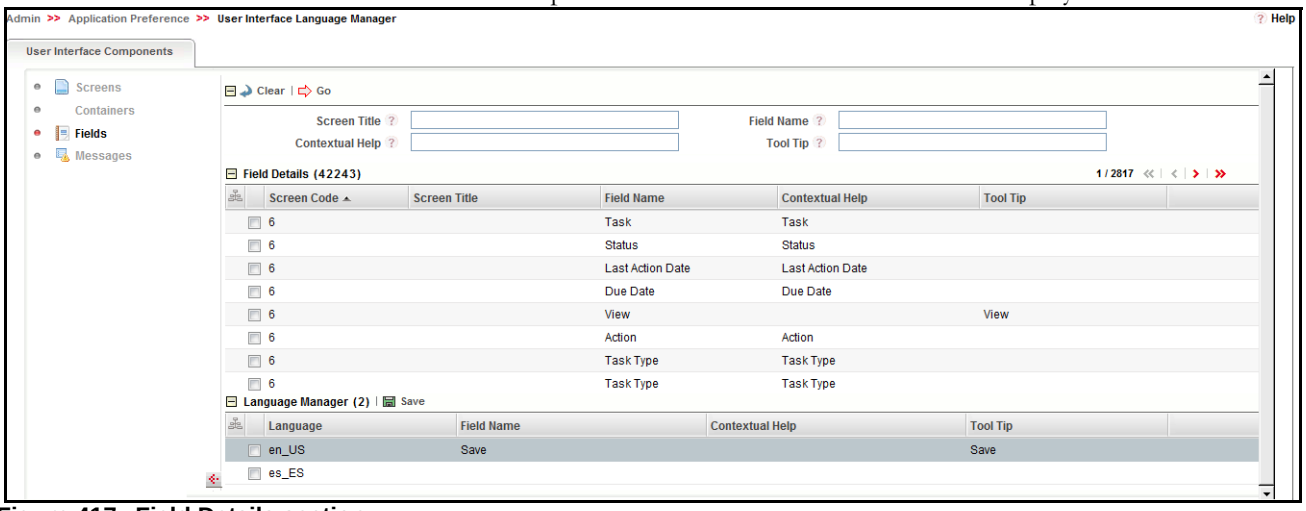



**Figure 417. Field Details section**

3. Select a Field by clicking the check box associated with it in the **Field Details** section. The **Language Manager** section expands, displaying all the available languages and the **Field Name**, **Contextual Help**, and **Tool Tip** columns in non-editable format.
4. Select a language in the **Language Manager** section by clicking the check box associate with the language. The **Field Name**, **Contextual Help**, and **Tool Tip** columns become editable.
5. Enter the **Field Name**, **Contextual Help**, and **Tool Tip** in the specified language.
6. Click **Save**. Your changes are updated in the table and are reflected throughout OFSOR.

## Managing Messages

To manage OFSOR Messages, follow these steps:

1. Navigate to the User Interface Language Manager page.
2. Select **Messages** from the User Interface Components List. The **Message Details** section displays.

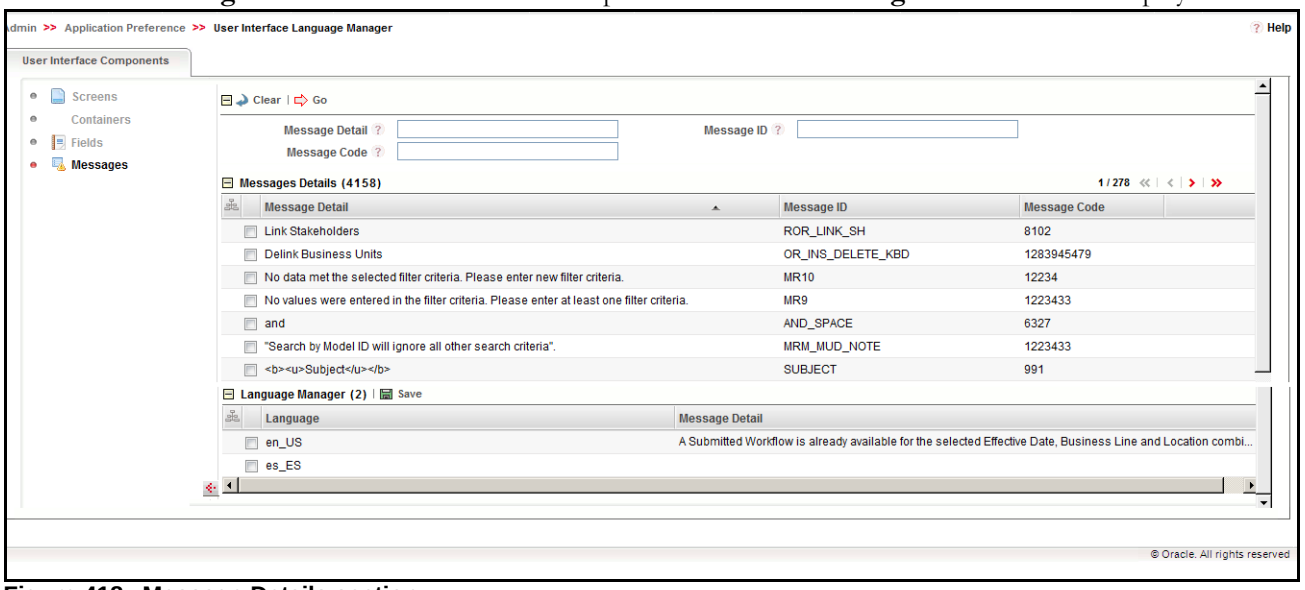



**Figure 418. Message Details section**

3. Select a Field by clicking the check box associated with it in the **Message Details** section. The L**anguage Manager** section expands, displaying all the available languages and the **Message Detail**, **Message ID**, and **Message Code** columns in non-editable format.
4. Select a language in the **Language Manager** section by clicking the check box associate with the language. The **Message Detail** column becomes editable.
5. Enter the **Message Detail** content in the specified language.
6. Click **Save**. Your changes are updated in the table and are reflected throughout OFSOR.

# Managing the Issues and Action Configuration

In some cases, an organization prefers to create actions directly, rather than creating an issue and then an action. In other cases, such as during the Audit process, creating issues is a standard norm. OFSOR allows organizations to decide whether to create issues first and then create actions OR create actions directly. You can configure these settings in the Issues and Actions Configuration page.

This section covers following topics:

- Accessing the Issues and Action Configuration
- Enabling/ Disabling Issue Creation
- Displaying Lists of Issues

## Accessing the Issues and Action Configuration

This section explains how to access the Issues and Action Configuration under the Admin module in Oracle Financial Services Operational Risk application.
Users mapped to the role of Admin can access the Issues and Action Configuration section.
To access the Issues and Action Configuration section, follow these steps:

1. Login to OFSOR application. The OFSOR Home page is displayed.
2. Select **Application Preference** from the Admin menu on the Home page and then select **Issues and Action Configuration**. The Issues and Actions Configuration page is displayed.

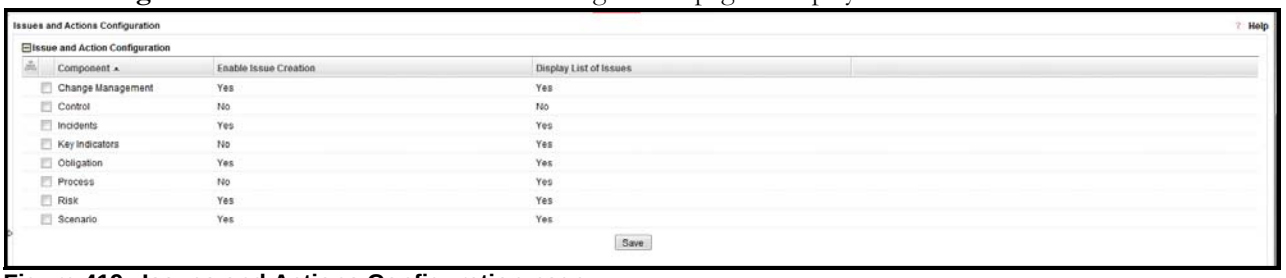



**Figure 419. Issues and Actions Configuration page**

## Enabling/ Disabling Issue Creation

To enable or disable issue creation without first creating an action, follow these steps:

1. In the Issues and Actions Configuration section, select the component you wish to enable or disable issue creation for by clicking the check box associated with the component.

   **Note:** This pre-packaged list displays the applicable components only if the GCM & OR products are installed in the same environment together.

   - BCM, Audit, and Compliance Plans modules will be available only for GCM product.
   - If Issues and Actions is used by other applications, then the Component list has to be configured manually.

2. Click either **Yes** or **No**.

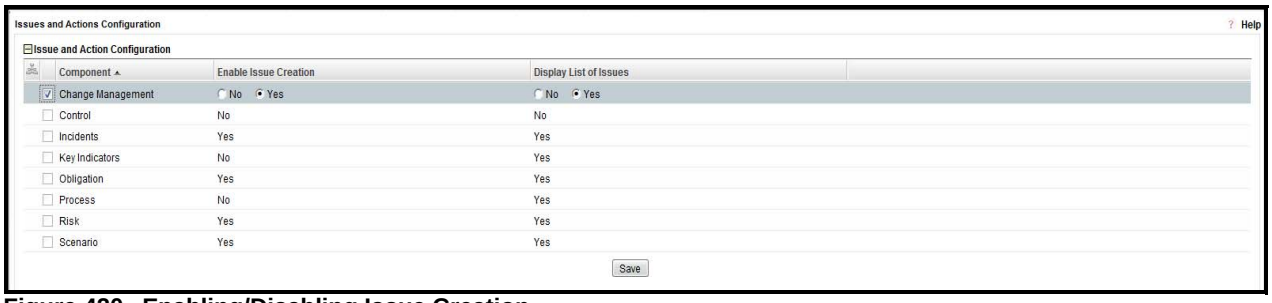



**Figure 420. Enabling/Disabling Issue Creation**

If Yes is selected, issues can be created manually from the Issues and Action module and the component you have enabled issue creation for. Issues can also be created using the *Create Issue* button in the Details page of the component.

Actions can be created for the respective Issues by Issue Owners. Issues can be linked to the component. Actions linked to the issues will be populated. For more information about Issues and Actions, refer to section *Chapter 8: Manages Issues and Actions, Creating Issues* section.

If No is selected, issues cannot be created manually for the component you have disabled issue creation for. Instead, the *Create Action* button is enabled in the Details page of the component. Actions can be created and OFSOR will generate an Issue when the first action is created for a particular source.

3. Click **Save**. The following message is displayed: *Entered Configuration Saved.*
4. Click **OK** to save your configuration.

## Displaying Lists of Issues

To display the lists of issues in modules other than Issues and Actions, follow these steps:

1. In the Issues and Actions Configuration section, select the component you wish to display the lists of issues in by clicking the check box associated with the component.
2. Click either **Yes** or **No**.

   If Yes is selected, the Issues and Actions section will display in the component you have selected. Issues can also be linked to the component. Actions linked to the issues will be populated. For more information about Issues and Actions, refer to section *Chapter 8: Manages Issues and Actions, Managing Issue Details* section.

   If No is selected, the Issues and Actions section will be renamed to the Actions section in the component you have selected and issues will not display.

# Managing the Risk Assessment Configuration

There are fields and sections in the Risk Assessment screen which are not mandatory for display while assessing a Risk. OFSOR allows you to choose which of these non-mandatory fields should be displayed or hidden, according to the needs of your organization. You can configure these settings in the Risk Assessment Configuration page.

This section covers following topics:

- Accessing the Risk Assessment Configuration
- Configuring the Risk Assessment Section

## Accessing the Risk Assessment Configuration

This section explains how to access the Risk Assessment Configuration under the Admin module in Oracle Financial Services Operational Risk application.
Users mapped to the role of Admin can access the Risk Assessment Configuration section.
To access the Risk Assessment Configuration section, follow these steps:

1. Login to OFSOR application. The OFSOR Home page is displayed.
2. Select **Application Preference** from the Admin menu on the Home page and then select **Risk Assessment Configuration**. The Risk Assessment Configuration page is displayed..




**Figure 421. Risk Assessment Configuration page**

## Configuring the Risk Assessment Section

To configure the Risk Assessment section using the Risk Assessment Configuration feature, follow these steps:

1. In the Risk Assessment Configuration section, select the component you wish to hide or display in the Risk Assessment page by clicking the check box associated with the component.
2. Click either **Yes** or **No**. Selecting Yes allows that component to be displayed in the Risk Assessment page. Selecting No hides the component from displaying in the Risk Assessment page.
   You can select each component individually, or determine the settings for all non-mandatory fields by selecting the **All** radio button.
3. Click **Save**. The following message displays: *Update operation successful.*

# CHAPTER 20 Managing Questionnaire

This chapter 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 Library

## 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 two sections:

- Questions Library
- Questionnaire Library

### 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 Library

### 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 Library

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.

# *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:

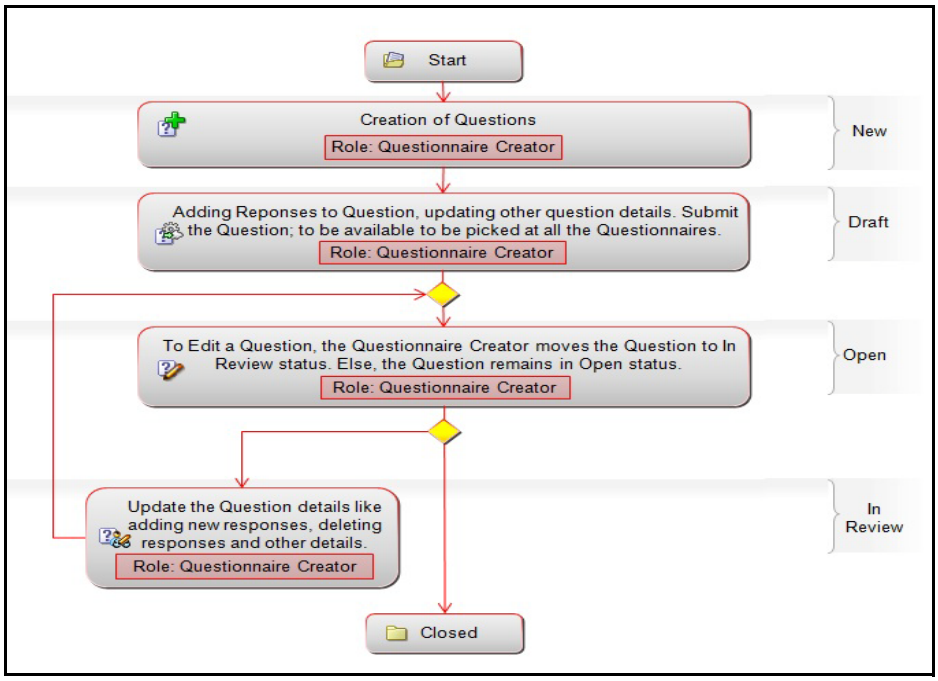



**Figure 422. Questions Library Workflow**

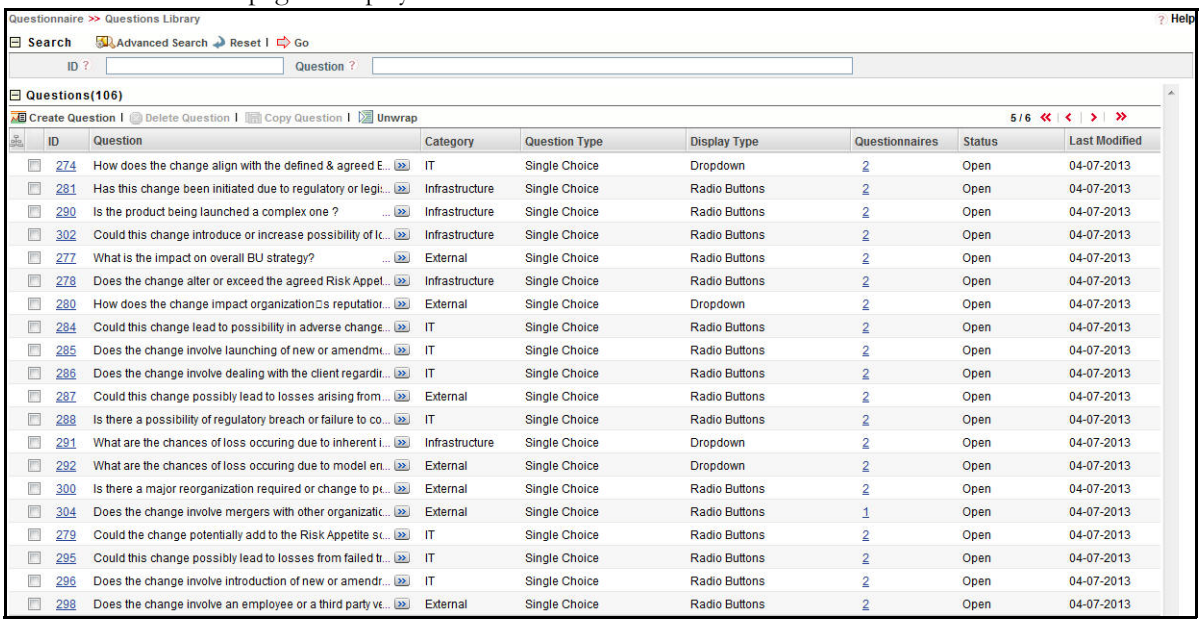
## Accessing Questions Library

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.




| ID | Question | Category | Question Type | Display Type | Questionnaires | Status | Last Modified |
|---|---|---|---|---|---|---|---|
| 274 | How does the change align with the defined & agreed E... | IT | Single Choice | Dropdown | 2 | Open | 04-07-2013 |
| 281 | Has this change been initiated due to regulatory or legi... | Infrastructure | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 290 | Is the product being launched a complex one ? | Infrastructure | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 302 | Could this change introduce or increase possibility of lc... | Infrastructure | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 277 | What is the impact on overall BU strategy? | External | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 278 | Does the change alter or exceed the agreed Risk Appet... | Infrastructure | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 280 | How does the change impact organization□s reputatior... | External | Single Choice | Dropdown | 2 | Open | 04-07-2013 |
| 284 | Could this change lead to possibility in adverse change... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 285 | Does the change involve launching of new or amendm... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 286 | Does the change involve dealing with the client regardir... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 287 | Could this change possibly lead to losses arising from ... | External | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 288 | Is there a possibility of regulatory breach or failure to co... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 291 | What are the chances of loss occuring due to inherent i... | Infrastructure | Single Choice | Dropdown | 2 | Open | 04-07-2013 |
| 292 | What are the chances of loss occuring due to model en... | External | Single Choice | Dropdown | 2 | Open | 04-07-2013 |
| 300 | Is there a major reorganization required or change to pr... | External | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 304 | Does the change involve mergers with other organizatic... | External | Single Choice | Radio Buttons | 1 | Open | 04-07-2013 |
| 279 | Could the change potentially add to the Risk Appetite sc... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 295 | Could this change possibly lead to losses from failed tr... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 296 | Does the change involve introduction of new or amendr... | IT | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |
| 298 | Does the change involve an employee or a third party ve... | External | Single Choice | Radio Buttons | 2 | Open | 04-07-2013 |

**Figure 423. 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 Baisc Search
- Searching Questions Using Advanced Search

### Searching Questions Using Baisc 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 424. Searching Questions with Basic Search Fields**

2. Enter the following search criteria to filter the list of questions.

**Table 230. 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.

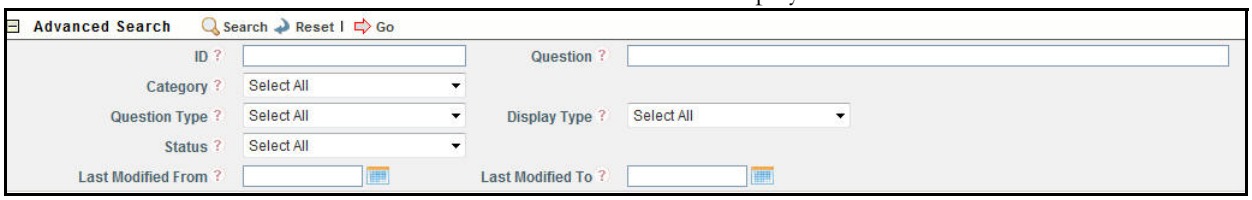



**Figure 425. Searching Questions with Advanced Search fields**

3. Enter the following search criteria to filter the list of questions.

**Table 231. 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:<br>● Select All<br>● IT<br>● External<br>● Infrastructure<br><br>**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. |

**Table 231. Advanced Search Criteria**

| Criteria | Description |
|---|---|
| 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:<br>● Select All<br>● Single Choice<br>● Multiple Choice<br>● Free Text<br>● Number<br>● 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:<br>● Select All<br>● Draft<br>● Open<br>● 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.<br><br>**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*.

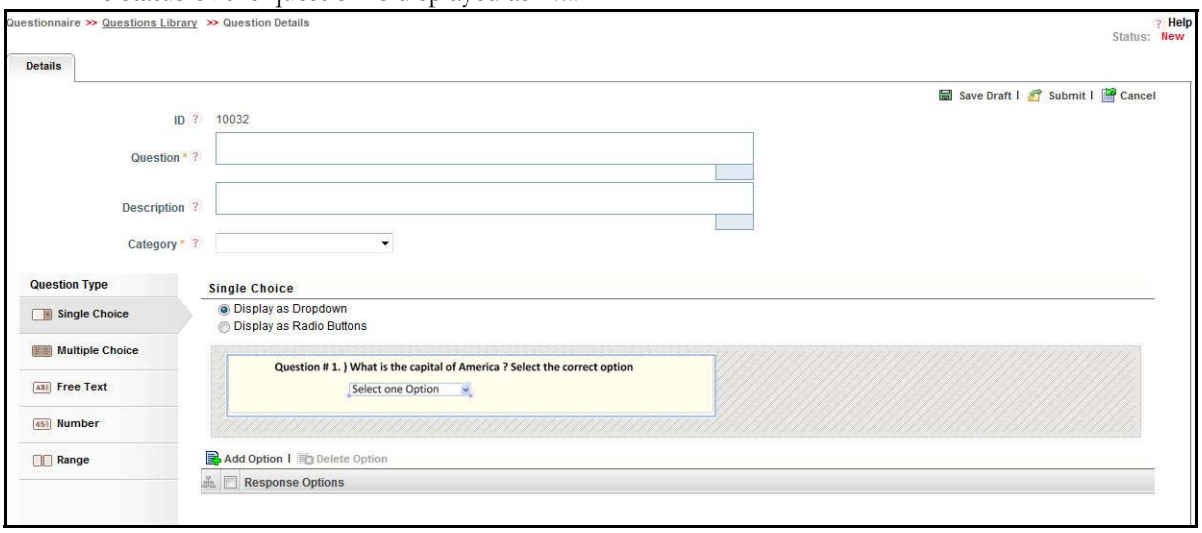



**Figure 426. Question Definition Page**

3. Enter the following field in the definition page:

**Table 232. 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.<br><br>**Note:** If you save without entering a value in the name field, the application displays the following message: *Question Name and Type are mandatory*. |
| 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.<br><br>The default category options for OFS OR/GCM application is configured to list the following options:<br>● IT<br>● External<br>● Infrastructure<br><br>**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 233. Question Type and Response Options Field Descriptions**

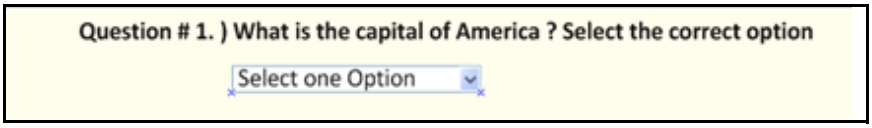
| Question Types | Response Options & Display Choices |
|---|---|
| Single Choice | Select this option, when you want your respondents to choose a single answer from the list of provided options. You can select the list of options to be displayed for respondents either as a drop-down list or as Radio Buttons.<br><br>To add the response options, click **Add Option** and a new row is added in the Response Options section.<br><br>Enter a response option for the selected display choice list up to 50 characters.<br><br>The following images are displayed to a respondent:<br><br>Display as drop-down<br>  <br><br><br>Display as Radio buttons<br>  <br><br><br>**Note:**<br>● By default, the drop-down is selected as the display option.<br>● When you select Single Choice option as the question type, you need to mandatory define the response options for the list.<br>● To delete a response option, select the required response option row and click **Delete Option**. |

**Table 233. Question Type and Response Options Field Descriptions**

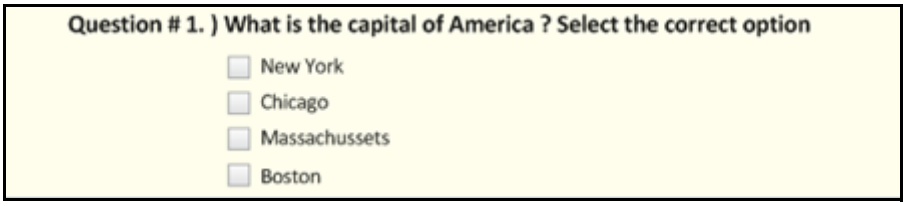
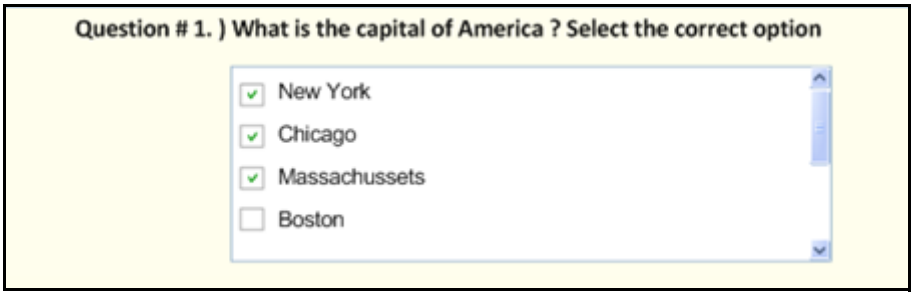
| Question Types | Response Options & Display Choices |
|---|---|
| Multiple Choice | Select this option, when you want your respondents to choose multiple answers from the list of provided options. You can select the list of options to be displayed for respondents either as a Check box list or as Combo Box.<br><br>To add the response options, click **Add Option** and a new row is added in the Response Options section.<br><br>Enter a response option for the display choice list up to 50 characters.<br><br>The following images are displayed to a respondent:<br><br>Display as Check box list<br>  <br><br>Display as Combo Box:<br>  <br><br><br>**Note**:<br>● By default, Multiple Choice Check boxes is selected as the display option.<br>● When you select Multiple Choice option as the question type, you need to mandatory define the response options for the list.<br>● To delete a response option, select the required response option row and click **Delete Option**. |

**Table 233. Question Type and Response Options Field Descriptions**

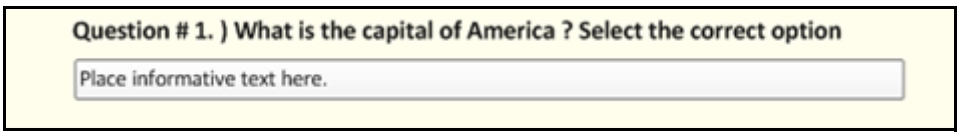
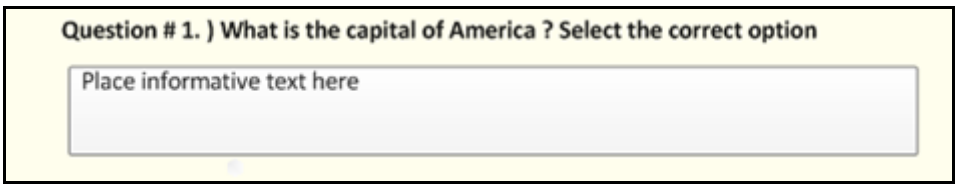
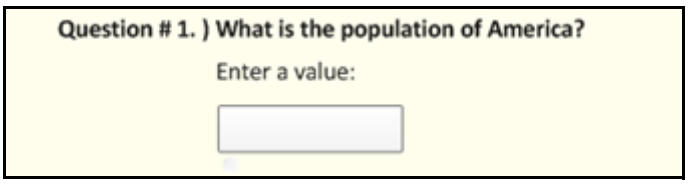
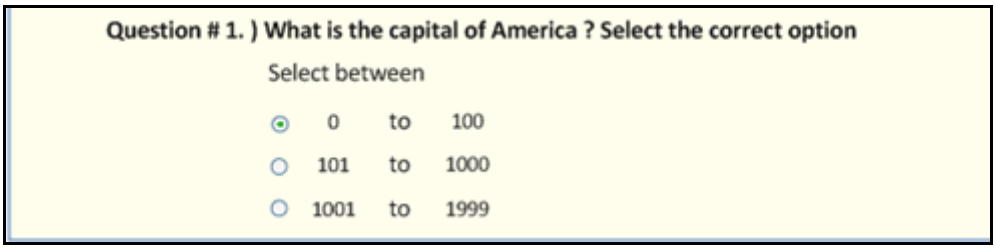
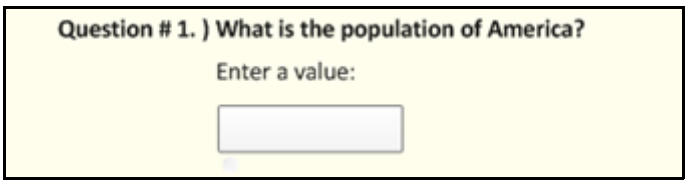
| Question Types | Response Options & Display Choices |
|---|---|
| Free Text | Select this option to allow the respondents to respond to the question as a free text. You can select the display option for respondents either as Text field or Text area.<br><br>The following images are displayed to a respondent:<br><br>Display as Text Field<br>  <br><br><br>Display as Text Area<br>  <br><br><br>**Note**: By default, Text Field is selected as the display option. |

**Table 233. 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.<br><br>The following image is displayed to a respondent:<br><br>Number<br>  <br> |
| 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.<br><br>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.<br><br>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.<br><br>The following images are displayed to a respondent::<br><br>*Display as Range of Values*<br>  <br><br>Display as a Number<br>  <br><br><br>**Note**:<br><br>● By default, the Range of Values is selected as the display option.<br>● 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*.<br>● 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.

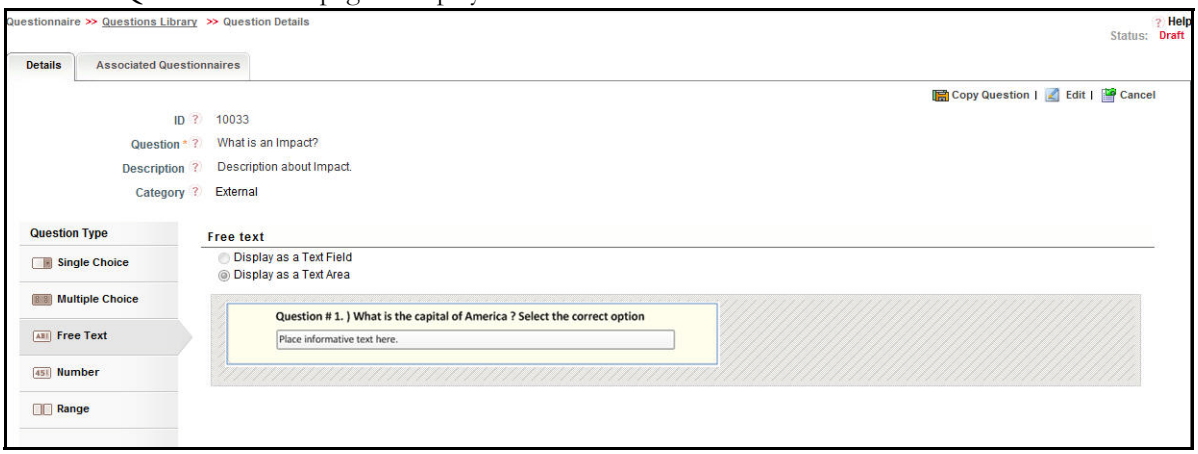



**Figure 427. Question Details Page**

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.

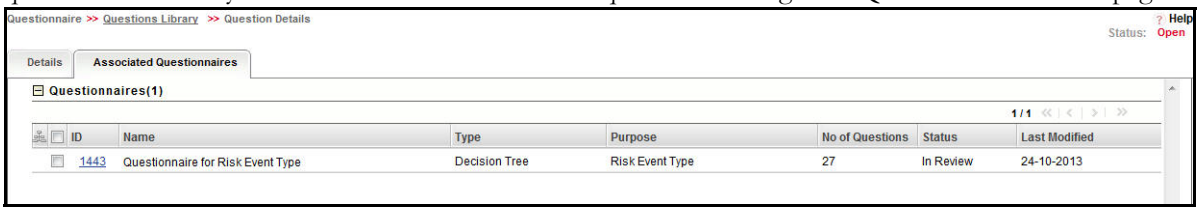



**Figure 428. Associated Questionnaires**

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 Library*

This section covers the following topics:

- About Questionnaire Library
- List of Entities Using Questionnaire
- Questionnaire Library Workflow
- Tasks and Notifications in Questionnaire Library
- Accessing Questionnaire Library
- Searching Questionnaire Library
- Creating a Questionnaire
- Managing Questionnaire Details
- Responding to Questionnaire
- Deleting a Questionnaire
- Responding to Questionnaire

## About Questionnaire Library

A Questionnaire Library 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 234 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.

The assessor of an entity where the score based questionnaire is implemented can override the ratings generated from the risk assessment. Refer *Table 234 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.

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 234 Entities Using Questionnaire,* for more information on the fields using the Decision Tree Questionnaire.

## List of Entities Using Questionnaire

The following table lists the entities that uses the questionnaire module:

**Table 234. 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) | ✔ | | |
| 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 235. 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 | | | | | |

## Questionnaire Library Workflow

The workflow of the Questionnaire Library is depicted in the following diagram:

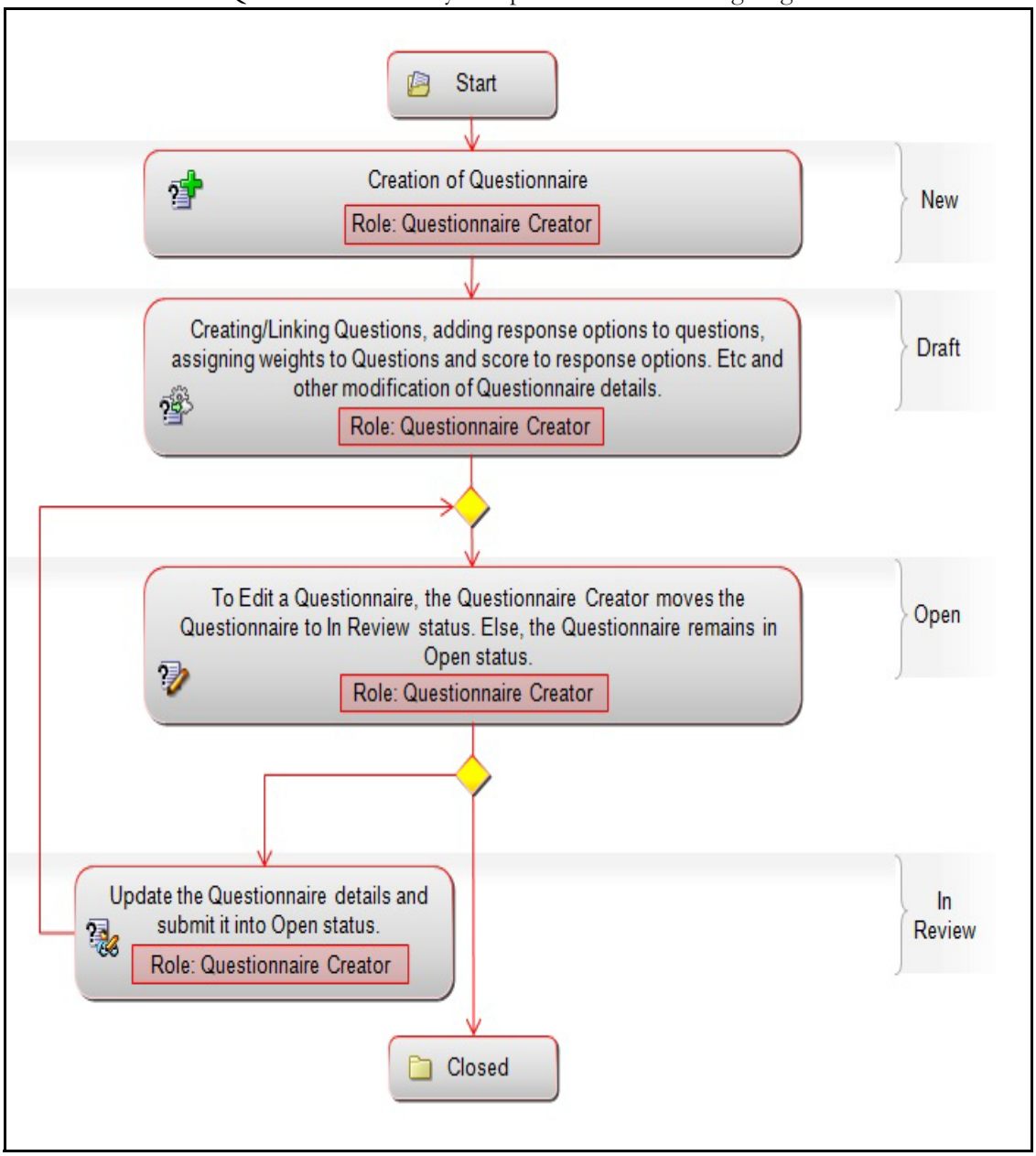



**Figure 429. Questionnaire Library Workflow**

## Tasks and Notifications in Questionnaire Library

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 236. 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 Questionnaire Library

This section explains how to access Questionnaire Library menu.

To access the Questionnaire Library 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 **Questionnaire Library**. The Questions Library Search and List page is displayed.

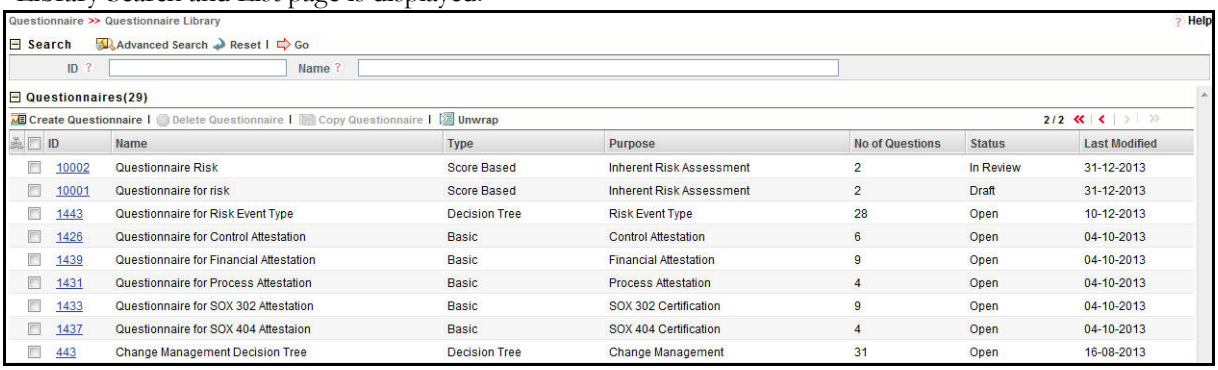



**Figure 430. Questionnaire Library Search and List Page**

You can perform a search either through simple search or by advanced search criteria.

## Searching Questionnaire Library

The Questionnaire Library Search and List enables you to filter the list of questions that you want to view and analyze. The Questionnaire Library search bar supports two types of search-Search using Baisc Search and Advanced Search.

The Questionnaire List displays a list of questions that meet the criteria specified on the Questions Library Search bar. This section includes the following topics:

- Searching Questionnaire Using Basic Search
- Searching Questionnaire Using Advanced Search

## Searching 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.

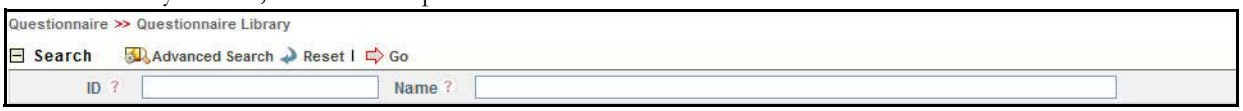



**Figure 431. Searching Questionnaire with Baisc Search**

2. Enter the following Baisc Search criteria to filter the list of questionnaire.

**Table 237. 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 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 Questionnaire 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.

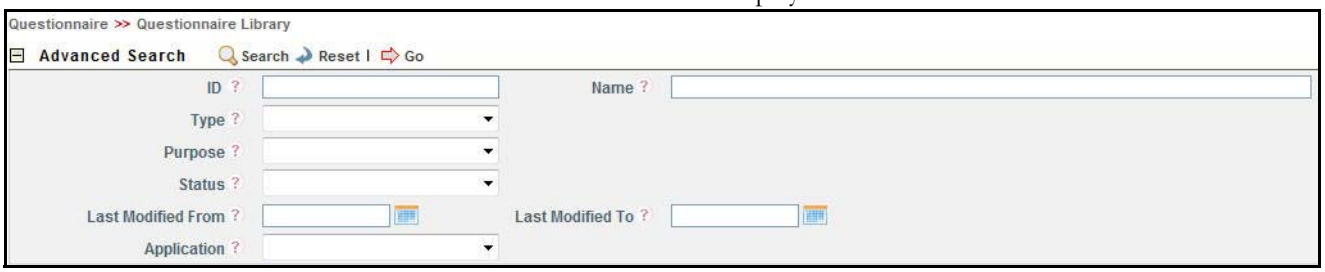



**Figure 432. Searching Questions with Advanced Search**

3. Enter the following search criteria to filter the list of questionnaire.

**Table 238. 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:<br>● Basic<br>● Score Based<br>● Decision Tree |

**Table 238. 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.<br><br>**Note:** The list options displayed in the Purpose drop-down are based on the values selected in the Type field.<br><br>If you have selected Type as **Score Based**, then the following values are displayed in the purpose drop-down list:<br><br>● Inherent Risk Assessment<br>● Control OE Assessment<br>● Control DE Assessment<br>● Generic<br><br>If you have selected Type as **Decision Tree**, then the following values are displayed in the purpose drop-down list:<br><br>● Change Management<br>● Risk Event Type<br><br>If you have selected Type as **Basic**, then the following values are displayed in the purpose drop-down list:<br><br>● Inherent Risk Assessment<br>● Control OE Assessment<br>● Control DE Assessment<br>● Regulation Assessment<br>● Obligation Assessment<br>● Control Attestation<br>● Process Attestation<br>● Financial Attestation<br>● Compliance Plan Attestation<br>● SOX 302 Certification<br>● SOX 404 Certification<br>● 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:<br><br>● Select All<br>● Draft<br>● Open<br>● In Review |

**Table 238. 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.<br><br>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 Questionnaire

A 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 Questionnaire Library Search and List page.
2. Click **Create Questionnaire**. The Questionnaire definition page is displayed.

   The status of the questionnaire is displayed as *New*.

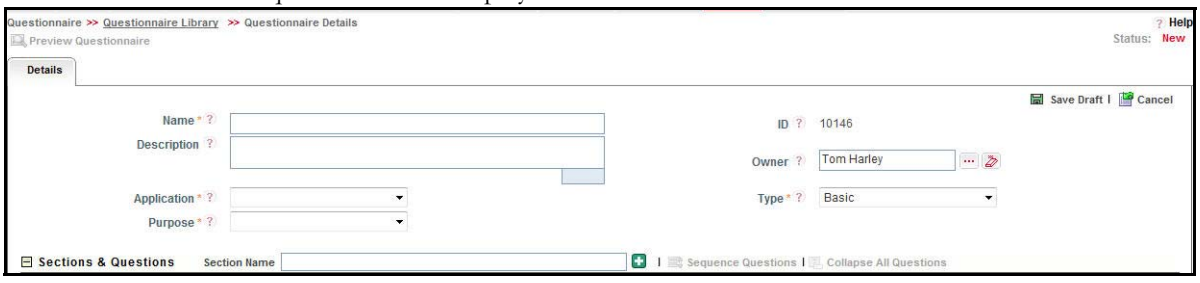



**Figure 433. Basic Questionnaire Definition Page**

3. Enter the following questionnaire details in the definition page.

**Table 239. 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.<br><br>**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.<br><br>**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:<br><br>● Basic<br>● Score Based<br>● 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:<br><br>● Inherent Risk Assessment<br>● Control OE Assessment<br>● Control DE Assessment<br>● Obligation Assessment<br>● Control Attestation<br>● Process Attestation<br>● Financial Attestation<br>● SOX 302 Certification<br>● SOX 404 Certification<br>● Generic<br><br>**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 Questionnaire Library Search and List page.
2. Click **Create Questionnaire**. The Questionnaire definition page is displayed.

   The status of the questionnaire is displayed as *New*.

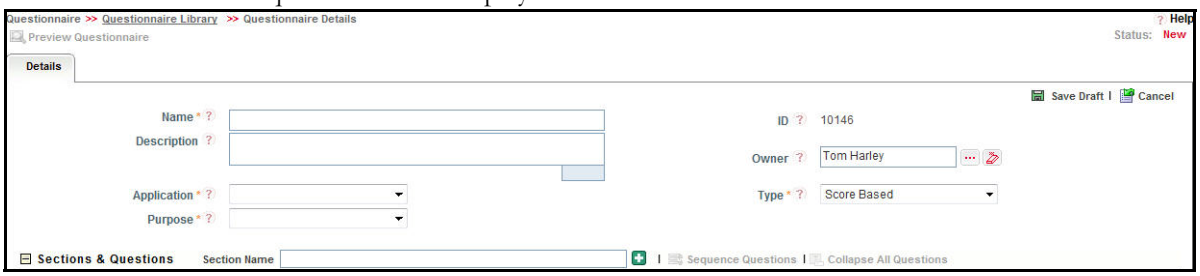



**Figure 434. Score Based Questionnaire Definition Page**

3. Enter the following questionnaire details in the definition page.

**Table 240. 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.<br><br>**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.<br><br>**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 240. 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:<br>● Basic<br>● Score Based<br>● 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.<br><br>The purpose drop-down list displays the following options:<br><br>● Inherent Risk Assessment<br>● Control OE Assessment<br>● Control DE Assessment<br>● Obligation Assessment<br>● Generic<br><br>**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 Questionnaire Library 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 241. Rating Values for Assessments**

| Purpose | Rating Values | Result Description |
|---|---|---|
| Inherent Risk Assessment | • High<br>• Medium<br>• Low | This Questionnaire will derive the Inherent Risk Rating of the assessed risk record. |
| Control OE Assessment | • Requires Improvement<br>• Qualified<br>• Effective | This Questionnaire will derive the Operating Effectiveness of the assessed control record. |
| Control DE Assessment | • Requires Improvement<br>• Qualified<br>• Effective | This Questionnaire will derive the Design Effectiveness of the assessed control record. |
| Obligation Assessment | • Non-Compliant<br>• Partially Compliant<br>• 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**.

## Creating a Decision Tree Questionnaire

To create a Decision Tree Questionnaire, follow these steps:

1. Navigate to the Questionnaire Library Search and List page.
2. Click **Create Questionnaire**. The Questionnaire definition page is displayed.

   The status of the questionnaire is displayed as *New*.

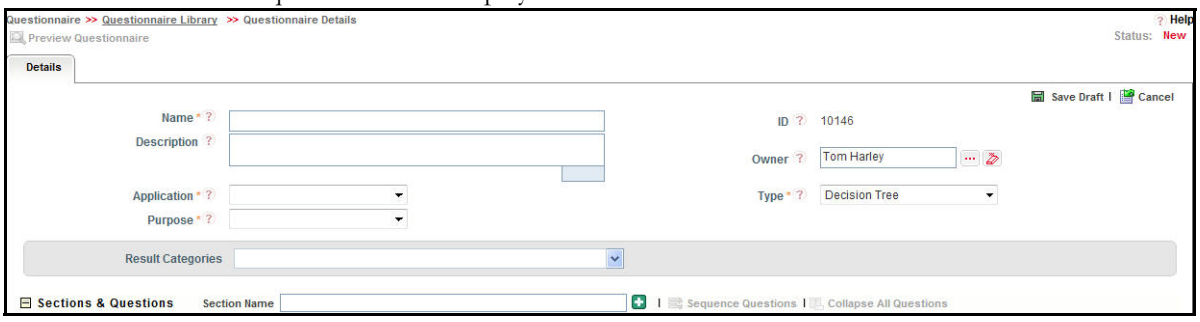



**Figure 435. Decision Tree Questionnaire Definition Page**

3. Enter the following questionnaire details in the definition page.

**Table 242. 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.<br><br>**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.<br><br>**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:<br>● Basic<br>● Score Based<br>● Decision Tree<br><br>**Note**: When you select the type as Decision Tree, an additional field namely Results Categories is displayed in the definition page. |

**Table 242. 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.<br><br>The purpose drop-down list displays the following options:<br><br>● Change Management<br>● Risk Event Type<br><br>**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:<br>● Change Impact Rating<br>● Risk Event Type<br>● Stakeholders<br>● Risk Categories<br>● Risk Inventory<br>● Product<br>● Process<br>● Causes<br>● Business Line<br>● Location<br>● Legal Entity<br>● 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 Questionnaire Library Search and List page.

   A new Decision Tree Questionnaire is created.

## 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* 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  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  and enter a logic for the each response option.
8. Click  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:

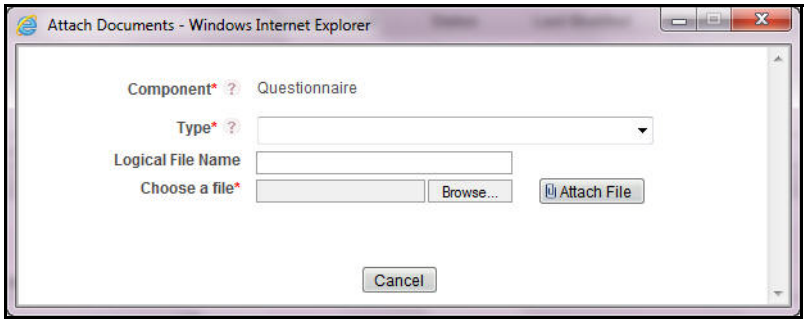



**Figure 436. Attach Documents Window**

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 243. 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  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.

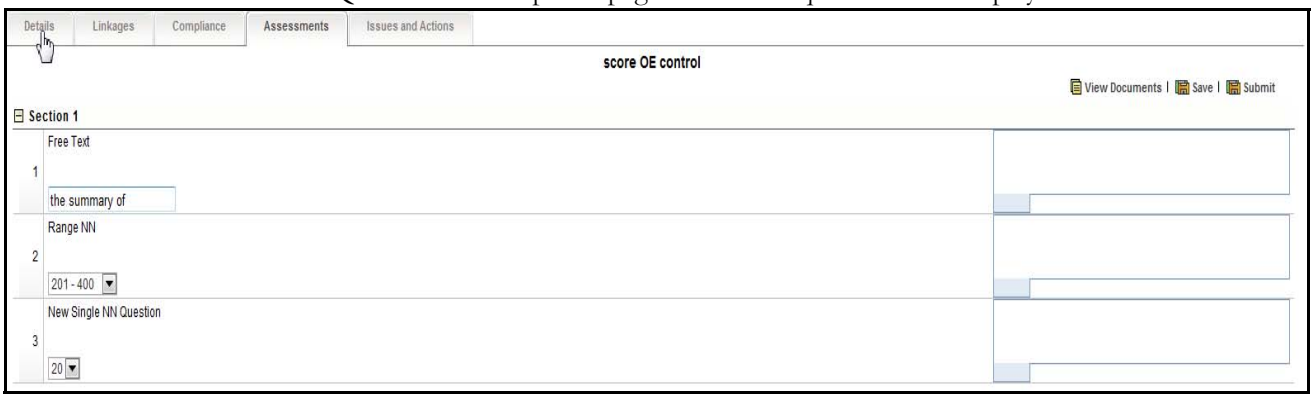



**Figure 437. Questionnaire Response page**

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 438. 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.

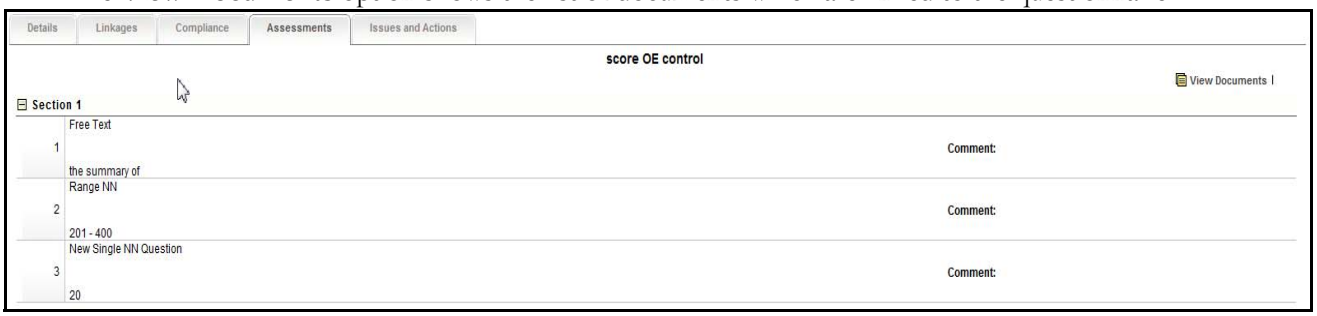



**Figure 439. View Documents option**

The **Hide Documents** option hides the list of documents linked to Questionnaire.

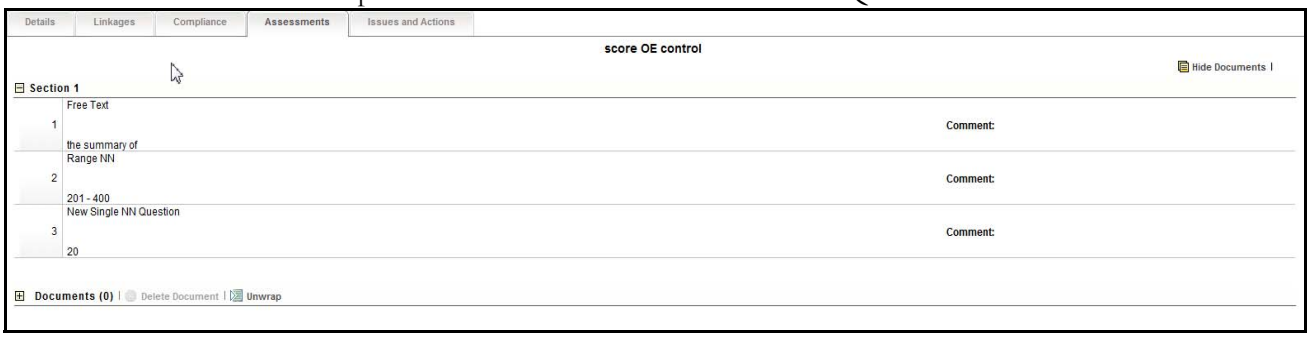



**Figure 440. Hide Documents option**

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 244. 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 |

**Table 244. Defining Questions and Question Type**

| Field Name | Description | Field Name |
|---|---|---|
| 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 245. 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 246. 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 247. 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 248. 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 249. 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 |

**Table 249. Back End Calculations**

| Column 1 | Column 2 | Column 3 | Column 4 | Column 5 | Column 6 | Column 7 | Column 8 |
|---|---|---|---|---|---|---|---|
| | | 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 247.

In this example, the Inherent Risk Assessment is assessed as **Medium**.

# CHAPTER 21 Managing Audits

This chapter provides information about the Audit module and step-by-step instructions to use this module.
This section discusses the following topics:

- About Audit
- User Roles and Actions
- Managing Audit Plans
- Managing Audit Tasks
- Managing Audit Assessments

## About Audit

The Oracle Financial Services Operational Risk Audit module allows banks and financial institutions to plan, schedule, conduct audits and conduct audit assessments. You can use the Audit module to create centralized audit plans, create audit tasks, schedule audit tasks to different KBDs, schedule auditors based on availability, conduct audit assessments and capture the audit findings and rating, and perform advanced reporting through OBIEE.

You can also conduct Audit Assessments of the following, either from the Audit module as part of Audit Tasks or from the appropriate module:

- Risks
- Controls
- Processes
- Compliance Plans
- Obligations
- Incidents
- Information Libraries

# User Roles and Actions

This section explains the different user roles and related actions that can be performed in the Audit module of OFS OR/GCM application.

This section covers the following topics:

- User Roles
- Actions

## User Roles

The following user roles perform tasks within the Audit module:

- **Audit Plan Manager:** This user is responsible for creating audit plans, creating audit tasks, adding plan rating, and completing audit plans.
- **Audit Officer:** This user is responsible for conducting audits, adding audit findings and conducting audit assessments.
- **Audit Approver:** This user is responsible for approving and rejecting audit tasks and audit assessments.
- **BU Head:** This user is responsible for accepting audit tasks and requesting for review of audit tasks

The Audit module can have multiple users mapped with these roles.

## Actions

The following table lists which user roles may complete tasks in the Audit module.

**Table 250. Audit User Roles and Actions**

| Action | Status | Audit Plan Manager | Auditor | Audit Approver | BU Head |
|---|---|---|---|---|---|
| Create Audit Plan | New | X | | | |
| Edit Audit Plan | Draft | X | | | |
| | Open | X | | | |
| Submit Audit Plan | Open | X | | | |
| Delete Audit Plan | Draft | X | | | |
| Complete Audit Plan | Open | X | | | |
| Create Task | New | X | | | |
| Edit Task | Open | X | X | | |
| Link entities in Work Papers Tab | Open | | X | | |
| Submit Task for Approval | Open | | X | | |
| Approve Task | Pending Approval | | | X | |
| Reject Task | Pending Approval | | | X | |
| Accept Task | Approved | | | | X |
| Request Review Task | Approved | | | | X |

**Table 250. Audit User Roles and Actions**

| Action | Status | Audit Plan Manager | Auditor | Audit Approver | BU Head |
|---|---|---|---|---|---|
| Add Findings | Open | | X | | |
| Edit Findings | Pending Approval | | | X | |
| | Approved | | | | X |
| Create Audit Assessment | New | | X | | |
| Edit Audit Assessment | Draft | | X | | |
| | Rejected | | X | | |
| Submit Assessment for Approval | Draft | | X | | |
| Approve Assessment | Pending Approval | | | X | |
| Reject Assessment | Pending Approval | | | X | |
| Create/Link Issues/Actions (Audit Plans) | Open | X | | | |
| Create/Link Issues/Actions (Audit Tasks) | Open | | X | | |
| | Pending Approval | | | X | |
| | Approved | | | | X |
| Create/Link Issues/Actions (Audit Assessments) | Open | | X | | |
| | Pending Approval | | | X | |
| Add & Delete Documents (Audit Plans) | Draft | X | | | |
| | Open | X | | | |
| Add & Delete Documents (Audit Tasks) | Open | | X | | |
| | Pending Approval | | | X | |
| | Approved | | | | X |
| Add & Delete Documents (Audit Assessments) | Draft | | X | | |
| | Pending Approval | | | X | |

The following sections provide step-by-step instructions on how to perform these actions.

- Managing Audit Plans
- Managing Audit Tasks
- Managing Audit Assessments

## Managing Audit Plans

This section discusses the following topics:

- Audit Plan Workflow
- Accessing Audit Plans
- Searching Audit Plans
- Creating an Audit Plan
- Viewing Audit Plan Details
- Deleting Audit Plans
- Exporting Plans
- Creating Tasks for Audit Plans
- Completing Audit Plans

## Audit Plan Workflow

The workflow of the Audit Plan functionality is depicted in the following diagram:

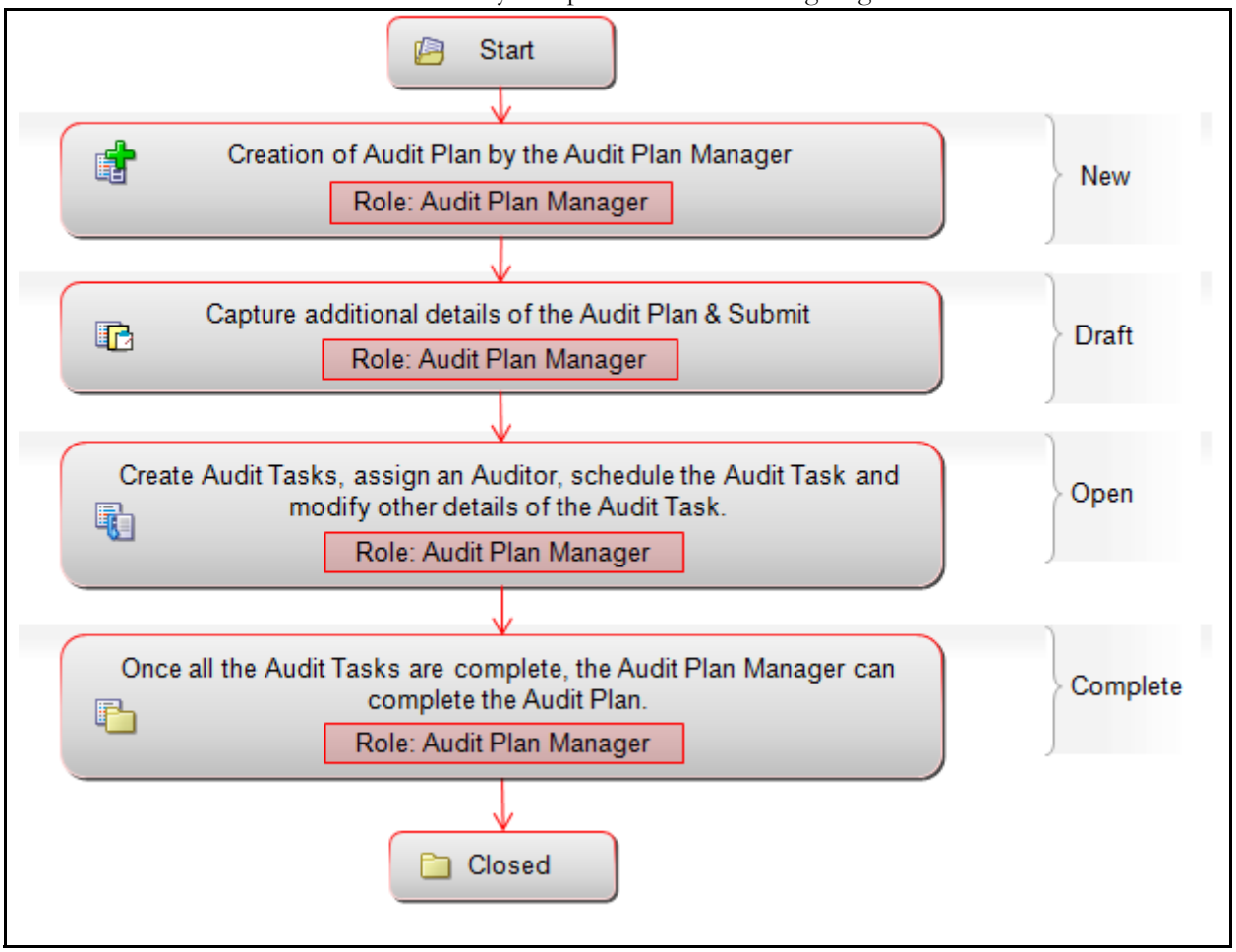



**Figure 441. Audit Plan Workflow**

## Accessing Audit Plans

Users mapped to the role of Audit Plan Manager can access the Audit Plans Search and List page.

To access Audit Plans, follow these steps:

1. Login to OFS OR/GCM application as an Audit Plan Manager user.
2. Select **Plans** from the Audit menu. The Audit Plans Search and List page displays.

## Searching Audit Plans

The Audit Plans Search and List page enables you to filter the list of audit plans that you want to view and analyze. The Audit Plans Search bar supports two types of search-Search using Search Components, and Search using Advanced Search Components.

The Audit Plans List displays a list of audit plans that meet the criteria specified on the Audit Plans Search bar.

This section explains the following topics:

- Searching Audit Plans Using Search Components
- Searching Audit Plans Using Advanced Search Components
- Searching Audit Plans Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Audit Plans Using Search Components

This search is based on a limited set of search components that helps you to filter the required list of audit plans. If you know any of the audit plan details such as the ID or Name you can filter the list of audit plans using the basic search components.

To search for audit plans using basic search components, follow these steps:

1. Navigate to the Audit Plans Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.




**Figure 442. Searching Audit Plans with Search Components**

2. Enter the search criteria to filter the list of audit plans.

   The following table provides the description for each search component that displays in the Audit Plans Search bar.

**Table 251. Basic Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the audit plan. This field supports wildcard search. |
| Name | Enter the name of the audit plan. 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 Audit Plans Using Advanced Search Components

Advanced search offers the same search fields as provided for a simple search along with additional set of fields. If you know any of the audit plan details such as ID, Name, Category, Type, Status so on, then you can filter the list of audit plans using the advanced search components.

To search for audit plans using advanced search components, follow these steps:

1. Navigate to the Audit Plans Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search components are displayed.

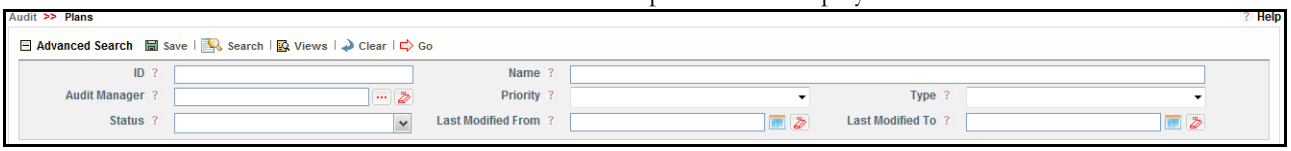



**Figure 443. Searching Audit Plans with Advanced Search Components**

3. Enter the search criteria to filter the list of audit plans.

   The following table describes the search components that display in the Audit Plans Advanced Search bar.

**Table 252. Advanced Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the audit plan.This field supports wildcard search. |
| Name | Enter the title of the question. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Audit Manager | Select the Audit Manager of the audit plan from the hierarchy. |
| Priority | Select a priority from the drop-down list to filter the list of audit plans which have the selected priority. The Priority drop-down has the following options:<br>● Select All<br>● High<br>● Medium<br>● Low |

**Table 252. Advanced Search Bar Components (Continued)**

| Criteria | Description |
|---|---|
| Type | Select the audit plan type from the multi-select option to filter the list for audit plans which have the selected type. The Type field displays the following options:<br>● Select All<br>● Enterprise Audit<br>● Financial Reporting controls<br>● Governance/Oversight reviews<br>● Investigations<br>● Limited Assurance review<br>● Process Audit<br>● Project Audit<br>● Regulatory Audit<br>● Health Check<br>● Risk Assessment<br>● Risk Management Audit<br>● Business Unit Review<br>● Compliance Review<br>● General |
| Status | Select the status from the drop-down list to filter the list for audit plans with the selected status. The status drop-down list displays the following options:<br>● Select All<br>● Draft<br>● Open<br>● Complete |
| Last Modified From | Select a date from the calendar to display the list of audit plans 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 audit plans whose last modified date is lesser than or equal to the specified date.<br><br>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. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

## Searching Audit Plans Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of audit plans based on pre-defined views.

To search for audit plans using pre-defined views, follow these steps:

1. Navigate to the Audit Plans Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

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

**Table 253. Pre-defined Views**

| View Type | Description |
|---|---|
| Open Audit Plans | Select **Open Audit Plans** from the drop-down list options to display the list of audit plans which are in *Open* status. |
| Open & High Priority Audit Plans | Select **Open& High Priority Audit Plans** from the drop-down list options to display the list of audit plans which are in *Open* status and are marked *High Priority*. |
| High Risk Audit Plans | Select **High Risk Audit Plans** from the drop-down list options to display the list of audit plans which have a Plan Rating of *High*. |
| My Audit Plans | Select **My Audit Plans** from the drop-down list options to display the list of audit plans which are owned by the logged in Audit Manager user. |
| Completed Audit Plans | Select **Completed Audit Plans** from the drop-down list options to display the list of audit plans which are in *Completed* status. |

**Note:** After performing a **Views** search when you navigate to Search or Advanced Search, the search bar will retain the last performed search criteria, and will display the relevant results in the Audit Plans list.

## Creating an Audit Plan

To create a new audit plan, follow these steps:

1. Navigate to the Audit Plan Search and List page.
2. Click **Create Plan**. The new Plan Details page is displayed.

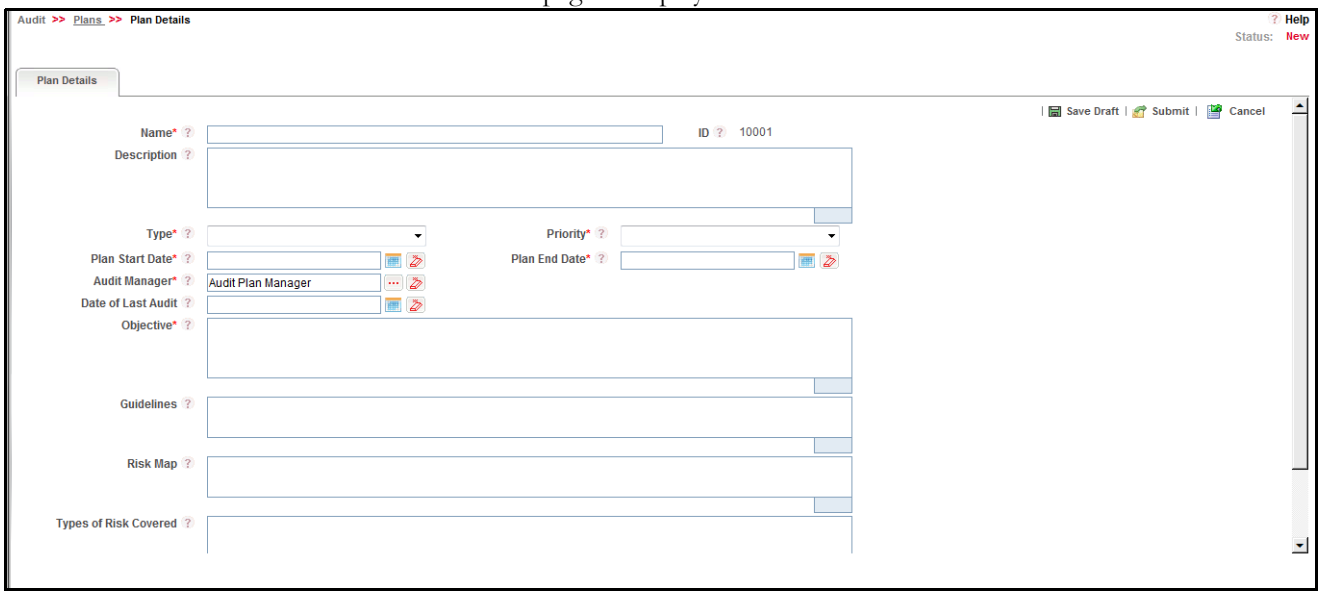



**Figure 444. Plan Details Page**

3. Enter the details for the audit plan you wish to create in the appropriate field. The following table describes the components of the Plan Details page:

**Table 254. Components of Plan Details Page**

| Field Name | Description |
|---|---|
| Name | Enter a name for the new audit plan. This field is a mandatory field. |
| ID | Displays the sequential tracking number generated for the audit plan. This is an auto-generated unique identification number and cannot be modified. |
| Description | Enter a detailed description about the audit plan. This field allows you to enter a maximum of 3000 characters. |
| Type | Select an audit plan type from the drop-down list where you want to create a new audit plan. This field is a mandatory field. |
| Priority | Select a priority for the audit plan from the drop-down options.This field is a mandatory field. |
| Plan Start Date | Select a start date for the audit plan using the calendar icon. This field is a mandatory field. |
| Plan End Date | Select the planned completion date for the audit plan using the calendar icon. This field is a mandatory field. |
| Audit Manager | This field auto-populates the name of currently logged in user. To edit this field, select an audit manager from the user list using the hierarchy button. This field is a mandatory field. |
| Date of Last Audit | Select the last audited date for the using the calendar icon. |
| Objective | Enter the objective for creating a new audit plan. This field is a mandatory field. |
| Guidelines | Enter the guidelines for conducting the audit by the Audit Officer in this field. |

**Table 254. Components of Plan Details Page (Continued)**

| Field Name | Description |
|---|---|
| Risk Map | Enter any risks which are mapped to the audit plan. |
| Types of Risk Covered | Enter the types of risks covered by the audit plan. |

4. Click **Save Draft** to save the information entered in the Plan Details page. The following message is displayed: *Add Operation Successful.* Click **OK**. You are navigated to the Plan Details page and the status of the audit plan changes to *Draft*. Subsequently, you can delete, copy and edit a question in *Draft* status.

   Or

   Click **Submit** to save and submit the entered information. The following message is displayed: *Add Operation Successful.* Click **OK**. You are navigated to the Plan Details page and the status of the plan changes to *Open*.

   A new audit plan is created.

## Viewing Audit Plan Details

The Audit Plan Details page provides complete information about Audit Plans.

To access Audit Plan details, follow these steps:

1. Navigate to the Audit Plan Search and List page.
2. Click the ID for the Audit Plan you wish to view details for. The Audit Plan Details page displays.




**Figure 445. Audit Plan Details page.**

## Editing Audit Plan Details

An Audit Plan Manager can edit plan details when the audit plan is in *Draft* or *Open* status. When an audit plan is in Open status, you can edit only the Audit Start Date, and Target Audit End Date details.

To edit a plan, follow these steps:

1. Navigate to the Audit Plan Details page for the Audit Plan you want to edit.
2. Click **Edit**. The editable fields, depending on your user role, display as editable.

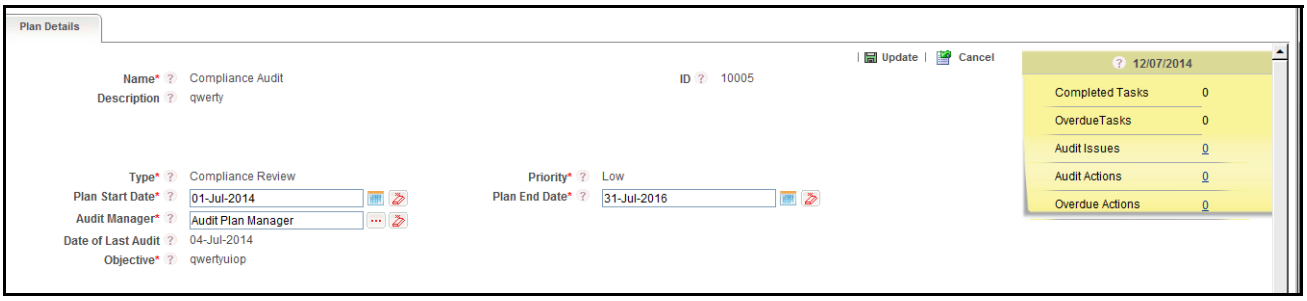



**Figure 446. Editable Audit Plan Details.**

3. Update the audit plan details, as desired.
4. Click **Update**. The following message displays: *Update operation successful.*
5. Click **OK**. The updated Plan Details page displays.

## Managing Tasks from Audit Plan Details

You can view, create and edit Tasks associated with an audit plan in the Audit Plan Details page.

To view the list of created tasks in the Audit Plan Details page, follow these steps:

1. Navigate to the Audit Plan Details page for the Audit Plan you want to view tasks for.
2. Click **View More** to expand the additional information. Tasks created for this audit plan are listed in the Audit Tasks section.

This section allows you to perform the following actions:

- Creating Tasks from the Audit Plan Details Page
- Editing Tasks from the Audit Plan Details Page

### *Creating Tasks from the Audit Plan Details Page*

To create audit tasks from the Audit Plan Details page, follow these steps:

1. Navigate to the Audit Plan Details page for the Audit Plan you want to view tasks for.
2. Click **View More** to expand the additional information.
3. Click **Create Tasks** in the Audit Tasks section. The Task Details page displays.

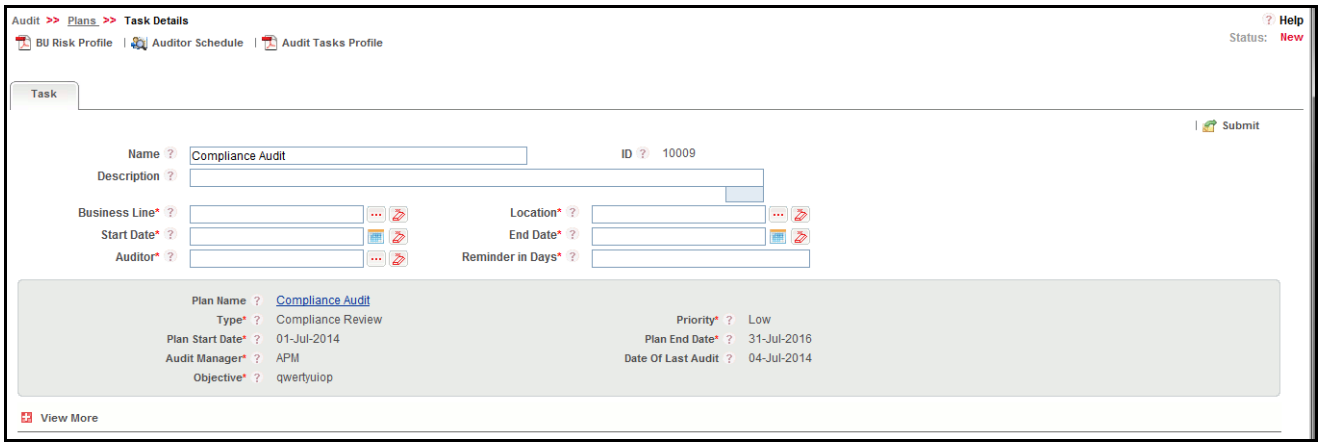



**Figure 447. Task Details page.**

4. Enter the details for the task you wish to add in the appropriate field. The following table describes the components of the Task Details page:

**Table 255. Components of Task Details Page**

| Field Name | Description |
|---|---|
| Name | Enter the name of the audit task. |
| ID | An auto-populated sequential tracking number is generated for every audit task record. This field is not editable. |
| Description | Enter a detailed description about the audit task. This field allows you to enter a maximum of 3000 characters. |
| Business Line | Select a business line from the user list using the hierarchy button.This field is a mandatory field.<br>**Note:** The user list will display only business lines to which the Audit Plan Manager user is mapped. |
| Location | Select a location from the user list using the hierarchy button.This field is a mandatory field.<br>**Note**: The user list will display only locations to which the Audit Plan Manager user is mapped. |
| Start Date | Select a start date for the audit task using the calendar icon. The start date should be greater than the current date. This field is a mandatory field.<br>**Note**: A Task is sent to the Audit Officer if the Start Date of the Audit Task is scheduled within the next 5 days from the current date. |
| End Date | Select an end date for the audit task using the calendar icon. The start date should be greater than or equal to the start date. This field is a mandatory field. |
| Auditor | Select this button to view the schedule of list of Audit Officers and allocate different Audit Officers to each audit task. The schedule report will show the availability of each Audit Officer for the next 12 months. This field is a mandatory field.<br>**Note**: OBIEE reporting must be installed and configured to view the Audit Officer Schedule report. |
| Reminder In Days | Enter the number of days before the Start Date on which a reminder will be sent to the Auditor. This field is a mandatory field. |

5. Click **Submit**. The following message displays: *Add Operation Successful*. The status of the audit task changes to *Open* and a notification is sent to the assigned Audit Officer's inbox about the audit. A task is sent to the Audit Officer's inbox five days ahead of the Start Date. If today falls within the Reminder In Days date, the task is sent to the Audit Officer immediately.
6. Click **OK**. The Audit Task Details page opens.

### *Editing Tasks from the Audit Plan Details Page*

To edit audit tasks from the Audit Plan Details page, follow these steps:

1. Navigate to the Audit Plan Details page for the Audit Plan you want to edit tasks for.
2. Click **View More** to expand the additional information.
3. Click the Task ID **Create Tasks** in the Audit Tasks section. The Task Details page displays.
4. Click **Edit**. The editable fields, depending on your user role, display as editable.
5. Update the task details as desired.
6. Click **Update**. The following message displays: *Update operation successful*.
7. Click **OK**. The updated Task Details page displays.

## Deleting Audit Plans

From the Audit Plans Search and List page, you can delete an audit plan in Draft status. Only a user mapped to the role of Audit Plan Manager can delete an audit plan.

To delete an audit plan, follow these steps:

1. Navigate to the Audit Plans Search and List page.
2. Select the check box beside the audit plan in *Draft* status that you want to delete from the Audit Plans List grid.
3. Click **Delete Plan**. The following message displays: *Are you sure you want to delete this record?*
4. Click **OK**. The following message displays: *Delete Operation Successful*.
5. Click **OK**. The updated Audit Plans Search and List page displays.

## Exporting Plans

The Audit Plans Search and List page allows you to export audit plan details into a PDF.

To export plan details, follow these steps:

1. Navigate to the Audit Plan Search and List page.

2. Select the check box beside the audit plan that you want to export from the Audit Plans List grid, then click **Export**. The Export Details page displays.

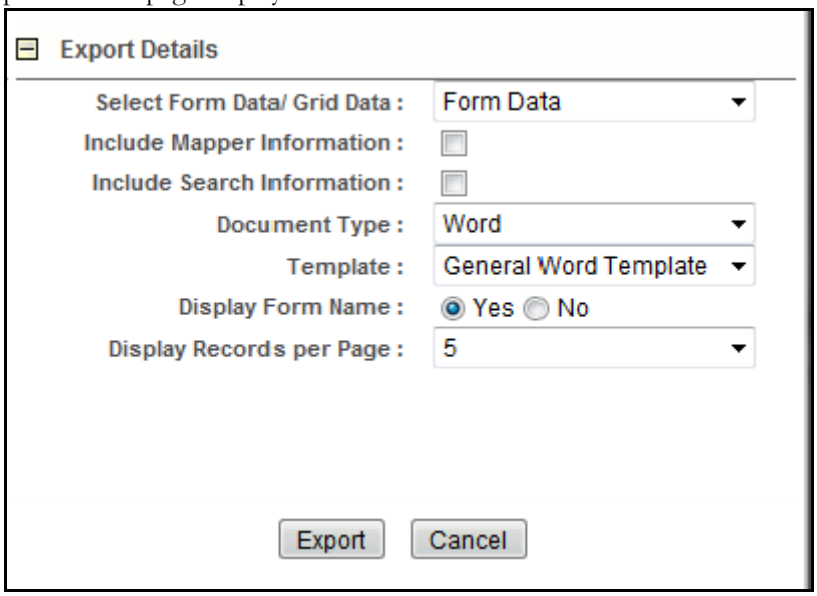



**Figure 448. Export Details page.**

3. Select from the export options to generate the output you desire.
4. Click **Export**. The audit plan is exported.

## Creating Tasks for Audit Plans

Once an Audit Plan is created, you can create multiple audit tasks for different KBDs. An Audit Plan Manager user initiates audit tasks for particular business lines and locations, sets the start and end date for audit tasks and allocates different Audit Officers across the organization to each audit task. Audit Officers then conduct audits and capture the summary of their evidences, findings, and rating and submit the audits for approval from the Audit Approver. Finally, an Audit Approver either approves or rejects the audit.

An Audit Plan Manager can act as an Audit Approver if both roles are mapped to the same user.

Audit Plan Managers can create a task for an audit plan in *Open* status from the Audit Plans Search and List page.

To create a task for an audit plan, follow these steps:

1. Navigate to the Audit Plan Search and List page.
2. Select the check box beside the audit plan in *Open* status that you want to create a task for from the Audit Plans List grid, then click **Create Task**. The Tasks Details page displays.
   Or
   Navigate to the Audit Plan Details page for the Audit Plan you want to create tasks for and click **View More** to expand the additional information. Then click **Create Tasks** in the Audit Tasks section. The Task Details page displays.

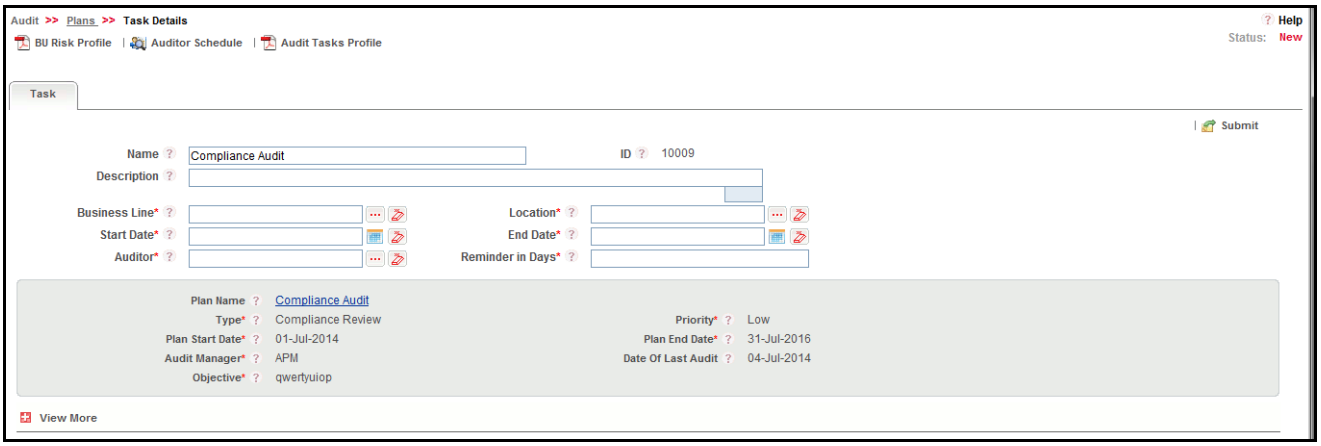



**Figure 449. Task Details page.**

3. Enter the details for the task you wish to add in the appropriate field. The following table describes the components of the Task Details page:

**Table 256. Components of Task Details Page**

| Field Name | Description |
|---|---|
| Name | Enter the name of the audit task. |
| ID | An auto-populated sequential tracking number is generated for every audit task record. This field is not editable. |
| Description | Enter a detailed description about the audit task. This field allows you to enter a maximum of 3000 characters. |
| Business Line | Select a business line from the user list using the hierarchy button.This field is a mandatory field.<br>**Note:** The user list will display only business lines to which the Audit Plan Manager user is mapped. |
| Location | Select a location from the user list using the hierarchy button.This field is a mandatory field.<br>**Note**: The user list will display only locations to which the Audit Plan Manager user is mapped. |
| Start Date | Select a start date for the audit task using the calendar icon. The start date should be greater than the current date. This field is a mandatory field.<br>**Note**: A Task is sent to the Audit Officer if the Start Date of the Audit Task is scheduled within the next 5 days from the current date. |
| End Date | Select an end date for the audit task using the calendar icon. The start date should be greater than or equal to the start date. This field is a mandatory field. |
| Auditor | Select this button to view the schedule of list of Audit Officers and allocate different Audit Officers to each audit task. The schedule report will show the availability of each Audit Officer for the next 12 months. This field is a mandatory field.<br>**Note**: OBIEE reporting must be installed and configured to view the Audit Officer Schedule report. |
| Reminder In Days | Enter the number of days before the Start Date on which a reminder will be sent to the Auditor. This field is a mandatory field. |

4. Click **Submit**. The following message displays: *Add Operation Successful*. The status of the audit task changes to *Open* and a notification is sent to the assigned Audit Officer's inbox about the audit. A task is sent to the Audit Officer's inbox five days ahead of the Start Date. If today falls within the Reminder In Days date, the task is sent to the Audit Officer immediately.
5. Click **OK**. The Audit Task Details page opens.

## Completing Audit Plans

Once all the tasks associated with the audit plan have been accepted by the BU Head, the Audit Plan Manager can enter the plan ratings and complete the audit plan.

To complete an audit plan, follow these steps:

1. Navigate to the Audit Plan Search and List page.
2. Click the ID for the Audit Plan you wish to view details for. The Audit Plan Details page displays.
3. Click **Complete Plan**. The status of the audit plan changes to Complete.

Once an Audit Plan is completed, it cannot be edited by any user. All users authorized to view the Audit Plan Details page may continue to view the details of closed audit plans whenever required.

# Managing Audit Tasks

This section covers the following topics:

- Audit Tasks Workflow
- Accessing Audit Tasks
- Searching Audit Tasks
- Viewing Audit Task Details
- Viewing Audit Plan Details from Audit Tasks
- Conducting an Audit
- Managing Issues and Actions
- Approving Audit Tasks
- Rejecting Audit Tasks
- Accepting Audit Tasks
- Requesting a Review of Audit Tasks
- Attaching Documents
- Viewing Workflow History
- Viewing the Audit Tasks Profile Report

## Audit Tasks Workflow

The workflow of the Audit Task feature is depicted in the following diagram:

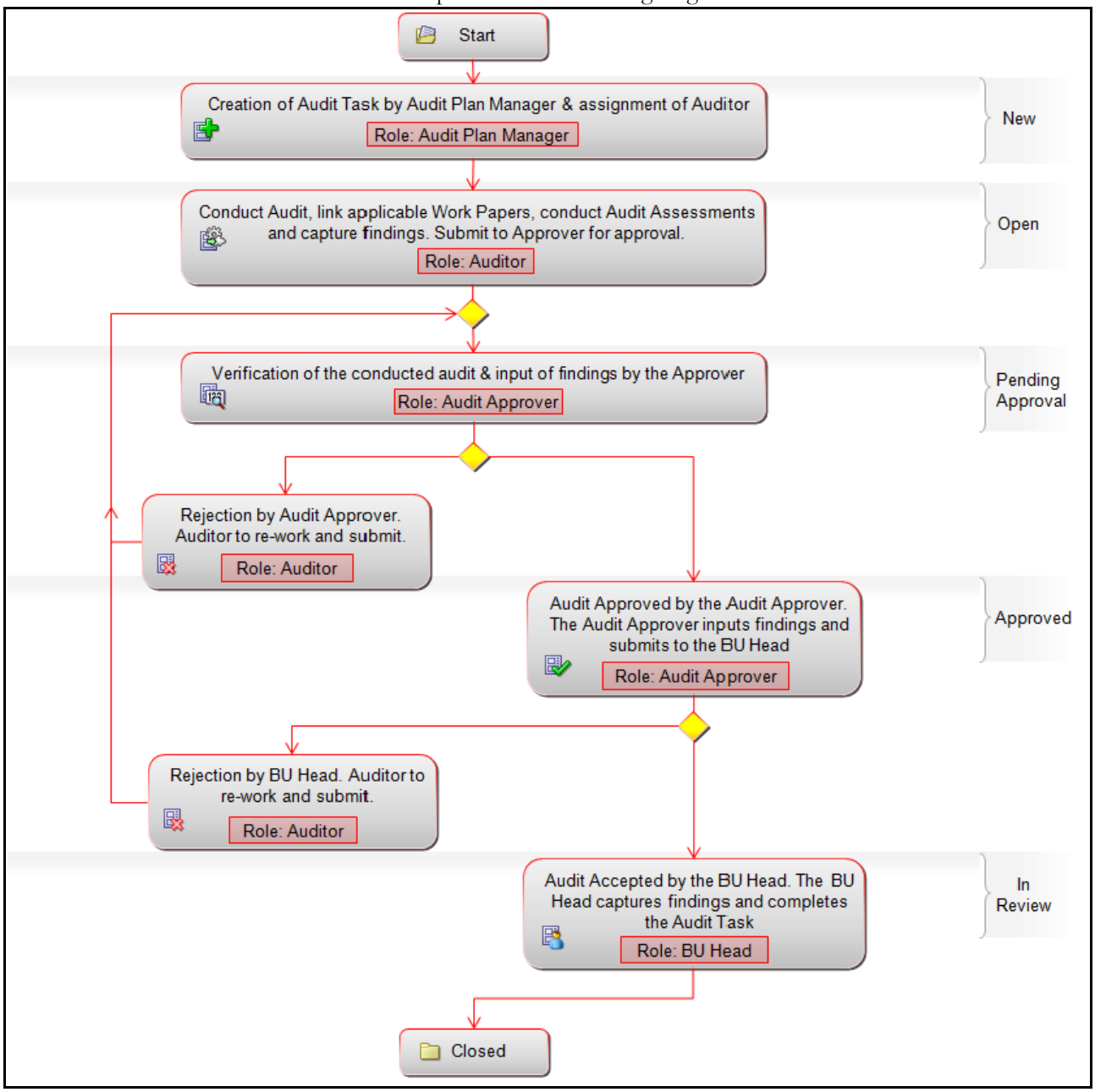



**Figure 450. Audit Tasks Workflow**

## Accessing Audit Tasks

The following user roles can access the Audit Tasks Search and List page:

- **Audit Plan Manager:** This user can access only audit tasks which are associated with audit plans they are listed as the Audit Manager of, or tasks which are linked to their KBDs, in order to monitor the progress of the audit plan. Audit Plan Managers may not edit Audit Tasks.
- **Audit Officer:** This user can access audit tasks which are assigned to them in order to conduct the audit and capture details.
- **Audit Approver:** This user can access audit tasks linked to their KBD.
- **BU Head:** This user can access audit task details to review and accept an audit task of their KBD. If this user is not satisfied with the findings of an Audit Officer, they can request a review of the findings by an Audit Officer.

To access Audit Tasks, follow these steps:

1. Login to OFS OR/GCM application as an Audit Plan Manager, Audit Officer, Audit Approver or BU Head user.
2. Select **Tasks** from the Audit menu. The Audit Tasks Search and List page displays.

## Searching Audit Tasks

The Audit Tasks Search and List page enables you to filter the list of audit tasks that you want to view and analyze. The Audit Tasks Search bar supports two types of search-Search using Search Components, and Search using Advanced Search Components.

The Audit Tasks List displays a list of audit tasks that meet the criteria specified on the Audit Tasks Search bar.

This section explains the following topics:

- Searching Audit Tasks Using Search Components
- Searching Audit Tasks Using Advanced Search Components
- Searching Audit Tasks Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Audit Tasks Using Search Components

This search is based on a limited set of search components that helps you to filter the required list of audit tasks. If you know any of the audit task details such as the ID or Name you can filter the list of audit tasks using the basic search components.

To search for audit tasks using basic search components, follow these steps:

1. Navigate to the Audit Tasks Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

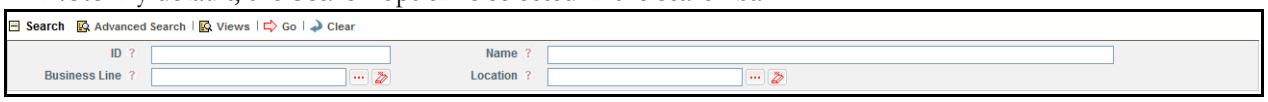



**Figure 451. Searching Audit Tasks with Search Components**

2. Enter the search criteria to filter the list of audit tasks.

   The following table provides the description for each search component that displays in the Audit Tasks Search bar.

**Table 257. Basic Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the audit task. This field supports wildcard search. |
| Name | Enter the name of the audit task. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select the business line of the audit tasks from the hierarchy. |
| Location | Select a location for the audit tasks from the hierarchy. |

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

## Searching Audit Tasks Using Advanced Search Components

Advanced search offers the same search fields as provided for a simple search along with additional set of fields. If you know any of the audit task details such as ID, Name, Category, Type, Status so on, then you can filter the list of audit tasks using the advanced search components.

To search for audit tasks using advanced search components, follow these steps:

1. Navigate to the Audit Tasks Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search components are displayed.

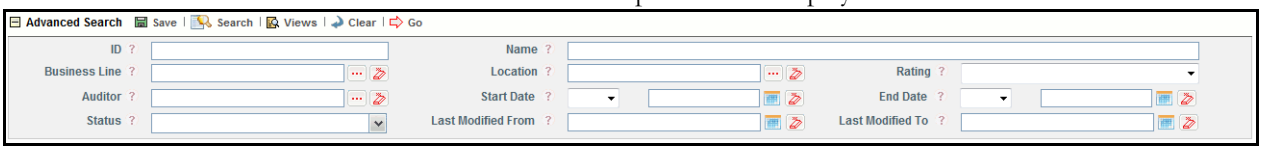



**Figure 452. Searching Audit Tasks with Advanced Search Components**

3. Enter the search criteria to filter the list of audit tasks.

The following table describes the search components that display in the Audit Tasks Advanced Search bar.

**Table 258. Advanced Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the audit task.This field supports wildcard search. |
| Name | Enter the title of the question. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select a business line of the audit tasks using the hierarchy button. |
| Location | Select a location for the audit tasks using the hierarchy button. |
| Rating | Select the Overall Rating for the Audit Task from the drop-down options.<br>● Strong<br>● Satisfactory<br>● Fair<br>● Unsatisfactory<br>● Unacceptable |
| Auditor | Select an Audit Officer from the user list using the hierarchy button. |
| Priority | Select a priority from the drop-down list to filter the list of audit tasks which have the selected priority. The Priority drop-down has the following options:<br>● Select All<br>● High<br>● Medium<br>● Low |
| Start Date | Select an operand from the drop-down list and then select a date from the calendar to display the list of audit tasks whose start date is greater than, less than, or equal to the specified date. |
| End Date | Select an operand from the drop-down list and then select a date from the calendar to display the list of audit tasks whose end date is greater than, less than, or equal to the specified date. |
| Status | Select the status from the drop-down list to filter the list for audit tasks with the selected status. The Status drop-down list displays the following options:<br>● Select All<br>● Open<br>● Pending Approval<br>● Approved<br>● Completed |
| Last Modified From | Select a date from the calendar to display the list of audit tasks 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 audit tasks whose last modified date is lesser than or equal to the specified date.<br><br>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. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

### Searching Audit Tasks Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of audit tasks based on pre-defined views.

To search for audit tasks using pre-defined views, follow these steps:

1. Navigate to the Audit Tasks Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

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

**Table 259. Pre-defined Views**

| View Type | Description |
|---|---|
| Open Audit Tasks | Select **Open Audit Tasks** from the drop-down list options to display the list of audit tasks which are in *Open* status. |
| Audit Tasks Pending Approval | Select **Audit Tasks Pending Approval** from the drop-down list options to display the list of audit tasks which are in *Pending Approval* status. |
| Audit Tasks Pending Completion | Select **Audit Tasks Pending Completion** from the drop-down list options to display the list of audit tasks which are in *Approved* status. |
| Unsatisfactory & Unacceptable Audit Tasks | Select **Unsatisfactory & Unacceptable Audit Tasks** from the drop-down list options to display the list of audit tasks which have the rating *Unsatisfactory* or *Unacceptable*. |
| Completed Audit Tasks | Select **Completed Audit Tasks** from the drop-down list options to display the list of audit tasks which are in *Completed* status. |

**Note:** After performing a **Views** search when you navigate to Search or Advanced Search, the search bar will retain the last performed search criteria, and will display the relevant results in the Audit Tasks List.

## Viewing Audit Task Details

You can view complete information for audit tasks in the Audit Task Details page.

To view audit task details, follow these steps:

1. Navigate to the Audit Task Search and List page.
2. Click an Audit Task ID. The Task Details page displays.




**Figure 453. Task Details page.**

## Viewing Audit Plan Details from Audit Tasks

The plan tab in tasks details page displays the details of audit plan defined by an Audit Plan Manager user while planning. The details in this tab cannot be edited.

The Audit Plan Details page provides complete information about Audit Plans.

To access Audit Plan details, follow these steps:

1. Navigate to the Audit Plan Search and List page.
2. Click the ID for the Audit Plan you wish to view details for. The Audit Plan Details page displays.




**Figure 454. Audit Plan Details page.**

## Conducting an Audit

An Audit Officer can conduct an audit. To conduct an audit, the Audit Officer must edit the Audit Task to record the audit assessments and findings from the Audit Task Details page. The Audit Task List displays only tasks which have been assigned to the logged in Audit Officer.

To conduct an audit, follow these steps:

1. Navigate to the Audit Task Details page.
   Or
   In the Open Tasks tab of the Inbox, click a task ID in *Open* status. The Audit Tasks Details page displays.
2. Click **Edit**. The Task Rating and Task Effort fields become editable. The remaining field values are auto-populated with the details defined by the Audit Plan Manager during Audit Task creation.
3. Select an overall rating for the audit task from the **Task Rating** drop-down options.This field is a mandatory field.
4. Enter the number of days it took to audit the task in the Task Effort field.
5. Click **Update**. The following message displays: *Update Operation Successful*
6. Click **Ok**. Task Details page displays the updated information.

### Adding Audit Findings

Audit Officer users can record findings for the audit task to include for consideration during the audit.

To record the audit findings for an audit task, follow these steps:

1. Navigate to the Audit Task Details page.
2. Click **View More** to expand the additional information. Findings added to this audit are listed in the Findings section.
3. Click **Add** Findings. The Task Finding Details window displays.

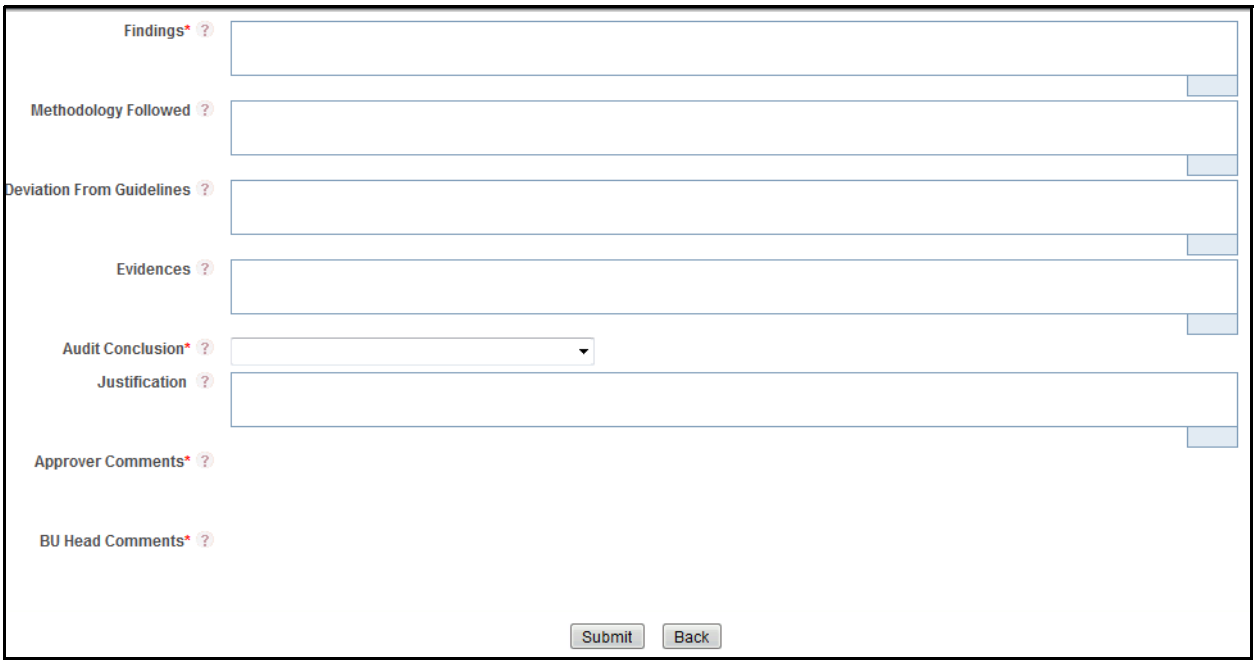



**Figure 455. Task Findings Details window.**

4. Enter your findings into the Task Findings Details window. The following table describes the fields in the Task Findings Details window.

**Table 260. Task Finding Details.**

| Field | Description |
|---|---|
| Findings | Enter a summary of your audit findings in this field. This field allows you to enter a maximum of 3000 characters and supports wildcard use. This field is mandatory.<br>Additionally, you can upload a detailed Findings Report in the Documents grid. |
| Methodology Followed | Enter a summary of the steps followed for conducting the audit. This field allows you to enter a maximum of 3000 characters and supports wildcard use.<br>Additionally, you can upload more detailed documents in the Documents grid. |
| Deviation From Guidelines | Enter a summary of any deviations taken in conducting the audit from standard audit guidelines or the audit plan.This field allows you to enter a maximum of 3000 characters and supports wildcard use.<br>Additionally, you can upload more detailed documents in the Documents grid. |
| Evidences | Enter a summary of the evidences collected during the audit. This field allows you to enter a maximum of 3000 characters and supports wildcard use.<br>Additionally, you can upload more detailed documents in the Documents grid. |
| Audit Conclusion | Select a conclusion from the drop-down list. The Audit Conclusion drop-down list displays the following options:<br>● Improvement Required<br>● No Improvement Required<br><br>This field is mandatory. |
| Justification | Enter the reasoning which justifies the audit findings. This field allows you to enter a maximum of 3000 characters and supports wildcard use. This field is mandatory. |

**Table 260. Task Finding Details.**

| Field | Description |
|---|---|
| Approver Comments | An Audit Approver can enter comments on the findings of this audit and provide recommendations or remarks. This field allows you to enter a maximum of 3000 characters and supports wildcard use. This field is mandatory for Audit Approver users.<br>Additionally, the Audit Approver can upload additional documents in the Documents grid.<br><br>**Note:** Only an Audit Approver user can enter comments in this field. |
| BU Head Comments | An BU Head can enter comments on the findings of this audit and provide recommendations or remarks. This field allows you to enter a maximum of 3000 characters and supports wildcard use. This field is mandatory for BU Head users.<br>Additionally, the BU Head can upload additional documents in the Documents grid.<br><br>**Note:** Only a BU Head user can enter comments in this field. |

5. Click **Submit**. The following message displays: *Add Operation Successful.*
6. Click **OK**. The Task Findings Details are added to the Audit Task.

Once all audit assessments, task ratings and audit findings are recorded, the Audit Officer can submit the audit task for approval. Once a task is submitted, the status of the task changes to *Pending Approval* and a task is sent to the Audit Approver of the KBD.

## Managing Work Papers

The Work Papers tab allows Audit Officers to link Risks, Controls, Processes, Incidents, Compliance Plans, Obligations, and Information Libraries. It also allows you to look at past Audit Assessments of the linked entities and conduct new Audit Assessments, if required

### *Linking Entities*

To link Risks, Controls, Processes, Incidents, Compliance Plans, Obligations, and Information Libraries, follow these steps:

1. Navigate to the Audit Task Details page.
2. Click **Work Papers** to open the Work Papers tab.
3. Select the entity type you wish to link from the LHS.
4. Click **Link**. The respective entity page opens and displays a list of the respective entities. You can use the search feature to search for specific entities.
   The following table lists the statuses of the entities you can link to an audit task.

**Table 261. Linkable Entities**

| Entity Name | Entity Status |
|---|---|
| Risks | Open |
| Processes | Open |

**Table 261. Linkable Entities**

| Entity Name | Entity Status |
|---|---|
| Controls | Open |
| Compliance Plans | Open |
| Obligation Summary | Open |
| Information Libraries | Open |
| Incidents | • Ownership<br>• Pending Review<br>• Pending Approval<br>• Approved |

5. Select the required entity and click **Link**.

Once you have linked all required records, you can click the record ID to navigate to the Details page for that entity. Linked records can be delinked by selecting **Delink**.

### *Viewing Entity Audit Assessments*

To view past Audit Assessments of the linked entities, follow these steps:

1. Navigate to the Audit Task Details page.
2. Click **Work Papers** to open the Work Papers tab.
3. Select the entity type you wish to view audit assessments for.
4. Click the ID of the entity to view audit assessments for this entity.

## Managing Issues and Actions

Issues and Actions can be created for an audit task during the course of audit. An audit task workflow is independent of the Issues & Actions workflow, as an audit task can be completed without completing Issues and Actions. Audit Officer, Audit Approver and BU Head users can link and delink issues when the status of a task is *Open*, *Pending Approval* or *Approved*.

For more information on Issues and Actions, refer to chapter *Managing Issues and Actions*.

This section covers following topics:

- Creating Issues from Audit Assessments
- Linking Issues to Audit Assessments

### *Creating Issues from Audit Tasks*

To create issues from the Audit Task Details page, follow these steps:

1. Navigate to the Audit Task Details page.
2. Click **Issues and Actions** to open the Issues and Actions tab.
3. Click **Create Issue**. The Issue Details page displays.

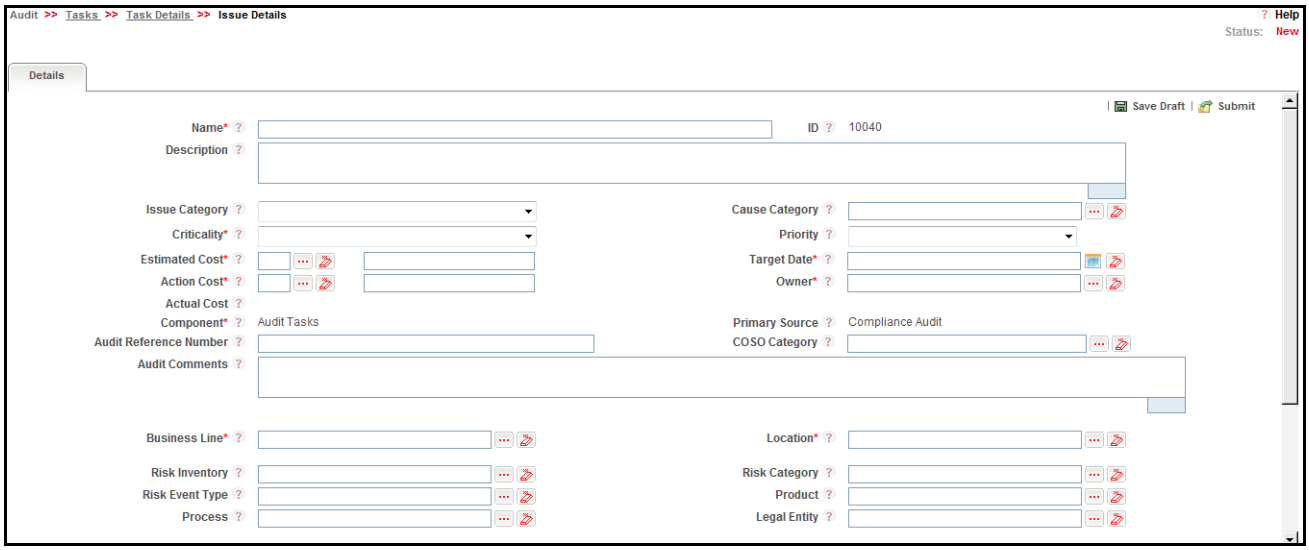



**Figure 456. Issue Details page.**

When issues are created from the Audit Task Details page, the following additional fields are available in the Issue Creation page:

- Audit Reference Number
- Committee of Sponsoring Organization (COSO) Category
- Audit Comments

### *Linking Issues to Audit Tasks*

To link issues to this audit task, follow these steps:

1. Navigate to the Audit Task Details page.
2. Click **Issues and Actions** to open the Issues and Actions tab.
3. Click **Link**. The Issues page opens and displays a list of the respective entities. You can use the search feature to search for specific issues.
4. Select the required issue and click **Link**.

Once you have linked all required records, you can click the record ID to navigate to the Details page for that entity. Linked records can be delinked by selecting **Delink**.

**Note:** You can create and link actions to an issue only from the Issues and Actions module.

## Approving Audit Tasks

Once all audit assessments, task rating and audit findings are recorded, the Audit Officer can submit the audit task for approval. Once a task is submitted, the status of the task changes to *Pending Approval* and a task is sent to the Audit Approver.

An Audit Approver user can approve an audit task submitted by an Audit Officer user whose status is in *Pending Approval*.

To approve an audit assessment, follow these steps:

1. Login as an Audit Approver user.
2. Navigate to the Audit Task Details page. Click a task ID in *Pending Approval* status. The Audit Tasks Details page displays
   Or
   In the Open Tasks tab of the Inbox, click a task ID in *Pending Approval* status. The Audit Tasks Details page displays.
3. Click **View More** to expand the additional information. Findings added to this audit are listed in the Findings section.
4. Select an audit task ID in the Findings grid to open the Task Findings Details window.
5. Add your comments in the **Approver Comments** field.
6. Click **Save**. The following message displays: *Update Operation Successful.*
7. Click **OK**. The Approver Comments are added to the Audit Task.
8. In the Audit Tasks Details page, click **Approve Task**. The following message displays: *Update Operation Successful.*
9. Click **OK**. You are navigated back to the Audit Tasks Details page and the status of the audit task changes to *Approved*. A task is generated and sent to BU Head of the business line and location of the audit task and a notification is sent to the Audit Officer.

## Rejecting Audit Tasks

If the Audit Approver is not satisfied with Audit Officer's findings on an audit task, the audit task can be rejected.

To reject an audit assessment, follow these steps:

1. Login as an Audit Approver user.
2. Navigate to the Audit Task Details page. Click a task ID in *Pending Approval* status. The Audit Tasks Details page displays
   Or
   In the Open Tasks tab of the Inbox, click a task ID in *Pending Approval* status. The Audit Tasks Details page displays.
3. Click **View More** to expand the additional information. Findings added to this audit are listed in the Findings section.
4. Select an audit task ID in the Findings grid to open the Task Findings Details window.
5. Add your comments in the **Approver Comments** field.
6. Click **Save**. The following message displays: *Update Operation Successful.*
7. Click **OK**. The Approver Comments are added to the Audit Task.
8. In the Audit Tasks Details page, click **Reject Task**. The following message displays: *Update Operation Successful.*
9. Click **OK**. You are navigated back to the Audit Tasks Details page and the status of the audit task changes to *Open*. A task is generated and sent to the Audit Officer. The Audit Officer can re-work the audit task and submit the audit task again for approval.

## Accepting Audit Tasks

After the Audit Approver has approved the audit, a BU Head user can edit an audit task to accept the Audit Approver's findings or to request review.

To accept an audit task, follow these steps:

1. Login as a BU Head user.
2. Navigate to the Audit Task Details page. Click a task ID in *Approved* status. The Audit Tasks Details page displays
   Or
   In the Open Tasks tab of the Inbox, click a task ID in *Approved* status. The Audit Tasks Details page displays.
3. Click **View More** to expand the additional information. Findings added to this audit are listed in the Findings section.
4. Select an audit task ID in the Findings grid to open the Task Findings Details window.
5. Add your comments in the **BU Head Comments** field.
6. Click **Save**. The following message displays: *Update Operation Successful.*
7. Click **OK**. The BU Head Comments are added to the Audit Task.
8. In the Audit Tasks Details page, click **Accept Task**. The following message displays: *Update Operation Successful.*
9. Click **OK**. You are navigated back to the Audit Tasks Details page and the status of the audit task changes to *Completed.* A notification is generated and sent to the Audit Plan Manager, Audit Approver, and Audit Officer of the audit task. When all the audit tasks for an audit plan are complete, an audit plan task is sent to Audit Manager of the plan.

If a BU Head is not satisfied with the findings of the Audit Officer and Audit Approver, you can submit a request for review of the findings.

## Requesting a Review of Audit Tasks

If the BU Head is not satisfied with Audit Officer's work on audit task and findings, a review request of the audit task can be submitted.

To request a review an audit task, follow these steps:

1. Login as a BU Head user.
2. Navigate to the Audit Task Details page. Click a task ID in *Approved* status. The Audit Tasks Details page displays
   Or
   In the Open Tasks tab of the Inbox, click a task ID in *Approved* status. The Audit Tasks Details page displays.
3. Click **View More** to expand the additional information. Findings added to this audit are listed in the Findings section.
4. Select an audit task ID in the Findings grid to open the Task Findings Details window.
5. Add your comments in the **BU Head Comments** field.
6. Click **Save**. The following message displays: *Update Operation Successful.*
7. Click **OK**. The BU Head Comments are added to the Audit Task.

8. In the Audit Tasks Details page, click **Request Review of Task**. The following message displays: *Update Operation Successful.*
9. Click **OK**. You are navigated back to the Audit Tasks Details page and the status of the audit task changes to *Open.*
   A task is generated and sent to the Audit Officer of the audit task. Also, a notification is sent to the Audit Plan Manager and Audit Approver of the audit task. The Audit Officer can then re-work the audit task and re-submit the audit task for approval.

## Attaching Documents

The Documents section can be used to attach documents related to an audit task such as evidences, check-lists, findings, recommendations, and so on. Documents attached by one user role cannot be deleted by other user roles.

For more details, refer to the chapter *General Features.*

## Viewing Workflow History

The Workflow History tab displays the audit trail of all the changes made to an audit task. Every action such as Save, Submit and any change in status are recorded in the Workflow History tab.

To view Workflow History, follow these steps:

1. Login to the application as one of the following user roles:
   - Audit Plan Manager
   - Audit Officer
   - Audit Approver
   - BU Head
2. Navigate to the Audit Task Search and List page.
3. Click an Audit Task ID. The Task Details page displays.
4. Click **View More** to expand the additional information. Workflow History information is listed in the Workflow History section.

For more details, refer to the chapter *General Features.*

## Viewing the Audit Tasks Profile Report

You can view the Audit Tasks Profile report in PDF from the Audit Tasks Details page.

To view the Audit Tasks Profile report, follow these steps:

1. Login to the application as one of the following user roles:
   - Audit Plan Manager
   - Audit Officer
   - Audit Approver

- BU Head

2. Navigate to the Audit Task Search and List page.
3. Click an Audit Task ID. The Task Details page displays.
4. Click **Audit Tasks Profile**. A File Download window displays.
5. Click **Open** to view the Audit Tasks Profile report. You can also choose to Save the report in your local machine.

## Managing Audit Assessments

This section covers the following topics:

- Audit Assessment Workflow
- Accessing Audit Assessments
- Searching Audit Assessments
- Creating Audit Assessments
- Editing Audit Assessments
- Deleting Audit Assessments
- Approving Audit Assessments
- Rejecting Audit Assessments
- Managing Issues and Actions
- Attaching Documents
- Viewing Workflow History
- Viewing the Audit Assessment Details Report

## Audit Assessment Workflow

The workflow of Audit Assessments is depicted in the following diagram:

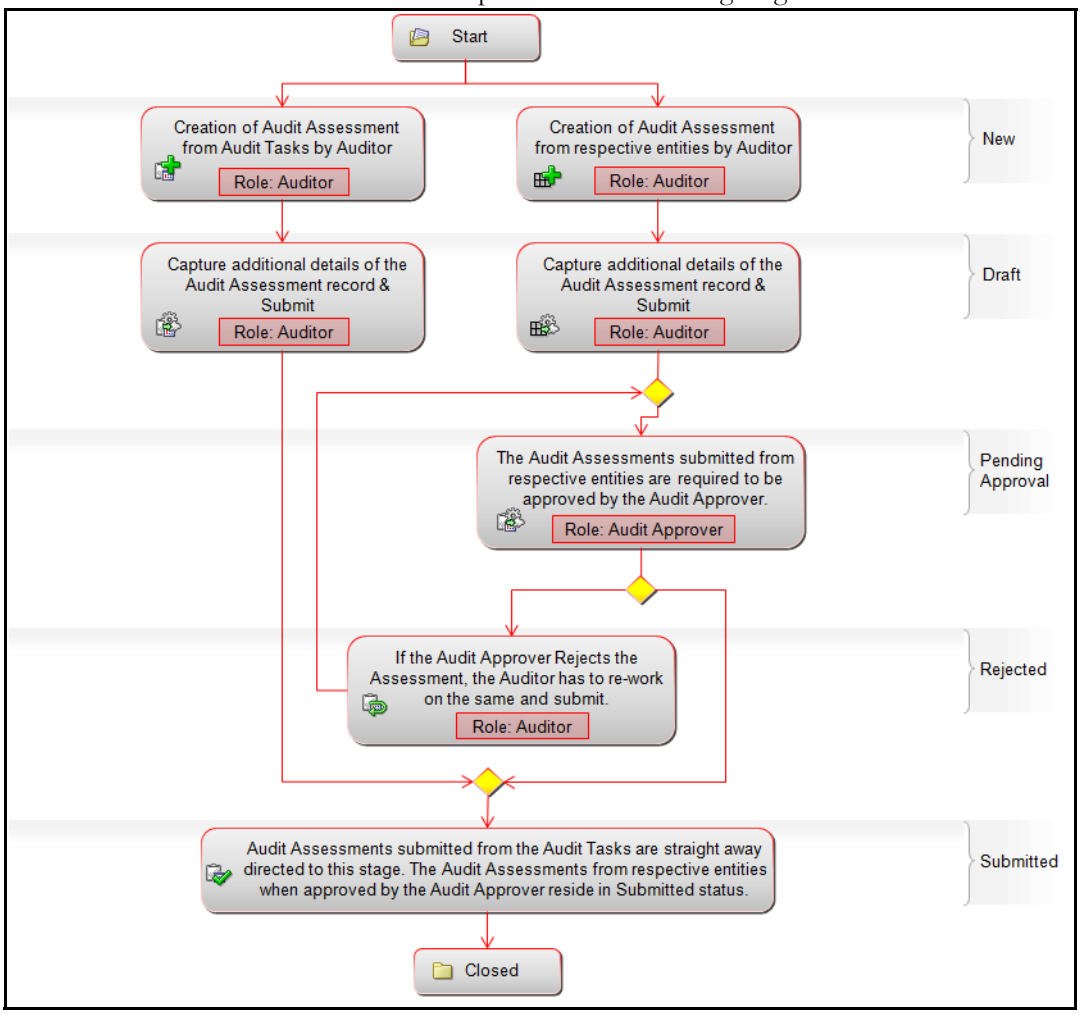



**Figure 457. Audit Assessments Workflow**

## Accessing Audit Assessments

The following user roles can access the Audit Assessments Search and List page:

- **Audit Plan Manager:** This user may not edit audit assessments.
- **Audit Officer:** This user can edit audit assessments in *Draft* or *Rejected* status.
- **Audit Approver:** This user can edit audit assessments in *Pending Approval* status
- **BU Head:** This user may not edit audit assessments.

To access Audit Assessments, follow these steps:

1. Login to OFS OR/GCM application as an Audit Plan Manager, Audit Officer, Audit Approver or BU Head user.
2. Select **Assessments** from the Audit menu. The Audit Assessments Search and List page displays.

## Searching Audit Assessments

The Audit Assessments Search and List page enables you to filter the list of audit assessments that you want to view and analyze. The Audit Assessments Search bar supports two types of search-Search using Search Components, and Search using Advanced Search Components.

The Audit Assessments List displays a list of audit assessments that meet the criteria specified on the Audit Assessments Search bar.

This section explains the following topics:

- Searching Audit Assessments Using Search Components
- Searching Audit Assessments Using Advanced Search Components
- Searching Audit Assessments Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Audit Assessments Using Search Components

This search is based on a limited set of search components that helps you to filter the required list of audit assessments. If you know any of the audit assessment details such as the ID or Name you can filter the list of audit assessments using the basic search components.

To search for audit assessments using basic search components, follow these steps:

1. Navigate to the Audit Assessments Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.




**Figure 458. Searching Audit Assessments with Search Components**

2. Enter the search criteria to filter the list of audit assessments.

   The following table provides the description for each search component that displays in the Audit Assessments Search bar.

**Table 262. Basic Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the audit assessment. This field supports wildcard search. |
| Name | Enter the name of the audit assessment. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select the business line of the audit assessments from the hierarchy. |
| Location | Select a location for the audit assessments from the hierarchy. |

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

## Searching Audit Assessments Using Advanced Search Components

Advanced search offers the same search fields as provided for a simple search along with additional set of fields. If you know any of the audit assessment details such as ID, Name, Category, Type, Status so on, then you can filter the list of audit assessments using the advanced search components.

To search for audit assessments using advanced search components, follow these steps:

1. Navigate to the Audit Assessments Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

2. Click **Advanced Search**. The Advanced Search components are displayed.




**Figure 459. Searching Audit Assessments with Advanced Search Components**

3. Enter the search criteria to filter the list of audit assessments.

The following table describes the search components that display in the Audit Assessments Advanced Search bar.

**Table 263. Advanced Search Bar Components**

| Criteria | Description |
|---|---|
| ID | Enter the sequential tracking number of the audit assessment.This field supports wildcard search. |
| Name | Enter the title of the question. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Line | Select a business line of the audit assessments using the hierarchy button. |
| Location | Select a location for the audit assessments using the hierarchy button. |
| Component | Select the Component whose record is being conducted from the drop-down list:<br>● Select All<br>● Risks<br>● Controls<br>● Processes<br>● Incidents<br>● Compliance Plans<br>● Obligations<br>● Information Library |
| Report Number | Enter the number of audit assessment report.This field allows you to enter a maximum of 30 characters and supports wildcard search. |
| Audit Rating | Select an Audit Officer's rating for the Audit Assessment from the drop-down options.<br>● Select All<br>● Strong<br>● Satisfactory<br>● Fair<br>● Unsatisfactory<br>● Unacceptable |
| Status | Select the status from the drop-down list to filter the list for audit assessments with the selected status. The Status drop-down list displays the following options:<br>● Select All<br>● Open<br>● Pending Approval<br>● Approved<br>● Completed |
| Last Modified From | Select a date from the calendar to display the list of audit assessments 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 audit assessments whose last modified date is lesser than or equal to the specified date.<br><br>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. If are no records matches the entered search criteria, then the following message is displayed: *No records found with the given search criteria.*

### Searching Audit Assessments Using Pre-defined Views

The Views search represents pre-populated search queries and helps you to filter the list of audit assessments based on pre-defined views.

To search for audit assessments using pre-defined views, follow these steps:

1. Navigate to the Audit Assessments Search and List page.

   **Note**: By default, the **Search** option is selected in the search bar.

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

**Table 264. Pre-defined Views**

| View Type | Description |
|---|---|
| Approved Audit Assessments | Select **Approved Audit Assessments** from the drop-down list options to display the list of audit assessments which are in *Pending Approval* status. |
| Unsatisfactory & Unacceptable Audit Assessments | Select **Unsatisfactory & Unacceptable Audit Assessments** from the drop-down list options to display the list of audit assessments which have the rating *Unsatisfactory* or *Unacceptable*. |

**Note:** After performing a **Views** search when you navigate to Search or Advanced Search, the search bar will retain the last performed search criteria, and will display the relevant results in the Audit Assessments List.

## Creating Audit Assessments

Audit Assessments can be done as part of audit task or independently from different modules such as Risks, Controls, Processes, Incidents, Compliance Plans, Obligations, and Information Library.

**Note:** Only an Audit Officer can create an audit assessment.

To conduct an audit assessment on various modules, follow these steps:

1. Login to the respective modules as an Audit Officer. The entity list of the selected module displays a list records for which the Audit Officer user has access.
2. Click an ID to view its Details page.
3. Click **Audit** to conduct the audit assessment of the selected record. An Audit Assessment Details window displays.
4. Enter the details in the Audit Assessment Details window. The following table lists the statuses of the entities you can link to an audit task.

**Table 265. Linkable Entities**

| Entity Name | Entity Status |
|---|---|
| Risks | Open |
| Processes | Open |
| Controls | Open |

**Table 265. Linkable Entities**

| Entity Name | Entity Status |
|---|---|
| Compliance Plans | Open |
| Obligation Summary | Open |
| Information Libraries | Open |
| Incidents | • Ownership<br>• Pending Review<br>• Pending Approval<br>• Approved |

## Editing Audit Assessments

Only an Audit Officer user can edit the assessment record in Draft or Rejected status.

To edit an audit assessment, follow these steps:

1. Login to the application as an Audit Officer.
2. Navigate to the Audit Assessments Search and List page.
3. Click an Audit Assessment ID in *Draft* or *Rejected* status. The Audit Assessment Details page displays.
4. Click **Edit**. The Audit Assessment Details window displays.
5. Edit the required details and click **Update**. The following message displays: *Update Operation Successful.*
6. Click **OK**.

Once all the mandatory fields in the Audit Assessment are recorded, the audit officer can submit an audit assessment for approval by clicking **Submit for Approval**. The status of the audit assessment changes to *Pending Approval* when audited from the respective entity Details page. If you assess an audit from the Work Papers tab in the Audit Tasks Details page, the status of the audit assessment changes to *Submitted*. A task is sent to the Audit Approver about the audit assessment.

## Deleting Audit Assessments

Audit Officers can delete an audit assessment from the Audit Assessment Search and List page when it is in *Draft* status.

**Note:** Only a user mapped to the role of Audit Officers can delete audit assessments.

To delete an audit assessment, follow these steps:

1. Login as an Audit Officer user.
2. Navigate to the Audit Assessment Search and List page.
3. Select an assessment ID in *Draft* status.
4. Click **Delete Audit Assessment**. The following message displays: *Are you sure you want to delete this record?*

5. Click **OK**. The following message displays: *Delete Operation Successful*

## Approving Audit Assessments

Once all audit assessments are recorded, the Audit Officer can submit the audit assessment for approval. Once an audit assessment is submitted, the status of the assessment changes to *Pending Approval* and a assessment is sent to the Audit Approver.

An Audit Approver user can approve an audit assessment submitted by an Audit Officer user whose status is in *Pending Approval*.

To approve an audit assessment, follow these steps:

1. Login as an Audit Approver user.
2. Navigate to the Audit Assessment Details page. Click an audit assessment ID in *Pending Approval* status. The Audit Assessments Details page displays
   Or
   In the Open Assessments tab of the Inbox, click a assessment ID in *Pending Approval* status. The Audit Assessments Details page displays.
3. In the Audit Assessments Details page, click **Approve Audit Assessment**. The Audit Assessments Details window displays.
4. Enter comments in the comments field and click **Approve**. The following message displays: *Update Operation Successful*.
5. The following message displays: *Update Operation Successful*.
6. Click **OK**. You are navigated back to the Audit Assessments Details page and the status of the audit assessment changes to *Submitted*. A notification is sent to the Audit Officer.

## Rejecting Audit Assessments

If the Audit Approver is not satisfied with Audit Officer's findings on an audit assessment, the audit assessment can be rejected.

To reject an audit assessment, follow these steps:

1. Login as an Audit Approver user.
2. Navigate to the Audit Assessment Details page. Click a assessment ID in *Pending Approval* status. The Audit Assessments Details page displays
   Or
   In the Open Assessments tab of the Inbox, click a assessment ID in *Pending Approval* status. The Audit Assessments Details page displays.
3. In the Audit Assessments Details page, click **Reject Audit Assessment**. The Audit Assessments Details window displays.
4. Enter comments in the comments field and click **Reject**. The following message displays: *Update Operation Successful*.

5. Click **OK**. You are navigated back to the Audit Assessments Details page and the status of the audit assessment changes to *Rejected* A notification is sent to the Audit Officer.

## Managing Issues and Actions

Issues and Actions can be created for an audit assessment during the course of audit. An audit assessment workflow is independent of the Issues & Actions workflow, as an audit assessment can be completed without completing Issues and Actions. Audit Officer, Audit Approver and BU Head users can link and delink issues when the status of a assessment is *Open*, *Pending Approval* or *Approved*.

For more information on Issues and Actions, refer to chapter *Managing Issues and Actions*.

### *Creating Issues from Audit Assessments*

To create issues from the Audit Assessment Details page, follow these steps:

1. Navigate to the Audit Assessment Details page.
2. Click **Issues and Actions** to open the Issues and Actions tab.
3. Click **Create Issue**. The Issue Details page displays.

When issues are created from the Audit Assessment Details page, the following additional fields are available in the Issue Creation page:

- Audit Reference Number
- Committee of Sponsoring Organization (COSO) Category
- Audit Comments

### *Linking Issues to Audit Assessments*

To link issues to this audit assessment, follow these steps:

1. Navigate to the Audit Assessment Details page.
2. Click **Issues and Actions** to open the Issues and Actions tab.
3. Click **Link**. The Issues page opens and displays a list of the respective entities. You can use the search feature to search for specific issues.
4. Select the required issue and click **Link**.

Once you have linked all required records, you can click the record ID to navigate to the Details page for that entity. Linked records can be delinked by selecting **Delink**.

**Note:** You can create and link actions to an issue only from the Issues and Actions module.

## Attaching Documents

The Documents section can be used to attach documents related to an audit assessment such as evidences, check-lists, findings, recommendations, and so on. Documents attached by one user role cannot be deleted by other user roles.

For more details, refer to the chapter *General Features*.

## Viewing Workflow History

The Workflow History tab displays the audit trail of all the changes made to an audit assessment. Every action such as Save, Submit and any change in status are recorded in the Workflow History tab.

To view Workflow History, follow these steps:

1. Login to the application as one of the following user roles:
   - Audit Plan Manager
   - Audit Officer
   - Audit Approver
   - BU Head
2. Navigate to the Audit Assessment Search and List page.
3. Click an Audit Assessment ID. The Assessment Details page displays.
4. Click **View More** to expand the additional information. Workflow History information is listed in the Workflow History section.

For more details, refer to the chapter *General Features*.

## Viewing the Audit Assessment Details Report

You can view the Audit Assessment Details report in PDF from the Audit Assessment Details page.

To view the Audit Assessment Details report, follow these steps:

1. Login to the application as one of the following user roles:
   - Audit Plan Manager
   - Audit Officer
   - Audit Approver
   - BU Head
2. Navigate to the Audit Assessment Search and List page.
3. Click an Audit Assessment ID. The Assessment Details page displays.

4. Click **Audit Assessment Details**. A File Download window displays.
5. Click **Open** to view the Audit Tasks Profile report. You can also choose to Save the report in your local machine.

# CHAPTER 22 Managing Business Continuity Plans

TThis chapter provides details of the Business Continuity Plan Management (BCM) module in the Oracle Financial Services Operational Risk application and step-by-step instructions to use this module.

This chapter includes the following topics:

- About Business Continuity Plans
- User Roles and Actions
- Tasks and Notifications
- Business Continuity Plan Workflow
- Accessing Business Continuity Plan Menu
- Searching Business Continuity Plans
- Creating a Business Continuity Plan
- Managing Plan Details
- Approving Business Continuity Plans
- Rejecting a Business Continuity Plan
- Reviewing Business Continuity Plans
- Closing a Business Continuity Plan
- Deleting a Business Continuity Plan
- Exporting Business Continuity Plan List to Excel
- Viewing Business Continuity Plan Profile

## About Business Continuity Plans

Business Continuity Plan allows the Banks and other Financial Institutions to view the Business Continuity risks in their organizations and assess them. For example, how a server crash, loss of people or other services, and so on can impact on their Business Continuity. These Business Continuity Plans can be captured in a system to identify their critical dependencies, determine the impact of those losses, and the recovery plan from these situations.

The Business Continuity Plans component of OFSOR allows a financial institution to capture and monitor various Business Continuity Plans that cause operational risk and recovery from it.

### Business Continuity Plan Reports

The Business Continuity Plan module generates the following reports:

- Business Continuity Plan Summary
- Business Continuity Plan Assessment
- Business Recovery Plan Assessment

- Dependency Details
- Recovery Details
- Plan Details
- Business Continuity Plans by Business Lines
- Business Continuity Plans by Locations
- Business Continuity Plans by Processes
- Business Continuity Plans by Risk Event Types
- Business Continuity Plans by Risk Inventory
- BCP and Insurance Plans
- Business Continuity Plan & Risks
- Business Continuity Plan and Risks
- BCP and Insurance Plans Details
- Business Continuity Plan Associated with Scenarios
- BCP and Scenario Details
- BCP with Scenario and Incidents
- Business Continuity Plan not Assessed
- Dependent Processes in Business Continuity Plans
- Business Continuity Plan with no Risk
- Business Continuity Plan with no Insurance Plans
- BCP Metrics

## Salient features

The Business Continuity Plan Manager provides the following features to help organizations manage their operational risk:

- Provides the ability to capture Business Continuity Plans for a financial institutions
- Allows user to identify the causes and related risks and controls
- Provides an ability to investigate and capture the different impacts of risk on a Business Continuity Plan
- Allows user to assess the Plans for further analysis

## *User Roles and Actions*

This section explains the different user roles and actions they can perform in the Business Continuity Plan module of the OFSOR application. This section covers the following topics:

- User Roles
- Actions

### User Roles

The following user roles are defined in the Business Continuity Plan module of OFSOR:

- **Business Continuity Plan Owner:** This user performs the following actions:
  - Creates a new Business Continuity Plan.
  - Edits an existing Business Continuity Plan.
  - Creates, edits, or deletes the Recoveries. Links or delinks the Risks, Controls, KIs, Internal Incidents, Insurance, Obligation, Process, Information Library, Compliance, Scenarios. Creates, and links or delinks the Issues.
  - Submits a Business Continuity Plan for Approval
  - Asssesses the Business Continuity Plan
  - Closes the Business Continuity Plan
- **Business Continuity Plan Approver:** The user receives the Business Continuity Plans submitted for approval by the Business Continuity Plan Owner. This Business Continuity Plan Approver can approve or reject the Business Continuity Plan and send it back to the Business Continuity Plan Owner. Creates, and links or delinks the Issues.
- **Business Continuity Plan Challenger:** The user can create, edit, or delete the Challenges.

### Actions

The Business Continuity Plans module allows users to perform the following actions:

- **Creating Business Continuity Plan:** This action allows the user to create a new Business Continuity Plan. Users can add or delete the dependencies and attach or delete the documents before submitting the Business Continuity Plan.
- **Editing Business Continuity Plan:** This action allows the user to edit and update Business Continuity Plans in Draft status.
- **Reviewing Business Continuity Plan:** This action allows the user to review a Business Continuity Plan in In Review status. Here, a Business Continuity Plan Owner can create or link a new issue and attach documents. You edit the plan and perform assessment in In Review status.
- **Approving Business Continuity Plan:** This action allows the user to approve a Business Continuity Plan in Pending Approval status. Here, a Business Continuity Plan Approver can create or link a new issue and attach documents. The Approver cannot edit Plan details in Pending Approval status. Once an Approver approves the Business Continuity Plan, a notification is sent to the Business Continuity Plan Owner.

- **Rejecting Business Continuity Plan:** This action allows the user to reject a Business Continuity Plan. When an Approver rejects a Business Continuity Plan, it goes back to the Business Continuity Plan Owner with Draft or In Review status.
- **Closing Business Continuity Plan:** This action allows the user to close the Business Continuity Plan.
- **Deleting Business Continuity Plan:** This action allows the user to delete the Business Continuity Plan.
- **Exporting Business Continuity Plan:** This action allows the user to export the list of Business Continuity Plans. The Exported Business Continuity Plan function allows the organization to have a compiled list of all applicable Business Continuity Plans.

**Table 266. User roles mapped to corresponding actions**

| | User Roles | | |
|---|---|---|---|
| **Actions** | **Business Continuity Owner** | **Business Continuity Approver** | **BCP Challenger** |
| Create Business Continuity Plan | ✓ | | |
| Edit Plan Details | ✓ | | |
| Submit Business Continuity Plan | ✓ | | |
| Delete Business Continuity Plan | ✓ | | |
| Review Business Continuity Plan | ✓ | | |
| Approve Business Continuity Plan | | ✓ | |
| Reject Business Continuity Plan | | ✓ | |
| Close Business Continuity Plan | ✓ | | |
| Create Promises | ✓ | | |
| Link/Delink Business Units | ✓ | | |
| Link/Delink Processes | ✓ | | |
| Link/Delink Information Libraries | ✓ | | |
| Create Recovery Plans | ✓ | | |
| Create Challenge BCP | ✓ | | |
| Create Issues/Actions | ✓ | ✓ | |
| Link Issues/Actions | ✓ | ✓ | |
| View Issues/Actions | ✓ | ✓ | |
| Attaching Documents | ✓ | ✓ | |
| Create Challenges | | | ✓ |

**Table 266. User roles mapped to corresponding actions**

| | | | |
|---|---|---|---|
| Edit Challenges | | | ✓ |
| Delete Challenges | | | ✓ |

## Tasks and Notifications

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 all the tasks and notifications that each user role will receive in their Inbox on performing a particular action.

**Table 267. Task and Notification**

| Action Perfomed | Task/Notification | Task/Notification Description | Sent To | Status |
|---|---|---|---|---|
| Request for Approval - BCP submitted for approval | Task | When a BCP is submitted for Approval | BCP Approver | Pending Approval |
| Rejected - BCP Rejected by BCP Approver. Requires re-work. | Task | on click on Reject by BCP Approver | BCP Owner | Draft |
| Rejected - BCP Rejected by BCP Approver. Requires re-work. | Task | on click on Reject by BCP Approver | BCP Owner | In Review |
| Challenge - BCP Challenged | Task | On Submitting challenge for a BCP. | BCP Owner | Open |
| Approved - BCP approved after Challenge | Task | When a BCP is approved after accepting a challenge | BCP Challenge r | In progress |
| Rejected - BCP Challenge Rejected | Task | When a BCP challenge is rejected by BCP Owner. | BCP Challenge r | In progress |
| Unresolved - BCP Challenge Unresolved | Task | When the Challenge is marked as Unresolved | BCP Owner | Open |
| Notify Approval - BCP Approved by BCP Approver | Notification | When a BCP is Approved by BCP Approver | BCP Owner | Open |
| Notify Challenge -BCP Challenge Accepted | Notification | When a BCP challenge is accepted | BCP Challenge r | In progress |
| Notify Challenge- BCP Challenge Resolved | Notification | When the Challenge is marked as resolved | BCP Owner | Resolved |
| Notify Challenge - BCP Challenge Unresolved | Notification | When the Challenge is marked as Unresolved | BCP Owner | Open |

## Business Continuity Plan Workflow

The following figure explains the Business Continuity Plan workflow:

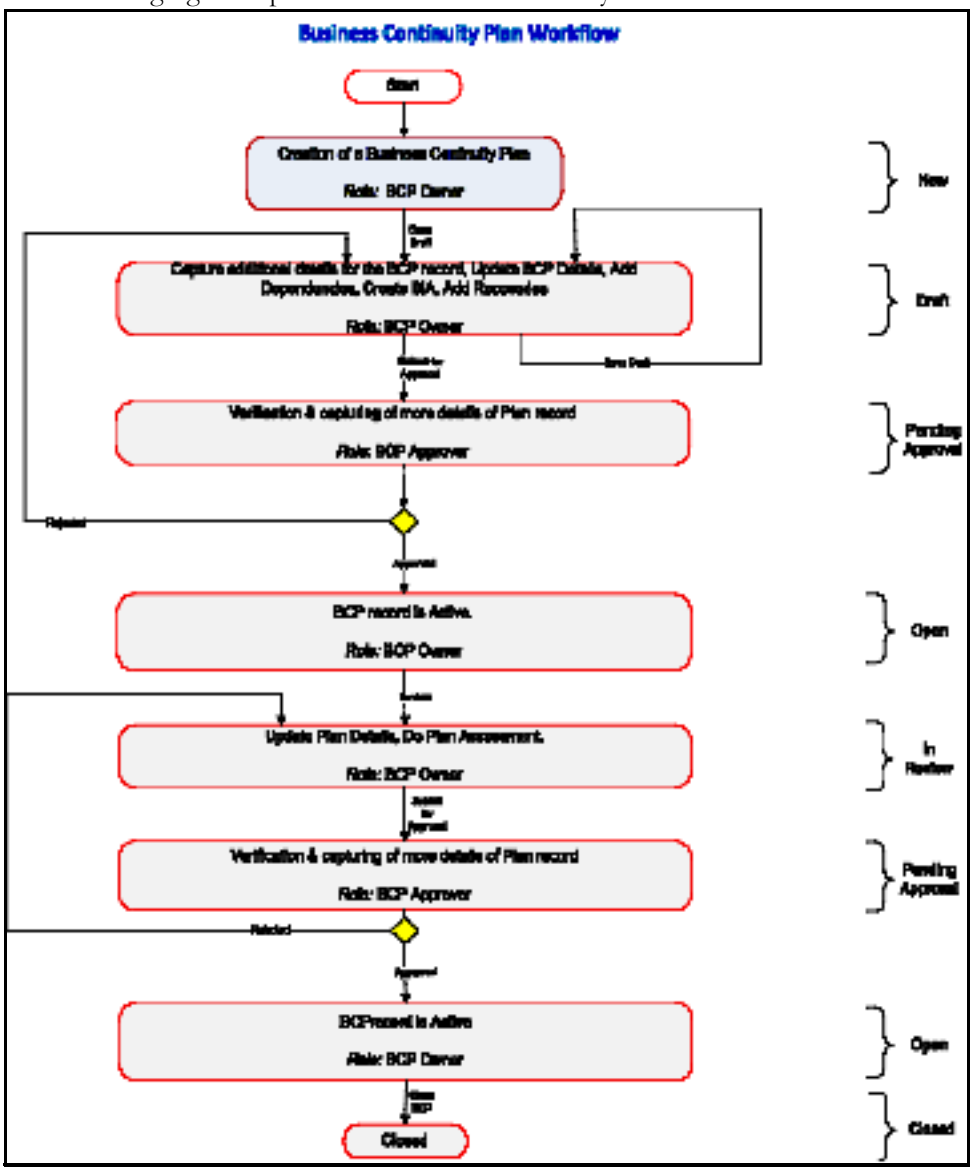



**Figure 460. Business Continuity Plan Workflow**

## Accessing Business Continuity Plan Menu

This section explains how to access the Business Continuity Plans module in Oracle Financial Services Operational Risk.

Users mapped to the role of Business Continuity Plan Owner, or Business Continuity Plan Approver can access the Business Continuity Plan module.

To access the Business Continuity Plan module, follow these steps:

1. Login to the OFSGCM application. The OFSGCM Home page is displayed.
2. Click **BCP**. The Business Continuity Plan Search and List page is displayed.

## Searching Business Continuity Plans

This section explains how to search and filter existing Business Continuity Plans. The Business Continuity Plan Search and List page allows you to filter the Business Continuity Plans that you want to view and analyze. The Business Continuity Plan Search section supports Search, Advanced and View options. You can use only one search at a time.

This section explains the following topics:

- Searching Business Continuity Plan Using Basic Search
- Searching Business Continuity Plans Using Advanced Search Criteria
- Searching Business Continuity Plans Using Pre-defined Views

**Note:** The OFSOR/GCM 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 Business Continuity Plan Using Basic Search

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

To search for a Business Continuity Plan using Basic Search, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.

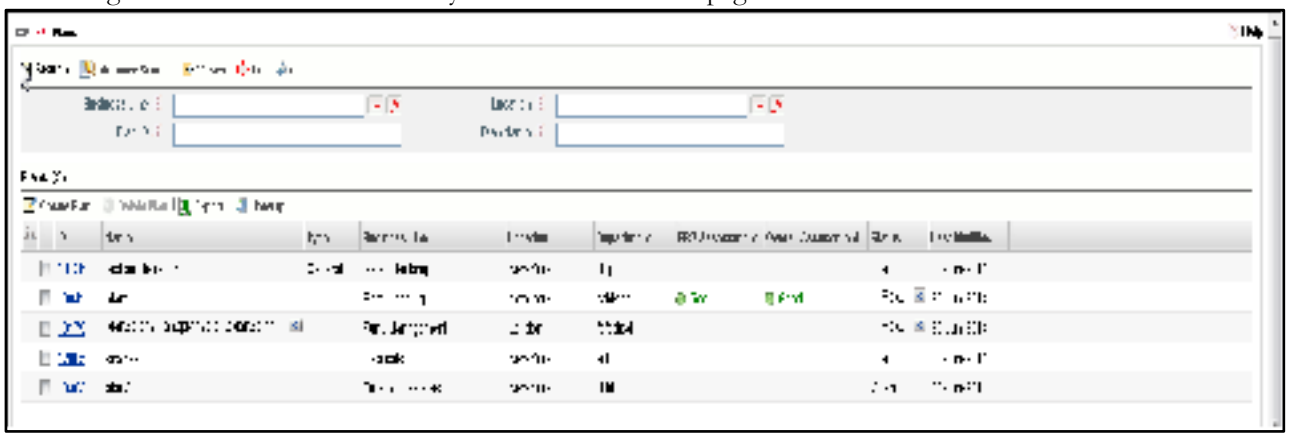


**Figure 461. Searching Business Continuity Plan Using Basic Search**

**Note:** By default, the Business Continuity Plan Search and List page displays all the Business Continuity Plans.

2. Enter the following search criteria in the Basic Search fields to filter the Business Continuity Plan list. You can select one or more search criteria to perform search.

   The following table provides a list of the search criteria that display in the Business Continuity Plan Search section:

**Table 268. Basic Business Continuity Plan Search Criteria**

| Search Criteria | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. Business Continuity Plans are mapped to the business line. For example, Business Line can be Product, Corporate, and so on. |
| Location | Select the Location from the hierarchy browser. Business Continuity Plans are mapped to the location. For example, Location can be London, Bangalore, and so on. |
| Plan ID | Enter the sequential tracking number of the Business Continuity Plans. This field allows you to enter a maximum of 8 numeric values. |
| Plan Name | Enter the name of the Business Continuity Plans. This field allows you to enter a maximum of 300 characters and supports wildcard search. |

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

   You can click **Clear** to reset the search fields.

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

## Searching Business Continuity Plans 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 most of the Plan Details such as ID, Name, Status, and so on, then you can filter the Business Continuity Plans using the Advanced Search criteria.

To search for Business Continuity Plans using Advanced Search, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.

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



**Figure 462. Searching Business Continuity Plan Using Advanced Search Criteria**

3. Enter the search criteria to filter the Business Continuity Plan list.

   The following table provides a list of search criteria that are displays in the Business Continuity Plan Advanced Search section.

**Table 269. Advanced Business Continuity Plan Search Criteria**

| Search Criteria | Description |
|---|---|
| Business Line | Select the Business Line from the hierarchy browser. Business Continuity Plans are mapped to the business line. For example, Business Line can be Product, Corporate, and so on. |
| Location | Select the Location from the hierarchy browser. Business Continuity Plans are mapped to the location. For example, Location can be London, Bangalore, and so on. |
| Department | Enter the name of Department for which the Plan is applicable. |
| Plan ID | Enter the sequential tracking number of the Business Continuity Plans. This field allows you to enter a maximum of 8 numeric values. |
| Plan Name | Enter the name of the Business Continuity Plans. This field allows you to enter a maximum of 300 characters and supports wildcard search. |
| Business Continuity Plan Type | Select the category to which the Business Continuity Plan belongs from the drop-down list.<br>Following are the possible values for the Business Continuity Plan Type drop-down list:<br>● General<br>● Specific |
| BRP Assessment | Select the BRP assessment from the BRP Assessment drop-down list.<br>Following are the possible values for the BRP Assessment drop-down list:<br>● Good<br>● Medium<br>● Poor |
| Overall Assessment | Select the Overall assessment from the Overall Assessment drop-down list.<br>Following are the possible values for the Overall Assessment drop-down list:<br>● Good<br>● Medium<br>● Poor |
| Owner | Select the Business Continuity Plan owner from the hierarchy browser. |

**Table 269. Advanced Business Continuity Plan Search Criteria**

| | |
|---|---|
| Status | Select the Business Continuity Plan status from the multi-select drop-down.<br>Following are the possible values for the Status drop-down list:<br>● Select All<br>● New<br>● Draft<br>● Pending Approval<br>● In Review<br>● Closed<br>● Open<br>You can select more than one option from the drop-down list. |
| Last Modified From | Select the last modified date from the calendar to display Business Continuity Plans having a modified date greater than or equal to the specified date.<br>**Validations:**<br>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.* |
| Last Modified To | Select the last modified date from the calendar to display Business Continuity Plans having a modified date less than or equal to the specified date.<br>**Validations:**<br>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.*

   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 Business Continuity Plans Using Pre-defined Views

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

To search for a Business Continuity Plan using pre-defined views, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click **Views**. The Views drop-down list is displayed.

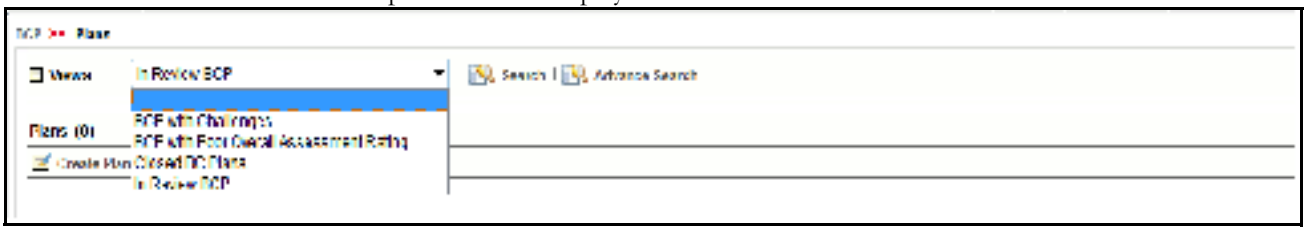



**Figure 463. Searching Business Continuity Plan Using Views**

3. Select any of the pre-defined views from the Views drop-down list. The relevant Business Continuity Plan 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 270. Business Continuity Plan Views**

| View Type | Description |
|---|---|
| BCP with Challenges | Select *BCP with Challenges* from the Views drop-down list to display the Business Continuity Plans which are with Challenges in descending order of the last modified date. |
| BCP with Poor Overall Assessment Rating | Select *BCP with Poor Overall Assessment Rating* from the Views drop-down list to display the Business Continuity Plans which are poor in overall assessment rating in descending order of the last modified date. |
| Closed BC Plans | Select *Closed BC Plans* to filter out and display the Business Continuity Plans in Closed status. |
| In Review BCP | Select *In Review BCP* from the Views drop-down list to display the Business Continuity Plans which are in In Review status in descending order of the last modified date. |

## Creating a Business Continuity Plan

You can create a new Business Continuity Plan when there will be a risk event, which has potential financial impact on the business in the organization. Business Continuity Plan creation and categorization is required for close monitoring in organization.

**Note:** Users mapped to the role of Business Continuity Plan Owner can create a Business Continuity Plan.

The Business Continuity Plan Search and List page allows you to create a new Business Continuity Plan.

To create a new Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click **Create Plan**. The Plan Details page is displayed.

   **Note:** The status of the Business Continuity Plan is New.

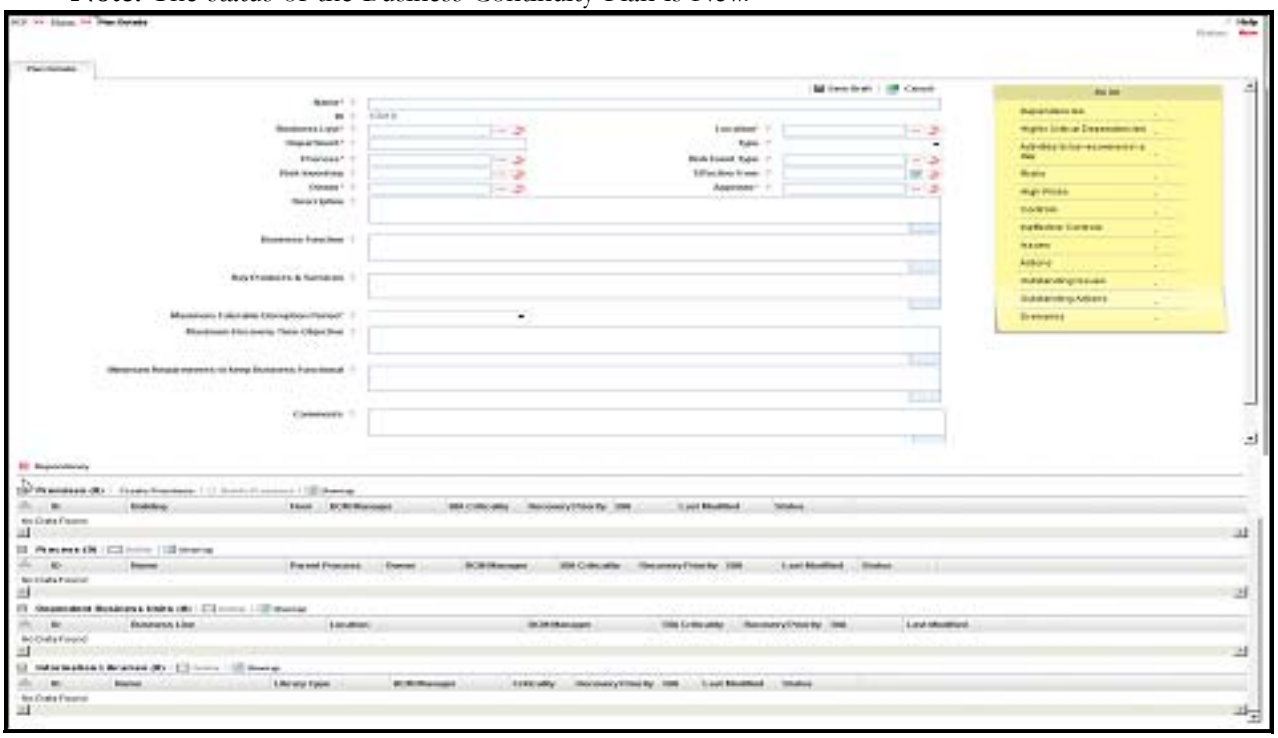


**Figure 464. Plan Details Page**

3. Enter the pertinent information in the Plan Details page.

   The following table describes the fields of this page.

**Table 271. Components of the Plan Details tab**

| Field | Description |
|---|---|
| Name | Enter the name of the Business Continuity Plan. This field allows you to enter a maximum of 300 characters.<br>**Note:** If you try to save the Plan Details without entering the Business Continuity Plan name, the application displays the following message: *Please enter the Business Continuity Plan Name.* |
| ID | Displays the sequential tracking number given to a Business Continuity Plan. (system generated) |
| Business Line | Select the Business Line where the Business Continuity Plan is applicable from the hierarchy browser. Business Continuity Plans are mapped to the Business Line. For example, the Business Line can be Product, Corporate, and so on. |
| Location | Select the Location where the Business Continuity Plan is applicable from the hierarchy browser. Business Continuity Plans are mapped to the Location. For example, the Location can be London, Bangalore, and so on. |
| Department | Enter the details of Department for which this Plan is applicable.<br>If you try to enter more than 300 characters in this field, the application displays the following message: *Number of characters exceeded*. |
| Type | Select the category to which the Business Continuity Plan belongs, from the drop-down.<br>The following values are possible for the Business Continuity Plan Type drop-down list:<br>● General:<br>● Specific: |
| Effective Date | Select the date from when this Business Continuity Plan is effective, from the calendar. |
| Process | Select the Process for which this Plan is applicable, from the hierarchy browser |
| Risk Inventory | Select the Risk Inventory for which the Business Continuity Plan is identified. For example, the Risk Inventory can be Credit Risk, and so on. |
| Risk Event Type | Select the Risk Event Type under which the Business Continuity Plan is identified, from hierarchy browser. For example, the Risk Event Type can be Systems, and so on. |
| Description | Enter a brief description of the Plan.<br>The description field in the Plan Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |
| Business Function | Enter the main functionsor operation of the Business Line.<br>If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded.* |
| Key Product and Services | Enter the Key Product and Services details of the Business Line.<br>If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded.* |

**Table 271. Components of the Plan Details tab**

| | |
|---|---|
| Maximum Tolerable Disruption Period* | Enter the Maximum Time period up to which the disruption in the business can be sustained or tolerated, from the drop-down list.<br>The following values are possible for the Maximum Tolerable Disruption Period drop-down list:<br>• Less than 1 minute<br>• 1 - 5 minutes<br>• 5 - 30 minutes<br>• 30 - 60 minutes<br>• 1 - 4 hours<br>• 4 - 24 hours<br>• 1 - 2 days<br>• 2 - 6 days<br>• 6 - 15 days<br>• 15 -30 days<br>• Above 30 days |
| Maximum Recovery Time Objective | Enter the Maximum Recovery Time Objective. This is used to capture the objective of competing the recovery within the maximum recovery time<br>If you try to enter more than 3000 characters in this field, the application displays the following message: Number of characters exceeded. |
| Minimum Requirements to Keep Business Functional | Enter the details of minimum requirements those are required to keep the business functioning without any hindrances.<br>If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded.* |
| Owner | Enter the name of the Business Continuity Plan Owner who is creating the Business Continuity Plan, hierarchy browser. |
| Approver | Select the name of the Approver or Authorizer who is responsible for the Business Continuity Plan. |
| Comments | Enter remarks if applicable.<br>**Note:** If you try to enter more than 3000 characters in the Comments field, the application displays the following message: *Number of characters exceeded*. |

4. Click **Save Draft**. A Confirmation dialog box is displayed. If you click **OK**, the Business Continuity Plan is saved and the Plan Details page is displayed.

   The status of the Plan will be changed to Draft.

## Submitting a Business Continuity Plan

Users mapped to the role of Business Continuity Plan Owner can submit a Business Continuity Plan. The Business Continuity Plan Details page allows you to submit a Business Continuity Plan.

A Business Continuity Plan in Draft status can be submitted if all mandatory fields of Plan Details are entered and at least one dependency is identified.

To submit a Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.

2. Select a Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.



**Figure 465. Plan Details Page**

The Plan Details page allows you to perform the following tasks in Draft status:

- Editing Business Continuity Plan
- Creating, editing, and deleting the Premises
- Linking and delinking applicable Business Units to Business Continuity Plan
- Linking and delinking applicable Processes to Business Continuity Plan
- Linking and delinking applicable Information Libraries to Business Continuity Plan
- Viewing Workflow History
- Attaching and deleting documents related to Business Continuity Plan
- Linking and delinking Issues and Actions to a Business Continuity Plan
- Creating, editing, and deleting the Recovery Plans

For more information on these sections, refer to the *Managing Plan Details* section.

3. Click **Update**. The following message is displayed: *Update Operation Successful.*
4. Click **Submit for Approval**, if you want to submit the Plan for approval.

   **Note:** To Submit a Business Continuity Plan, all mandatory fields (marked with an asterisk) must be filled. If not, the application displays the following message: *Mandatory fields are not entered.*
5. Click **OK**.

   **Note:** A task is sent to the respective user's Inbox.

# *Managing Plan Details*

The Plan Details page allows you to manage functionalities pertaining to the Business Continuity Plan.

The section explains the following topics:Managing Details

- Managing Premise Details
- Managing Processes
- Managing Dependent Business Units
- Managing Information Libraries
- Managing Business Recovery Plan
- Managing Plan Assessment
- Managing LinkagesManaging Issues and Actions

**Note:** Only a Business Continuity Plan Owner can edit the Plan Details.<XREF>

## Managing Details

This tab displays detailed information about the Business Continuity Plan.

This section allows users to perform the following tasks:

- Editing Business Continuity Plans
- Viewing Additional Information
- Attaching and Deleting Documents
- Viewing Workflow History

### Editing Business Continuity Plans

This section describes how to edit and update existing Business Continuity Plans. You can edit a Business Continuity Plan in Draft or In Review status.

To edit a Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Select a Business Continuity Plan in Draft status from the Business Continuity Plan Search and List page. Alternatively, it can be selected from the Inbox for an allotted Business Continuity Plan. The Plan Details page is displayed.

3. Click **Edit**. The editable fields are enabled in the Plan Details page.

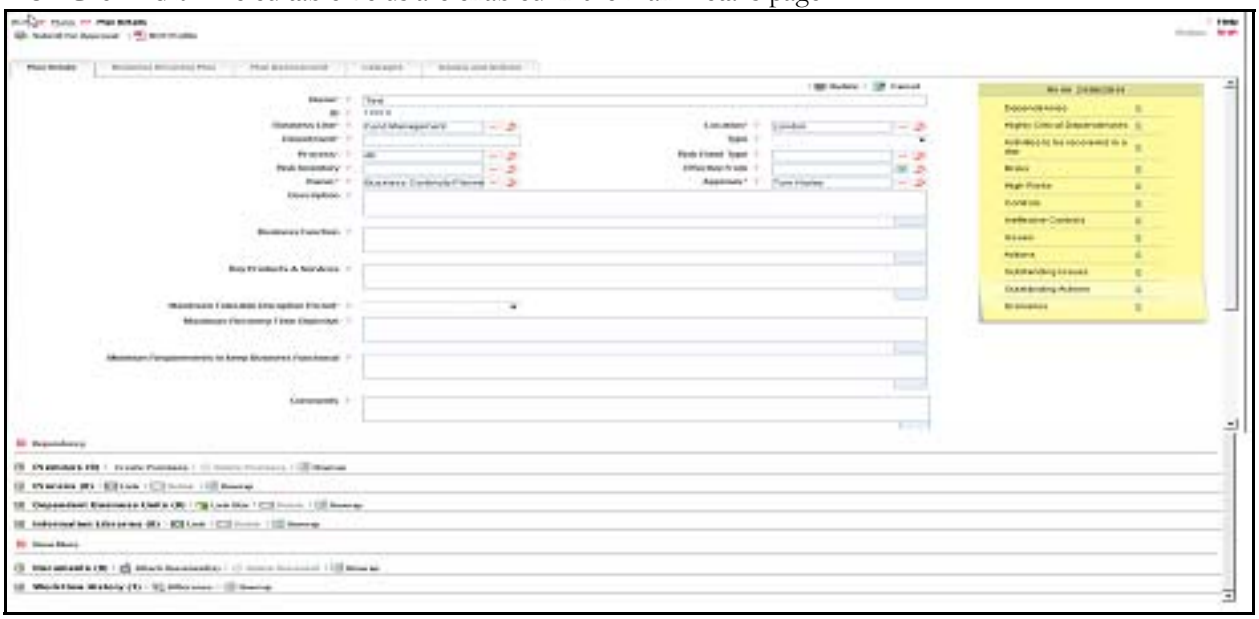


**Figure 466. Editing of a Business Continuity Plan**

4. Modify the necessary information. For more information about the Plan Details page, refer Components of the Plan Details tab.
5. Click **Update**. The following message is displayed: *Update Operation Successful.*
6. Click **OK** to confirm the changes. The updated Plan Details page is displayed.

**Note:** The following sections can be edited in Draft or In Review status:

- Plan Details
- Premises
- Process
- Dependent Business Units
- Information Libraries
- Business Recovery Plan
- Assessment
- Linkages
- Issues and Actions
- Documents

### Viewing Additional Information

The Additional Information section allows you to view general details of a particular Business Continuity Plan like Premises, Linked Business Units, and so on.

To view Additional Information, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.

2. Select the **Business Continuity Plan ID**. The Plan Details page is displayed with Additional Information.

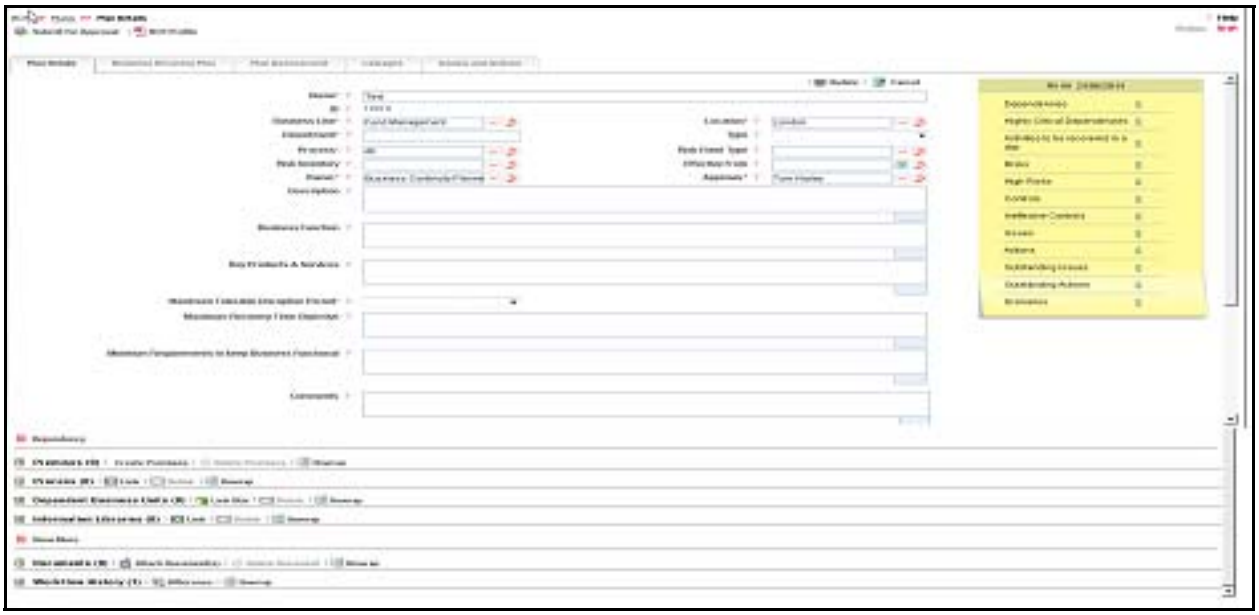


**Figure 467. Additional Information and Metrics section**

### Attaching and Deleting Documents

The Plan Details page allows you to attach or delete documents related to a Business Continuity Plan. Users mapped to the role of Business Continuity Plan Owner, or Business Continuity Plan Approver can attach and delete documents related to the Business Continuity Plan.

For more details on attaching and deleting documents, refer to *Chapter 3: General Features, Managing Documents* section

### Viewing Workflow History

The Workflow History section shows the audit trail of changes made to the Plan Details. Users mapped to the role of Business Continuity Plan Owner, or Business Continuity Plan Approver can view the workflow history.

For more details, refer to *Chapter 3: General Features, Viewing Workflow History* section

The following table explains the audit entry, the action owner, and the status in the Workflow History section.

**Table 272. Audit Entry in Workflow History section**

| Pre-action Status | Post Action Status | Action | Action Taker | Audit Entry |
|---|---|---|---|---|
| New | Draft | Save Business Continuity Plan | Business Continuity Plan Owner | Business Continuity Plan Created |
| Draft | Draft | Save Draft Business Continuity Plan | Business Continuity Plan Owner | Plan Details updated |
| Draft | Pending Approval | Submit | Business Continuity Plan Owner | Business Continuity Plan Submitted |

**Table 272. Audit Entry in Workflow History section**

| | | | | |
|---|---|---|---|---|
| Pending Approval | Open | Approve | Business Continuity Plan Approver | Business Continuity Plan approved |
| Open | Open | Submit | Business Continuity Plan Owner | Business Continuity Plan submitted |
| Pending Approval | In Review | Reject | Business Continuity Plan Owner | Business Continuity Plan Rejected |
| In Review | In Review | Review | Business Continuity Plan Owner | Business Continuity Plan reviewed |

## Managing Premise Details

The Business Plan Details page allows you to create a Premise to a Business Continuity. The user mapped to Business Continuity Plan Owner role can create a Premise. You can Create Premise when the Business Continuity Plan is in Draft.

This section covers the following topic:

- Creating a Premise for Dependencies
- Deleting Premises from Dependencies

### Creating a Premise for Dependencies

To create a Premise, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID**. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Premises** option will be enabled.

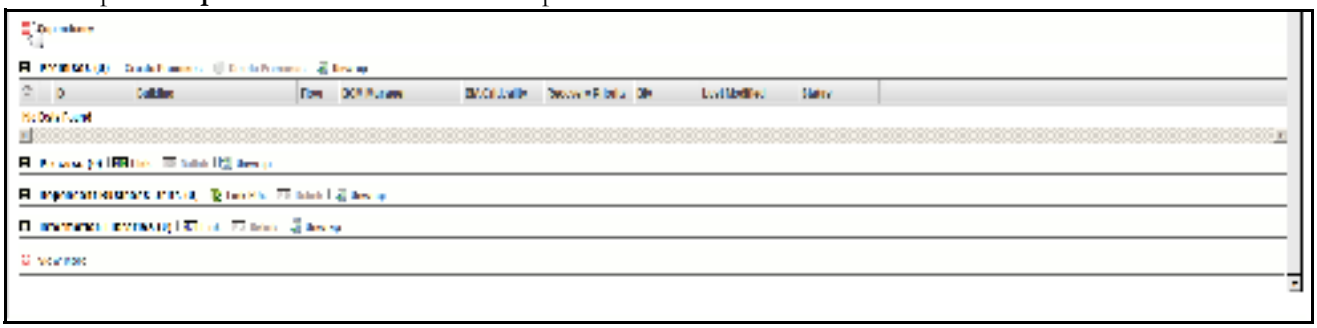


**Figure 468. Plan Details page**

4. Click **Create Premises**.

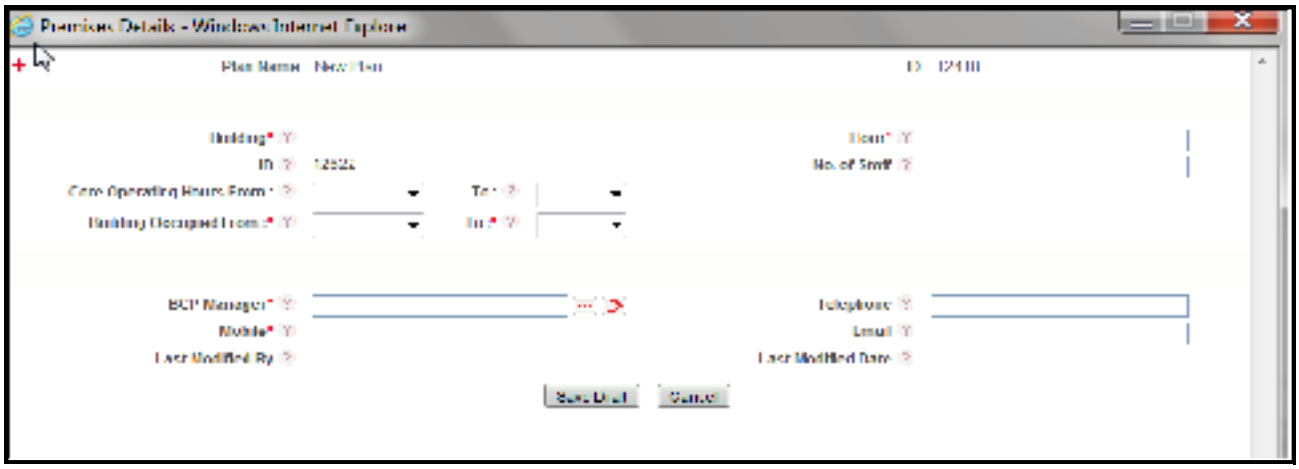


**Figure 469. Creating Premise**

5. Enter the required details and click **Save Draft**. A confirmation message is displayed: *Add Operation Successful.* Click **OK**.

**Table 273. Premises Details page**

| Field | Description |
|---|---|
| Plan Name | Displays the Plan name. |
| ID | Displays the sequential tracking number given to a Business Continuity Plan. (system generated) |
| Building | Enter the name of Building/Premises. This field allows you to enter a maximum of 300 characters. |
| Floor | Enter the details of floor. This field allows you to enter a maximum of 300 characters. |
| ID | Displays the sequential tracking number given to a Premise. (system generated) |
| No of Staff | Enter the number of staff in the building or the specified floor. |
| Core Operating Hours<br>From<br>To | Select the hour details of operation from **From** and **To** drop-down lists. These drop-down lists have 00 to 23 (hours) values. |
| Building Occupied<br>From<br>To | Select the building occupation details from **From** and **To** drop-down lists. These drop-down lists have 00 to 23 (hours) values. |
| BCP Manager | Select the name of BCP Manager from the hierarchy browser. |
| Telephone | Enter the Telephone number of BCP Manager. This field allows a maximum of 30 numeric values. |
| Mobile | Enter the Mobile number of BCP Manager. This field allows you to enter a maximum of 30 numeric values. |
| Email | Enter the Email Address of BCP Manager. This field allows you to enter a maximum of 300 characters. |

**Table 273. Premises Details page**

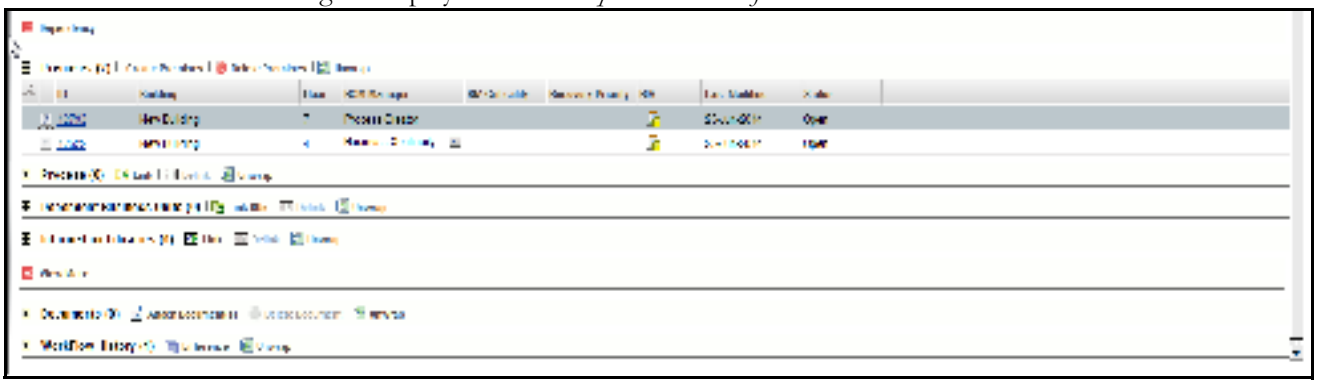
| | |
|---|---|
| Last Modified By | Shows the name of person who has updated the Premise details previously. This field will be automatically updated after clicking **Save Draft**. |
| Last Modified Date | Shows the date on which the Premise details were last updated. This field will be automatically updated after clicking **Save Draft**. |

6. After creating a draft, click **Submit** to save and submit the changes. A confirmation message is displayed: *Update Operation Successful.* Click **OK**.

### Deleting Premises from Dependencies

To delete a Premise, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID**. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Premises** option will be enabled.
4. Select the Premises and click **Delete Premises**. A message is displayed: *Are you sure you want to De-link this Record?* Click **Ok** to continue.
5. A confirmation message is displayed: *De-link Operation Successful.* Click **Ok**.



## Managing Processes

The Business Plan Details page allows you to link a process to a Business Continuity. The user mapped to Business Continuity Plan Owner role can link or delink a Process. You can link or delink a Process when the Business Continuity Plan is in Draft status.

This section covers the following topics:

- Linking Process
- Delinking Process

### Linking Process

To link a process to Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.

3. Expand **Dependencies**. The **Process** option will be enabled.

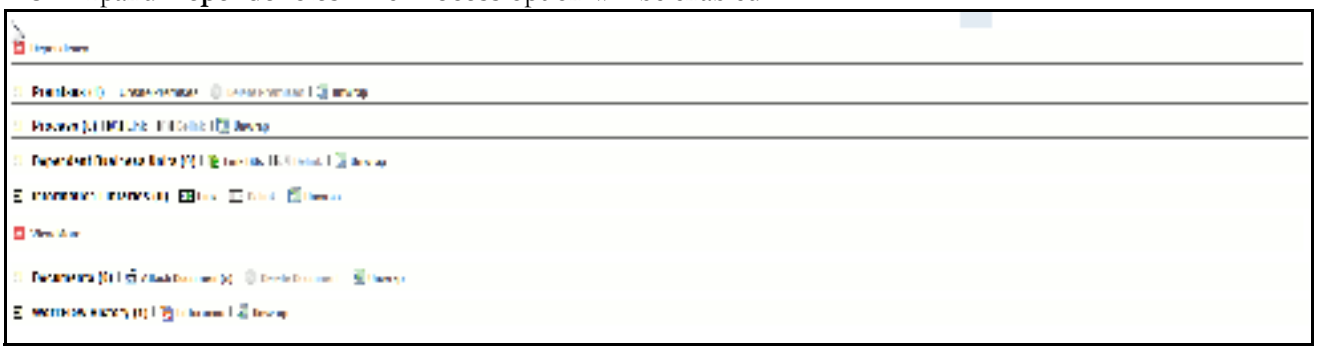


**Figure 470. Linking Process to Plan**

4. Click **Link**. The Process Details window will display.

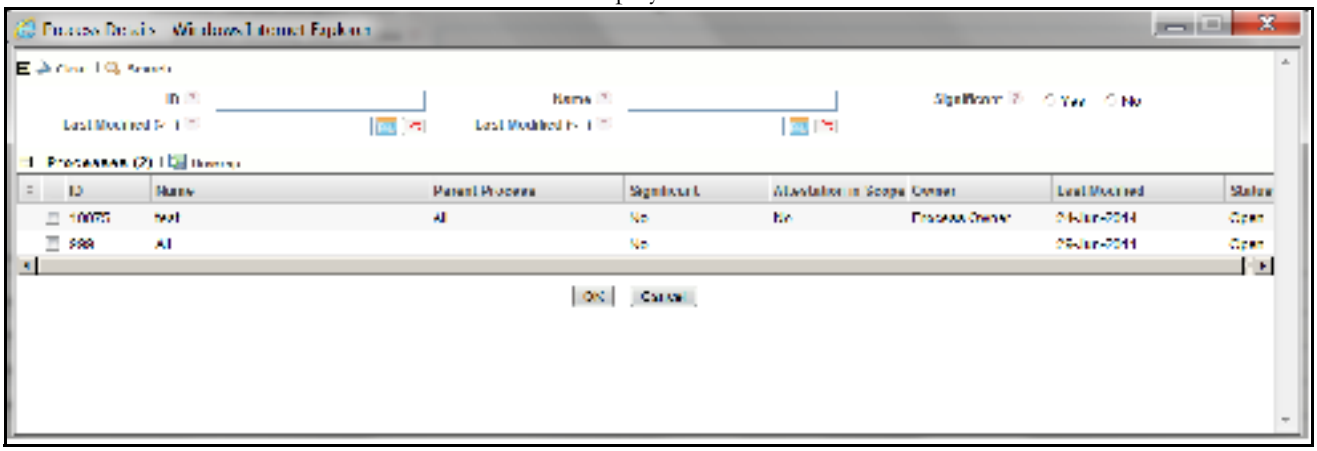


**Figure 471. Process Details**

5. Select the **Process** and click **OK**. A message is displayed: *Records Linked Successfully.* Click **OK**.

### Delinking Process

To delink a process from Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Process** option will be enabled.
4. Select a Process and click **Delink.** A message is displayed: *Are you sure you want to de-link this Record?*
5. Click **OK**. A confirmation message is displayed: *De-link Operation Successful.* Click **OK**.

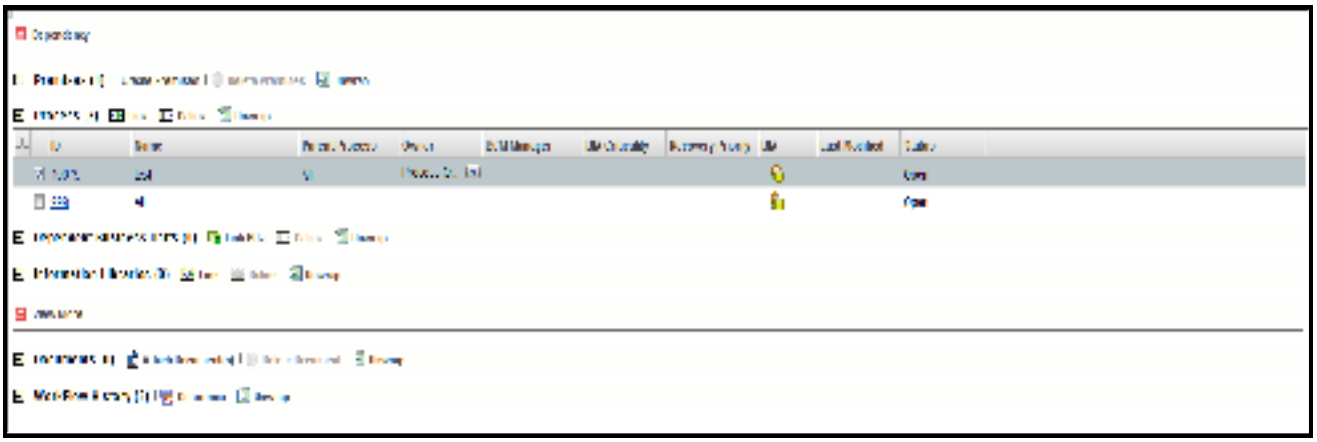


**Figure 472. Delinking Process from Plan**

## Managing Dependent Business Units

The Business Plan Details page allows you to link a Business Unit to a Business Continuity. The user mapped to Business Continuity Plan Owner role can link a Business Unit. You can link or delink a Business Unit when the Business Continuity Plan is in Draft status.

This section covers the following topics:

- Linking Dependent Business Units
- Delinking Dependent Business Units

### Linking Dependent Business Units

To link a business unit to Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Dependent Business Units** option will be enabled.

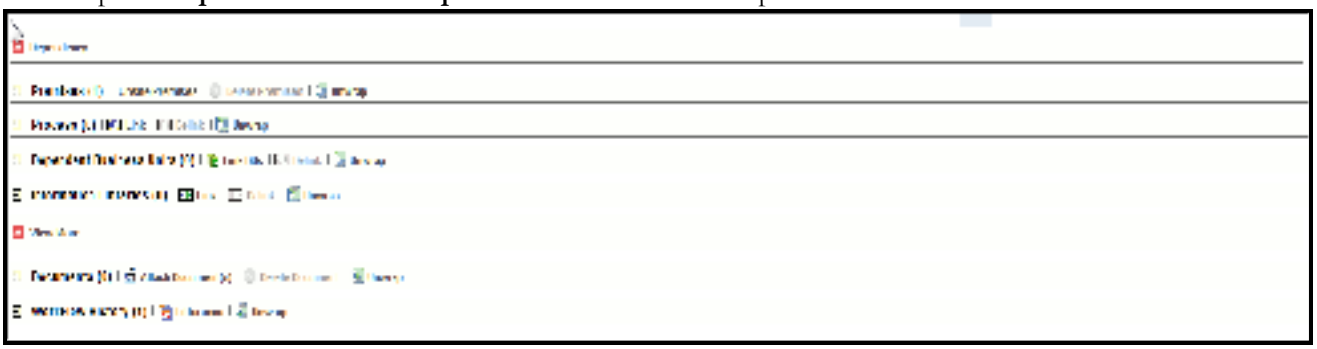


**Figure 473. Linking business Unit to Plan**

4. Click **Link BUs**. The Business Units window will display.



**Figure 474. Business Units**

5. Select the **Business Unit** and click **Ok**. A message is displayed: *Records Linked Successfully.* Click **OK**.

### Delinking Dependent Business Units

To delink a business unit from Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Dependent Business Units** option will be enabled.
4. Select a Business Unit and click **Delink.** A message is displayed: *Are you sure you want to de-link this Record?*
5. Click Ok. A confirmation message is displayed: *De-link Operation Successful.* Click **OK**.

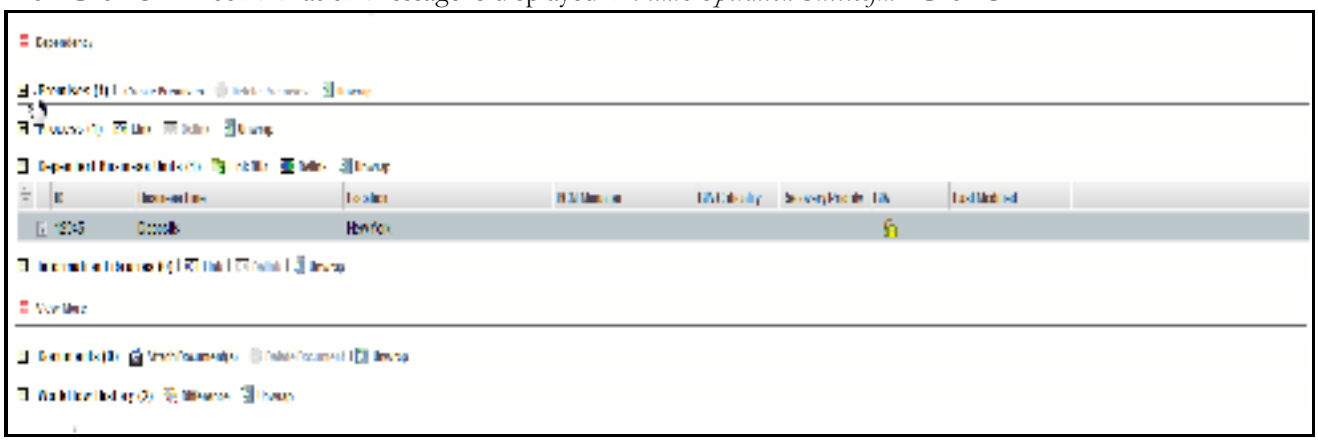


**Figure 475. Delinking Dependent Business Units from Plan**

## Managing Information Libraries

The Business Plan Details page allows you to link an Information Library to a Business Continuity. The user mapped to Business Continuity Plan Owner role can link an Information Library. You can link or delink an Information Library when the Business Continuity Plan is in Draft status.

This section covers the following topics:

- Linking Information Library

- Delinking Information Library

### Linking Information Library

To link an information library to Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Information Libraries** option will be enabled.

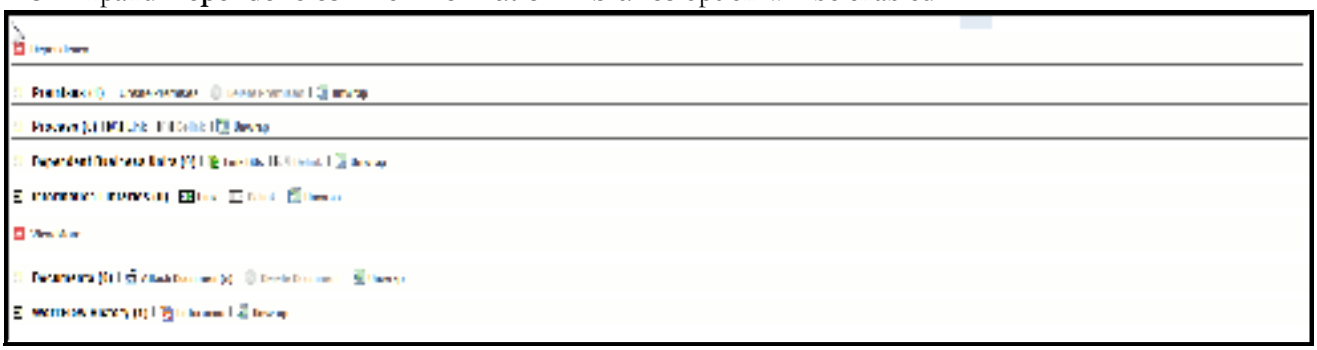


**Figure 476. Linking Information Library to Plan**

4. Click **Link.** The Impacts window will display.

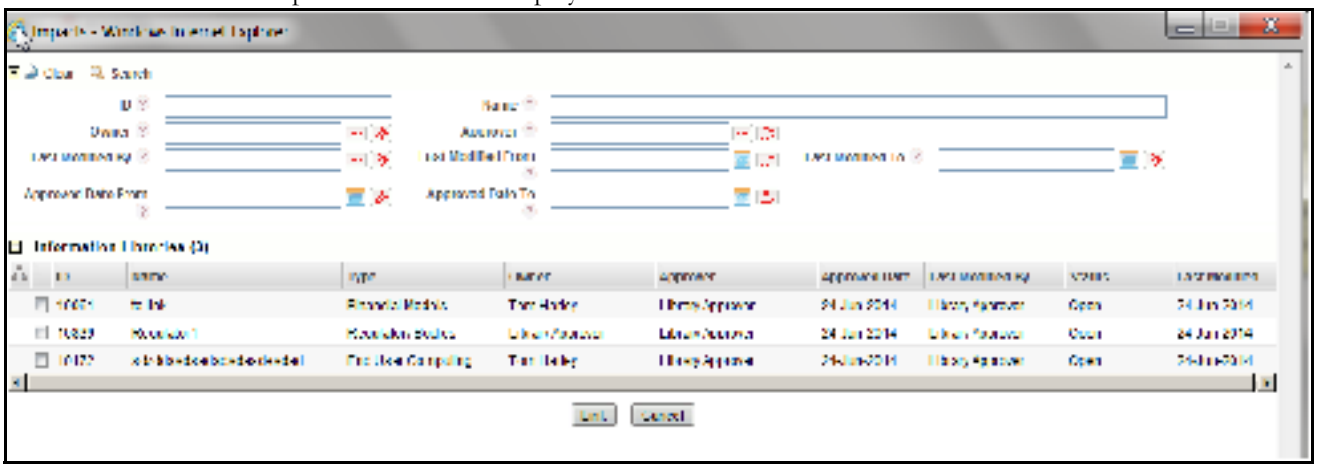


**Figure 477. Information Libraries**

5. Select the **Information Library** and click **Link**. A message is displayed: *Records Linked Successfully.*

### Delinking Information Library

To delink an information library from Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.
3. Expand **Dependencies**. The **Information Libraries** option will be enabled.
4. Select an Information Library and click **Delink.** A message is displayed: *Are you sure you want to de-link this Record?*

5. Click Ok. A confirmation message is displayed: *De-link Operation Successful.*

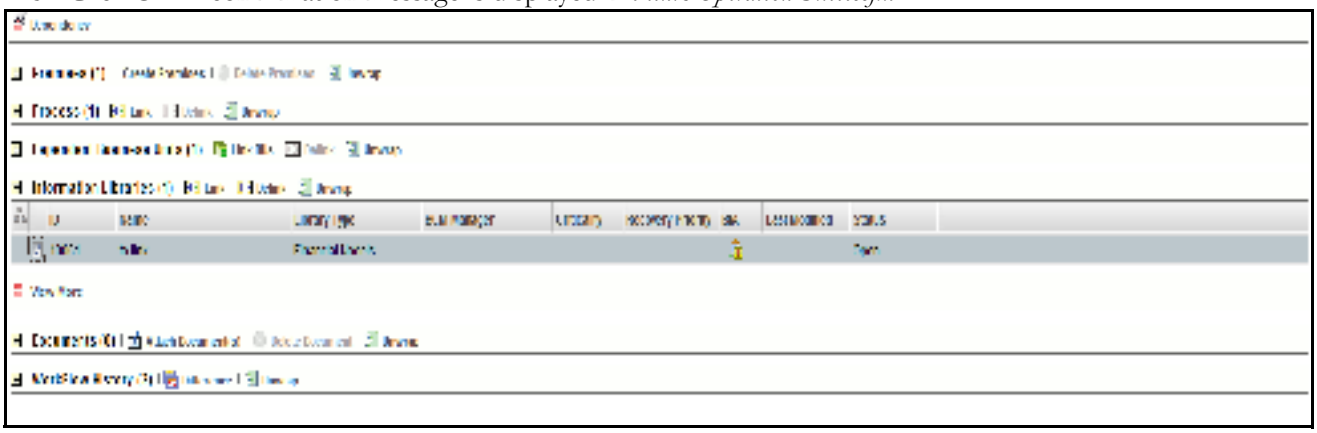


**Figure 478. Delinking Information Libraries from Plan**

## Managing Business Recovery Plan

The Recovery plan is required for business continuity in the event of a disaster that destroys part or all of a business's resources, including IT equipment, data records and the physical space of an organization.

The Business Recovery Plan Details page allows you to create a plan for a Business Continuity. The user mapped to Business Continuity Plan Owner role can create a Recovery Plan. You can create a Recovery Plan when the Business Continuity Plan is in Draft status.

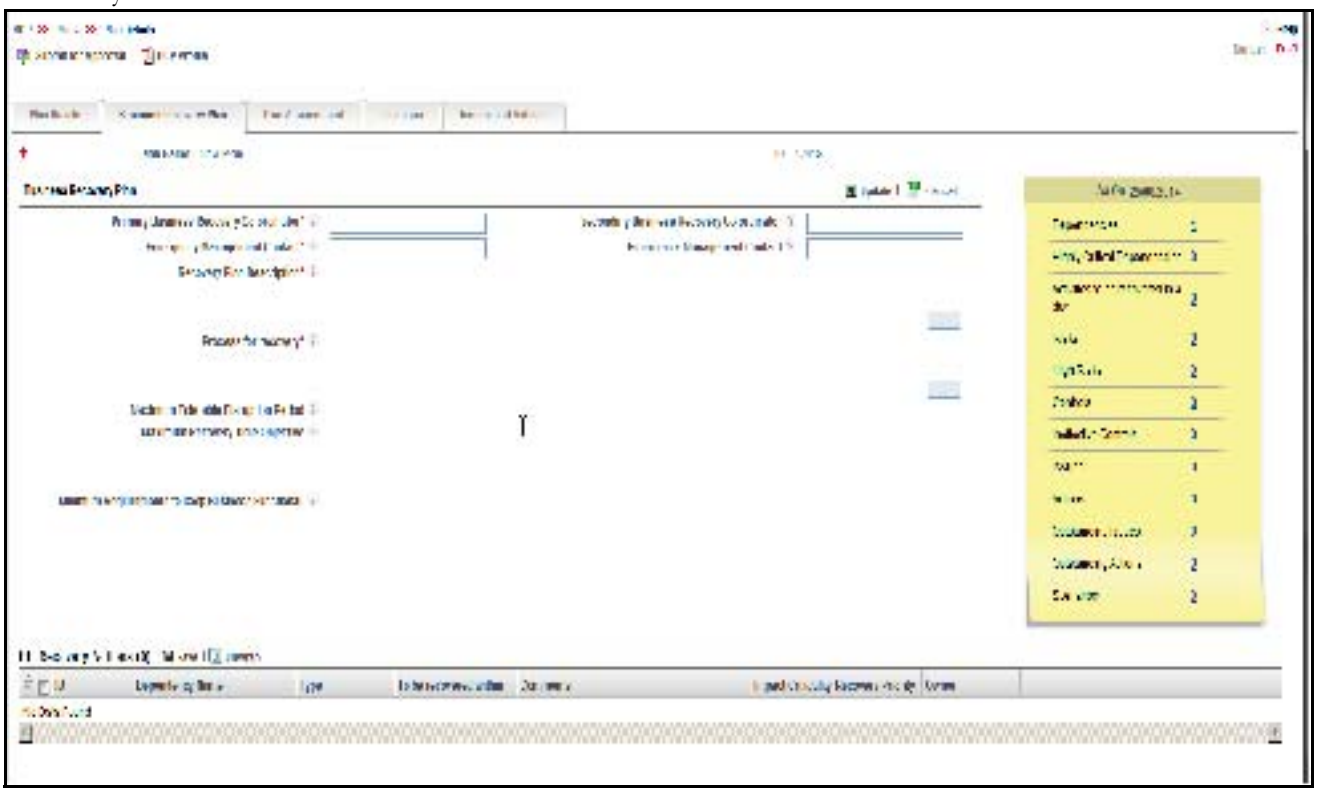


**Figure 479. Business Recovery Plan**

### Creating a Recovery Plan

To create a Recovery Plan for Business Continuity, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft status. The Plan Details page is displayed.
3. Click **Business Recovery Plan** tab.

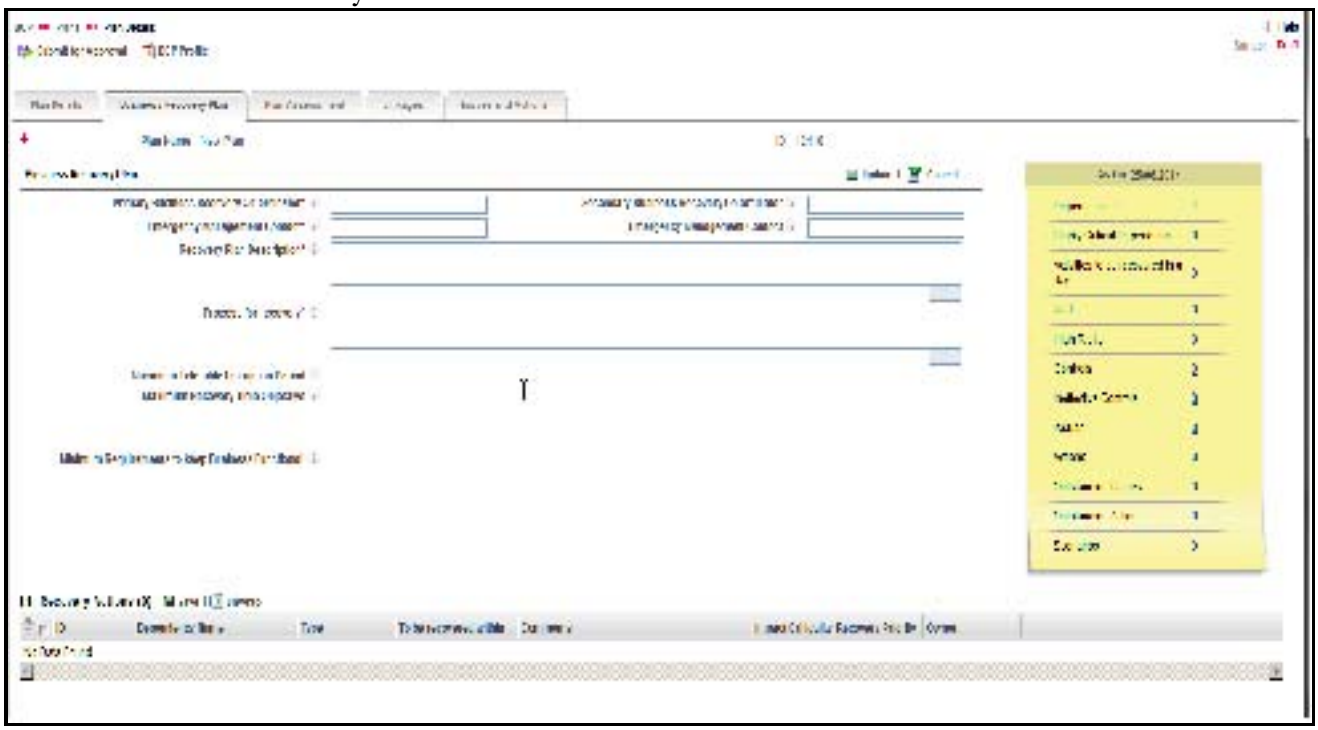


**Figure 480. Creating a Business Recovery Plan**

4. Enter the required details and click **Update**. The following table describes the fields of this page.

**Table 274. Fields in Business Recovery Tab Field**

| Field | Description |
|---|---|
| Primary Business Recovery Co-ordinator* | Enter the details of Primary Contact Person/ Coordinator for the Recovery Plan. This field allows you to enter a maximum of 300 characters. |
| Emergency Management Contact* | Enter the contact number of the Primary Business Recovery Co-ordinator. This field allows you to enter a maximum of 30 numeric values. |
| Secondary Business Recovery Co-ordinator | Enter the details of Secondary Contact Person/ Coordinator for the Recovery Plan. This field allows you to enter a maximum of 300 characters. |
| Emergency Management Contact | Enter the contact number of the Secondary Business Recovery Co-ordinator. This field allows you to enter a maximum of 30 numeric values. |
| Recovery Plan Description* | Enter a brief description of the Recovery Plan.<br>The description field in the Plan Details page allows entering a maximum of 3000 characters.<br>This field shows the count of words as you entering the description.<br>If you try to enter more than 3000 characters in the Description field, the application displays the following message: *Number of characters exceeded.* |

**Table 274. Fields in Business Recovery Tab Field**

| | |
|---|---|
| Processes for Recovery* | Define the measures or steps those have to be taken as a part of the Recovery Plan.<br>If you try to enter more than 3000 characters in this field, the application displays the following message: Number of characters exceeded. |
| Maximum Tolerable Disruption Period* | Enter the Maximum Time period up to which the disruption in the business can be sustained or tolerated, from the drop-down list.<br>The following values are possible for the Maximum Tolerable Disruption Period drop-down list:<br>● Less than 1 minute<br>● 1 - 5 minutes<br>● 5 - 30 minutes<br>● 30 - 60 minutes<br>● 1 - 4 hours<br>● 4 - 24 hours<br>● 1 - 2 days<br>● 2 - 6 days<br>● 6 - 15 days<br>● 15 -30 days<br>● Above 30 days |
| Maximum Recovery Time Objective | Enter the Objective of the recovery which has to be completed within the Maximum Time period within which the disruption in the business has to be corrected and return to Business as usual (BAU).<br>If you try to enter more than 3000 characters in this field, the application displays the following message: Number of characters exceeded. |
| Minimum Requirements to Keep Business Functional | Enter the details of minimum requirements those are required to keep the business functioning without any hindrances.<br>If you try to enter more than 3000 characters in this field, the application displays the following message: *Number of characters exceeded.* |

## Managing Plan Assessment

Plans in In Review status can be assessed to check their effectiveness in mitigating risks. The user who is mapped to Challenger Role can create, edit, or delete the BCP challenges.

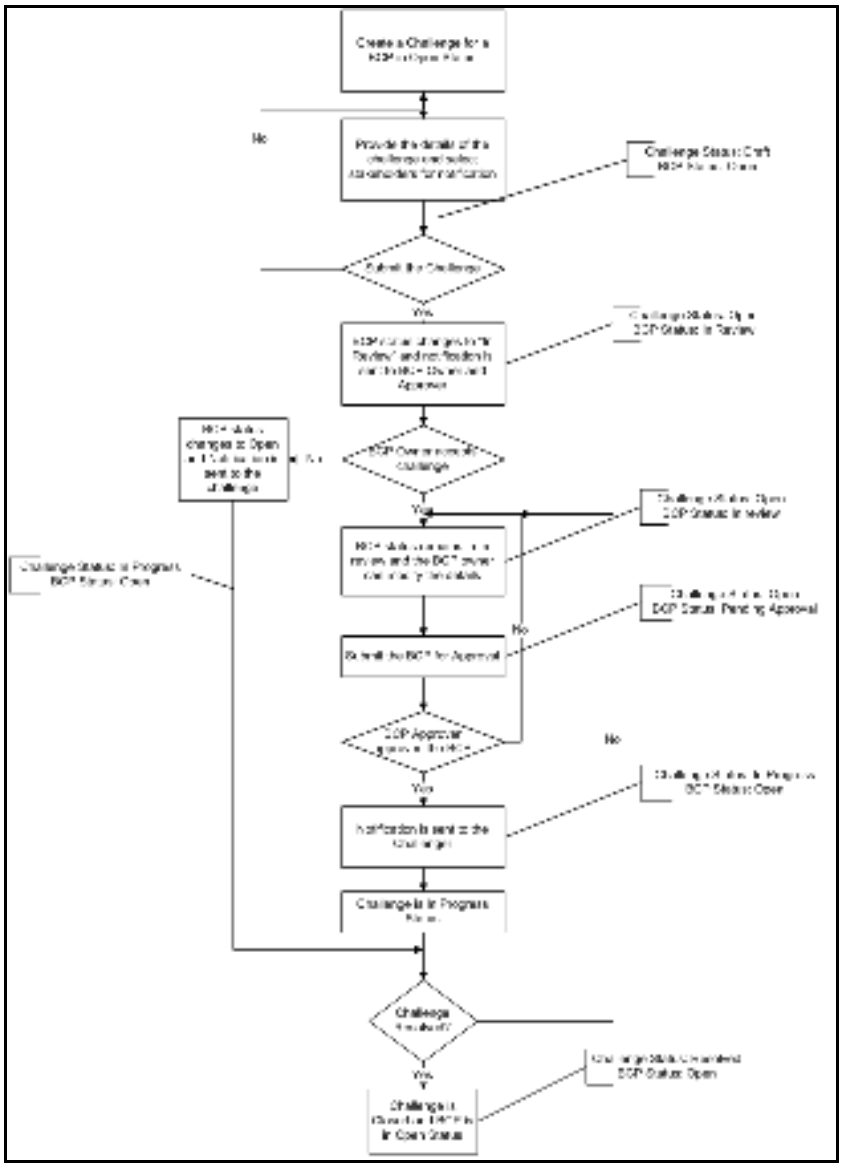


**Figure 481. Workflow of Challenge**

This section covers the following topics:

- Creating a Challenge
- Editing of Challenge
- Deleting a Challenge

### Creating a Challenge

To create a Challenge, follow the steps given below:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Open status. The Plan Details page is displayed.

3. Click **Plan Assessment** tab. Click **Challenge BCP** button from Challenges section.

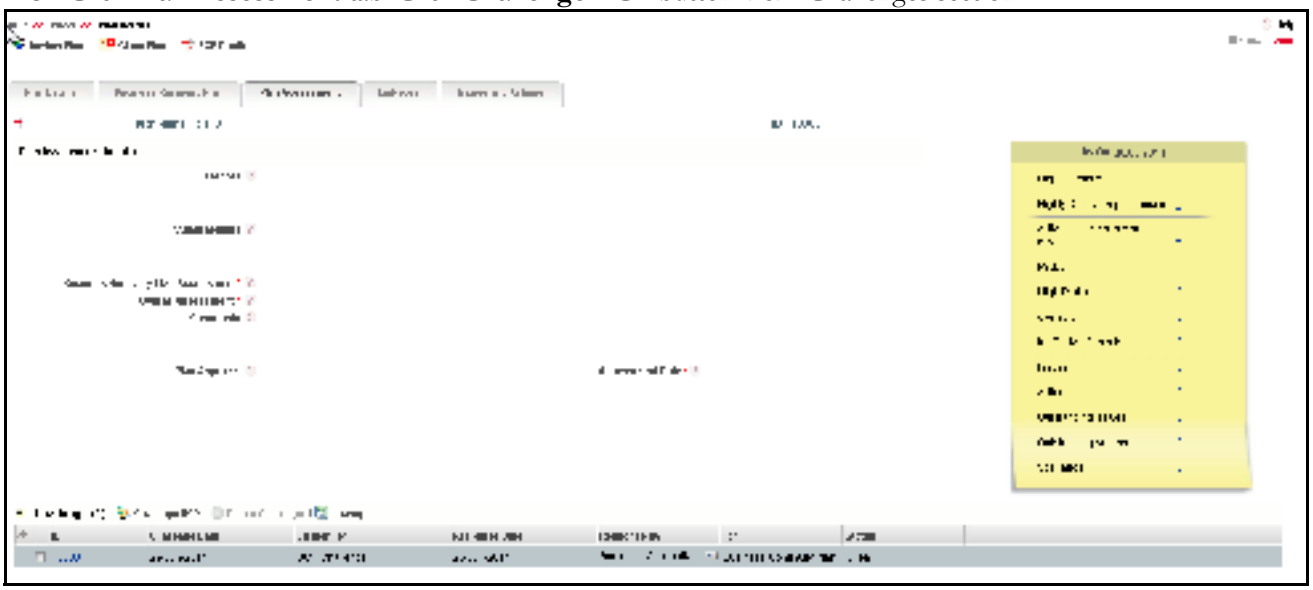


**Figure 482. Plan Assessment Details Page**

4. The Challenge Details window is displayed.

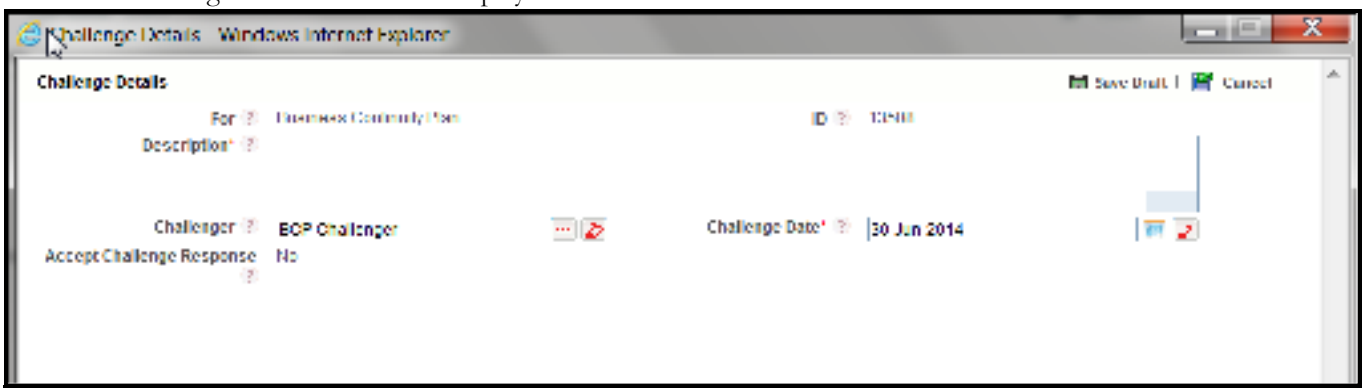



**Figure 483. Creating a Challenge**

5. Enter the required details and click Save Draft. The following message is displayed: *Add Operation Successful.* Click **OK**.

6. Click **Link** on Challenge Details page to link the user who will receive the notification.




**Figure 484. Challenge Details page**

7. Select the user from hierarchy browser and click **OK**. A confirmation message is displayed: *Add Operation Successful.* Click **OK**.

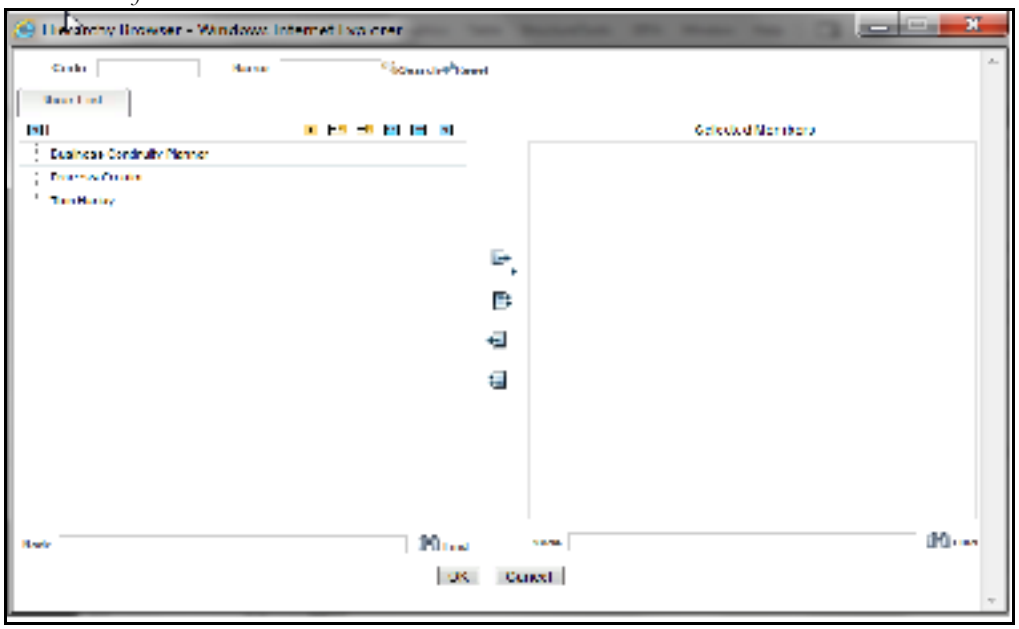


**Figure 485. Linking a User**

8. Click **Submit** on Challenge Details page. You will be directed back to Plan Assessment page to view the created Challenge.

### Editing of Challenge

To edit a Challenge, follow the steps given below:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Open status. The Plan Details page is displayed.

3. Click **Plan Assessment** tab. Click existing Challenge hyper link in Open status from Challenges section. The Challenge Details page will be displayed for editing.

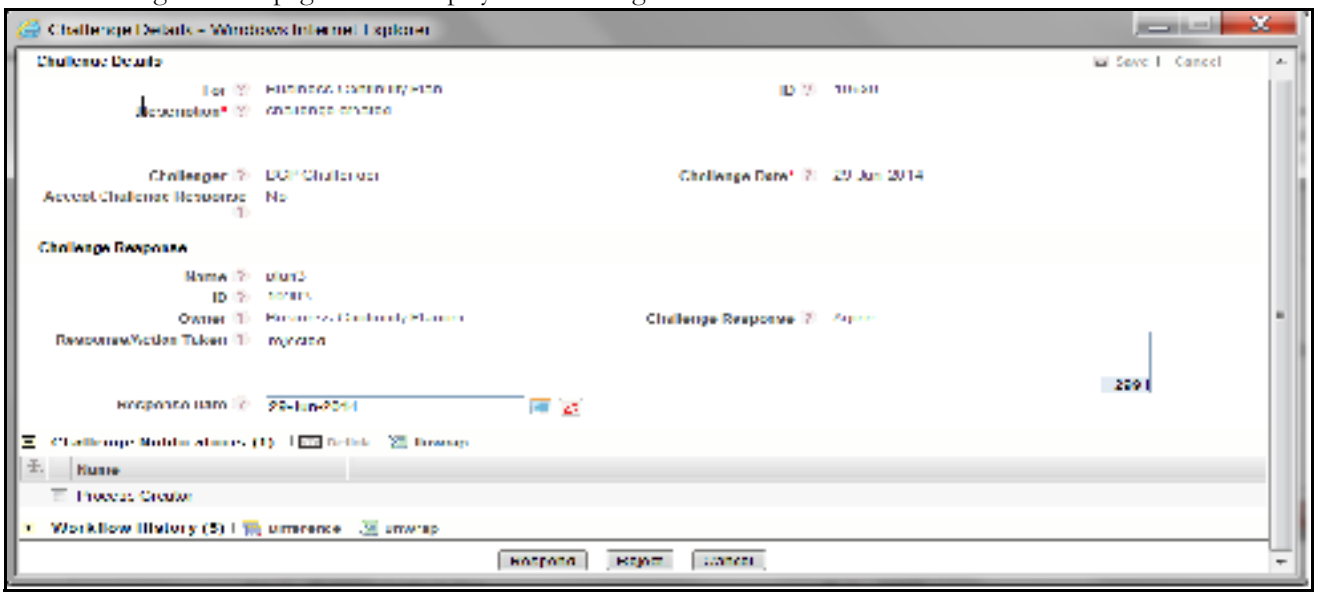


**Figure 486. Editing the Challenge in Open status**

**Note:** If the Challenge is in Draft status, you can edit the following details of Challenge: Description, Challenger, Accept Challenge response, Challenge Date, Name, Owner, Challenge response, Response/Action taken, and Response Date.

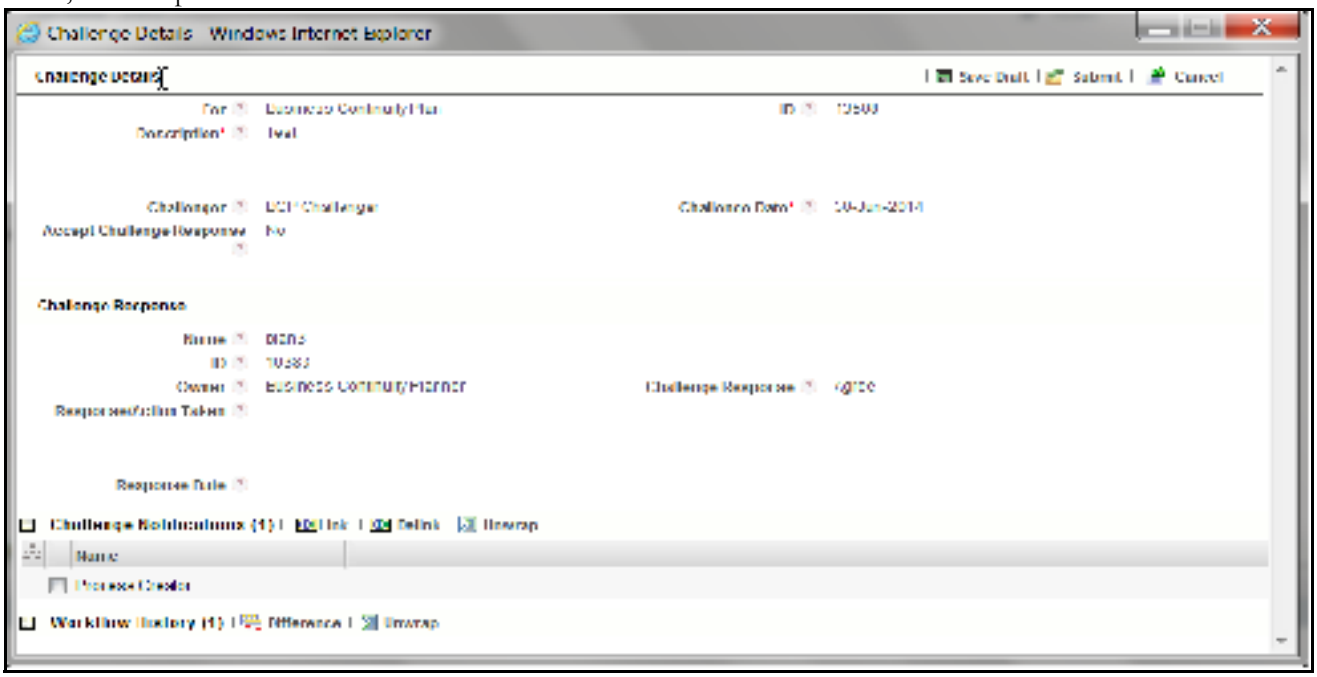


**Figure 487. Editing the Challenge in Draft status**

**Note:** If the Challenge is in In Progress status, you can edit the following details of Challenge: Description, Challenger, Accept Challenge response, Challenge Date, Name,Owner, Challenge response, Response/Action taken, and Response Date.

4. Enter the comments in **Response/Action Taken** field (Reason for rejecting the challenge or description of the action taken on accepting a challenge) and edit the **Response Date** if required.
5. Click **Respond** or **Reject** to accept or reject the Challenge.

### Deleting a Challenge

To delete a Challenge, follow the steps given below:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Open status. The Plan Details page is displayed.
3. Click P**lan Assessment** tab. Select the Challenge in Draft or In Progress status from Challenges section.

   **Note:** You cannot delete a Challenge, if it is Open status.

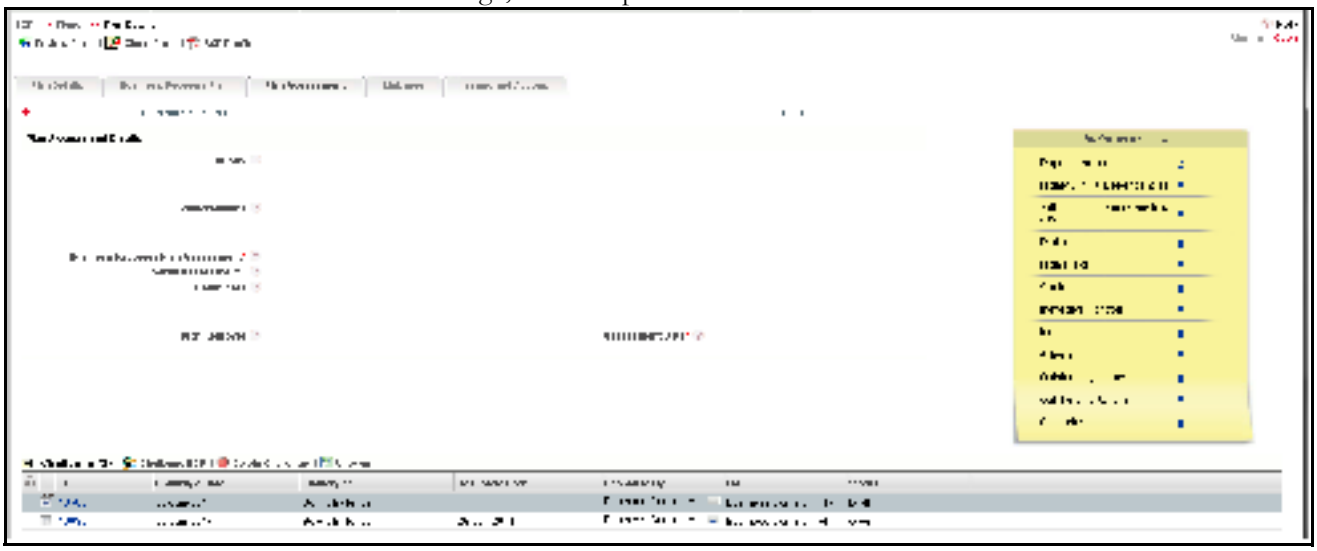


**Figure 488. Deleting Challenge**

4. Click **Delete Challenge.** The following message is displayed: *Are you sure you want to delete this Record?*
5. Click **OK**. The following message is displayed: *Delete Operation Successful.* Click **OK.**

## Managing Linkages

The Linkages tab allows you to link or delink the different entities to Business Continuity Plans in Draft, or In Review status.

Users mapped to the role of Business Continuity Plan Owner can access the Linkages tab.

The Linkages tab displays the following sections:

- **Risks**: Allows you to link or delink the risk that is asscoicated to the Business Continuity Plan which led to this Business Continuity Plan.
- **Controls**: Allows you to link or delink the control failure which resulted in this Business Continuity Plan occur.
- **Obligations:** Allows you to link or delink the Non- compliant or partially compliant Obligation.

- **Key Indicators:** Allows you to link or delink a Key Indicator with Business Continuity Plan. Key Indicators could indicate the occurrence of Business Continuity Plan. There is an option to select the Key Indicator type. Key Indicator can be **Lag** or **Predictive**.
- **Internal Incidents:** Allows you to link or delink Internal Incidents which have occurred in the origination.
- **Scenarios:** Allows you to link or delink a Scenario with the Business Continuity Plan.
- **Compliance:** Allows you to link or delink a Compliance with the Business Continuity Plan.
- **Insurance Policies:** Allows you to link or delink the Insurance Policies with the Business Continuity Plan.

**Note:** The columns in each of the sections are the same as available in the respective Search and List page.

To link or delink Risks, Controls, Key Indicators, Obligations, Internal Incidents, Scenarios, Compliance, or Insurance Policies, follow these steps:

1. Navigate to the Plan Details page.
2. Click **Linkages**. The Linkages page is displayed.

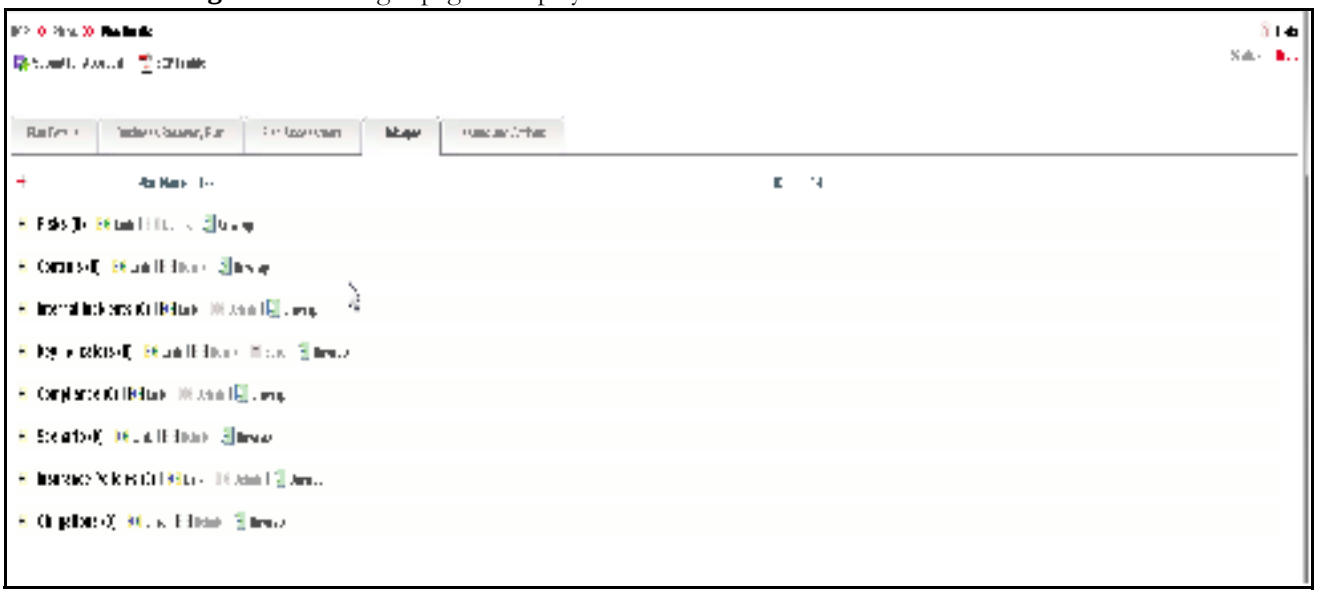


**Figure 489. Linkage Tab**

**Note:** For more information on linking or delinking, refer to *Chapter 3: General Features, Managing Linkages* section.

## Managing Issues and Actions

An Issue is a problem statement and Actions are plans or activities taken up to resolve those issues. You can create, link and delink, and delete Issues and Actions associated to the Business Continuity Plans.

This section covers following topics:

- Creating Issues
- Creating Actions through Issues
- Creating Actions Directly
- Linking and Delinking Issues and Actions
- Deleting an Issue

- Deleting an Action
- Closing Issues and Actions

### *Creating Issues*

When you identify a particular issue or a problem statement that poses an operational risk to an organization, you can create issues and necessary action plans to resolve or address those issues.

Users mapped to the role of Business Continuity Plan Owner, Business Continuity Plan Approver can create issues from the Business Continuity Plan module.

**Note:** The Business Continuity Plan must be in In Review, or Pending Approval status to create Issues. In Admin module, the Application preference for Issue creation should be selected as Yes.

To create an Issue, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in In review or Pending approval status. The Plan Details page is displayed.
3. Click **Create Issue**. The Issue Details page is displayed.

For more information on fields in the Issue Details page, refer to Managing Business Continuity Plans.

If an issue is initiated from the Business Continuity Plans section, the Component field in the Issue Details page displays as Business Continuity Plan and the Primary Source field displays the Business Continuity Plan Name.

### *Creating Actions through 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 Business Continuity Plan Owner, Business Continuity Plan Approver can create issues from the Business Continuity Plan module.

**Note:** The Business Continuity Plan must be in Draft, In Review, or Pending Approval status to create Issues.

For more information on Creating Actions for Issues, refer to *Chapter 8, Managing Issues and Actions*.

### *Creating Actions Directly*

You can directly create Actions if Issue Creation is turned off. This feature is configured during the installation of the OFSOR application or can be configured later.

Users mapped to the role of Business Continuity Plan Owner, Business Continuity Plan Approver can create actions from the Business Continuity Plan module.

**Note:** To create actions directly, the Business Continuity Plan must be in Draft status.

To create actions directly, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID**. The Plan Details page is displayed.
3. Click **Create Actions**. The Actions Details page is displayed.

   For more information on Creating Actions for Issues, refer to *Chapter 8, Managing Issues and Actions*.

If an Action is initiated from the Business Continuity Plans section, the Component and Primary Source fields in the Actions Details page displays as Business Continuity Plan and Business Continuity Plan Name respectively.

### *Linking and Delinking Issues and Actions*

The Issues and Actions tab allows you to link and delink issues and actions to Business Continuity Plans. You can link existing issues or actions to the Business Continuity Plan. If the issue or action is created from the Business Continuity Plans module, the issue or action will be automatically shown in the issue or action list of the Business Continuity Plan.

Users mapped to the role of Business Continuity Plan Owner, Business Continuity Plan Approver can create issues from the Business Continuity Plan module.

**Note:** The Business Continuity Plan must be in Draft, In Review, Open, or Pending Approval status to link or delink the Issues.

If Issue creation is turned off in Application Preferences under Admin module, then Actions can be linked directly to a Business Continuity Plan.

To link or delink an Issue or Action, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click Business Continuity Plan **ID** in Draft, In Review, or Pending Approval status. The Plan Details page is displayed.
3. Click **Issues and Action**. The Issues and Actions section is displayed.

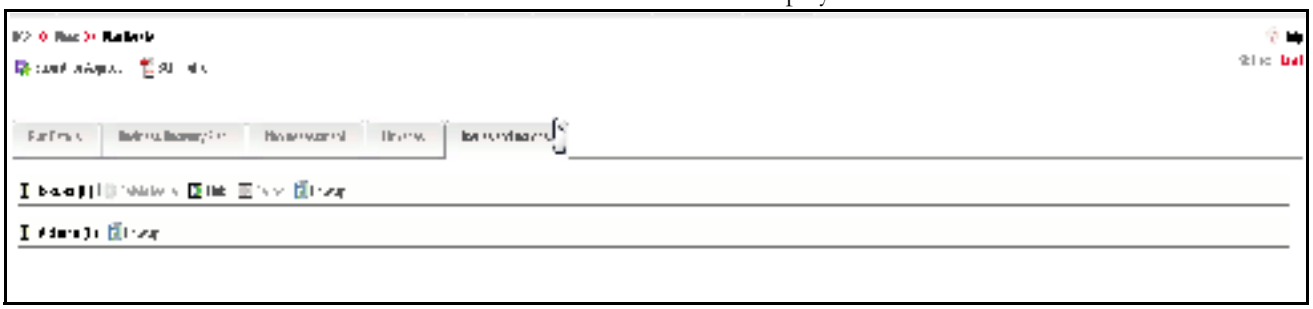


**Figure 490. Issues and Actions Tab**

For more information on linking and delinking Issues and Actions, refer to *Chapter 3: General Features, Managing Linkages* section.

### *Deleting an Issue*

Users mapped to the role of Business Continuity Plan Owner, Business Continuity Plan Approver can delete issues in Draft, In Review, or Pending Approval status if they are not applicable to the business or an organization.

### *Deleting an Action*

The Business Continuity Plan section allows you to delete action plans in Draft, In Review, or Pending Approval status. Users mapped to the role of Business Continuity Plan Owner, Business Continuity Plan Approver can delete the Actions in Draft status if Issue Creation is turned on.

If Issue Creation is turned off, users mapped to the role of Business Continuity Plan Owner, Business Continuity Plan Approver can delete Actions in Draft status linked to Business Continuity Plans.

For more information about Issues and Actions, refer to *Chapter 8, Managing Issues and Actions*.

### *Closing Issues and Actions*

Actions can be closed once they are complete. If all the actions for an Issue are addressed, then Issue can be closed. If an Action is abandoned mid-way, it can be force-closed. Once all the actions are closed, the Issue can be closed. Only users mapped to the role of Action Owner can close or force-close actions. Only an Issue Owner can close Issues.

For more information on closing Actions for Issues, refer to *Chapter 8, Managing Issues and Actions*.

## Approving Business Continuity Plans

A Business Continuity Plan which is in Pending Approval status can be approved by a Business Continuity Plan Approver. Only a Business Continuity Plan Approver of the Business Line and Location combination has the rights to approve the Business Continuity Plan in Pending Approval status.

To approve a Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Select a Business Continuity Plan in Pending Approval status. Alternatively it can also be selected from the Inbox. The Plan Details page is displayed.

**Note:**

- You can create or link Issues for the Business Continuity Plans.
- You can attach a document through the Documents tab.

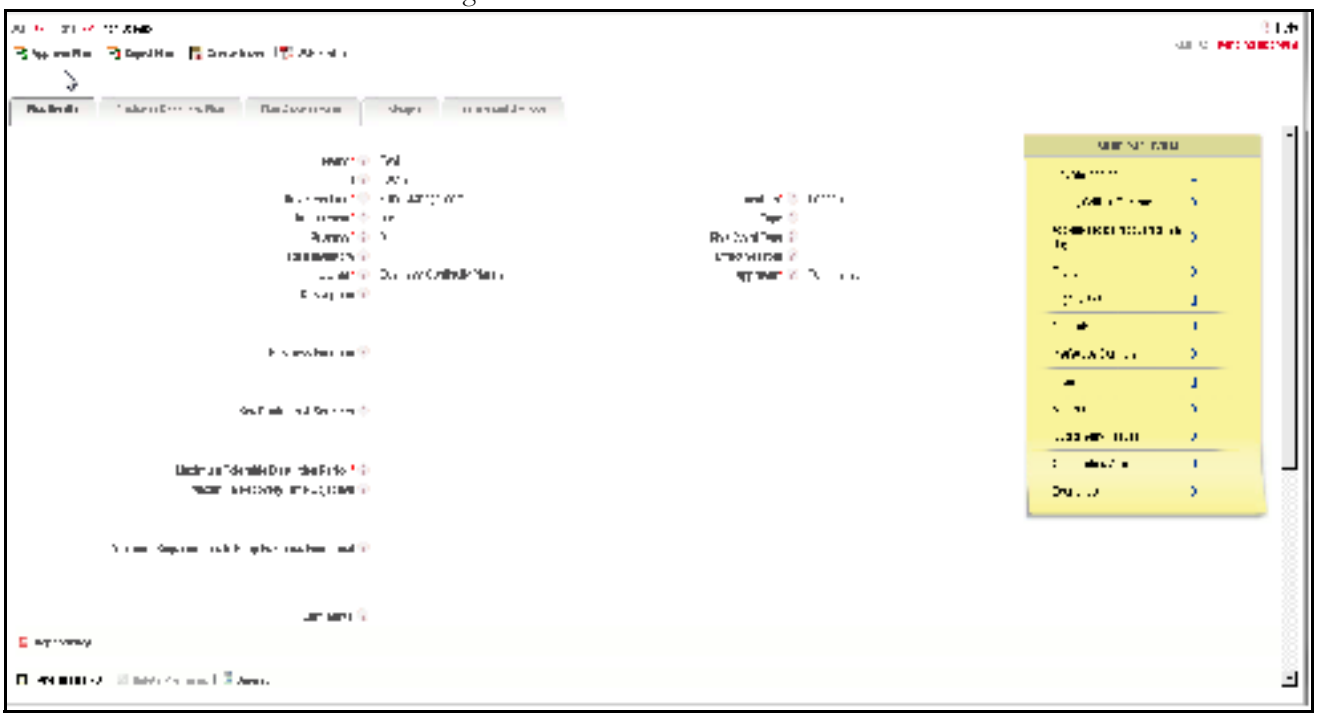


**Figure 491. Plan Details page**

3. Click **Approve Plan** to approve the Business Continuity Plan.

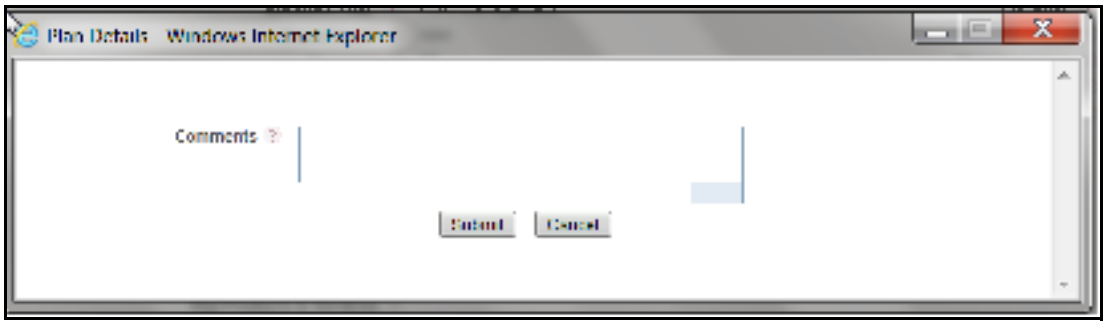



**Figure 492. Approving Business Continuity Plan**

4. Enter your comments and click **Submit** as applicable. The following message is displayed: *Update Operation Successful*. Click **OK**.

   **Note:** The Comments box in the pop-up window allows entering a maximum of 3000 characters.

5. Click **Back** to go back to the Plan Details page.

   **Note:** If the Business Continuity Plan is approved, it moves to Open status and if the Business Continuity Plan is rejected, it moves to Draft status.

## Rejecting a Business Continuity Plan

You can reject a Business Continuity Plan if Plan Details are not valid, or the Business Continuity Plan does not have complete details.

A Business Continuity Plan Approver can reject a Business Continuity Plan submitted by the Business Continuity Plan Owner from the Plan Details page. When a Business Continuity Plan Approver rejects a Business Continuity Plan, it goes back to the Business Continuity Plan Owner.

Only users mapped to the Business Continuity Plan Approver role can reject a Business Continuity Plan in Pending Approval status.

**When the Business Continuity Plan Approver rejects the Business Continuity Plan, the status of the Business Continuity Plan changes from Pending Approval to Draft.**

To reject a Business Continuity Plan, follow these steps.

1. Navigate to the Business Continuity Plan Search and List page.
2. Click a Business Continuity Plan ID in Pending Approval status that you want to reject. The Plan Details page is displayed.

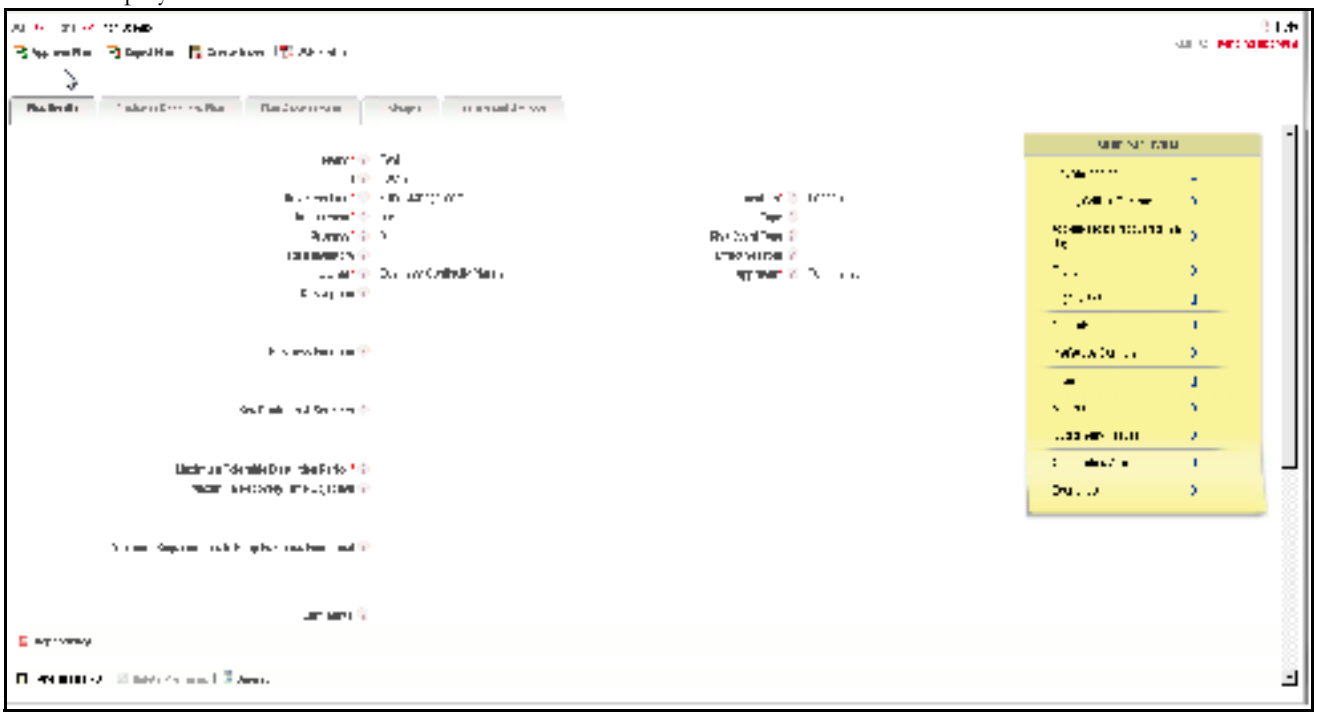


**Figure 493. Plan Details page**

3. Click **Reject Plan**.

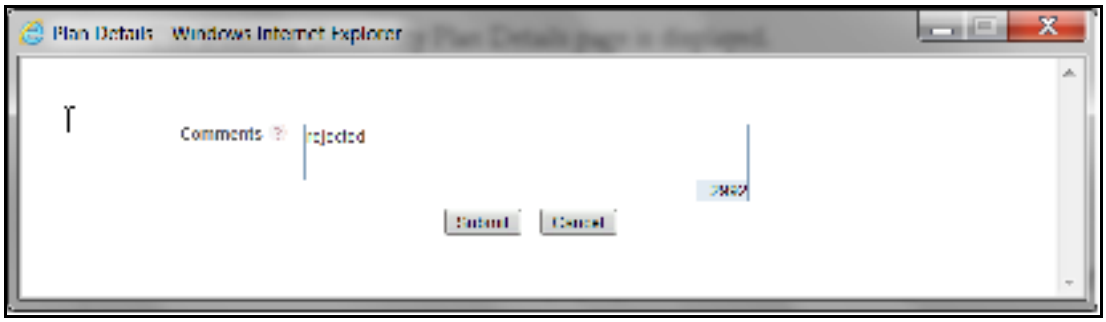



**Figure 494. Rejecting Business Continuity Plan**

4. Enter the rejection comments.

   **Note:** The Comments box in the pop-up window allows entering a maximum of 3000 characters.

5. Click **Submit**. The following message is displayed: *Update Operation Successful.*
6. Click **OK**. The system refreshes and displays the Business Continuity Plan in Draft status in the Business Continuity Plan Search and List page.

## *Reviewing Business Continuity Plans*

A Business Continuity Plan in In Review status can be reviewed by a Business Continuity Plan Owner. Only the Business Continuity Plan Owner of the Business Line and Location combination has the rights to review Business Continuity Plans in In Review status.

To review a Business Continuity Plan, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Select a Business Continuity Plan in Open status. Alternatively it can also be selected from the Inbox. The Plan Details page is displayed.

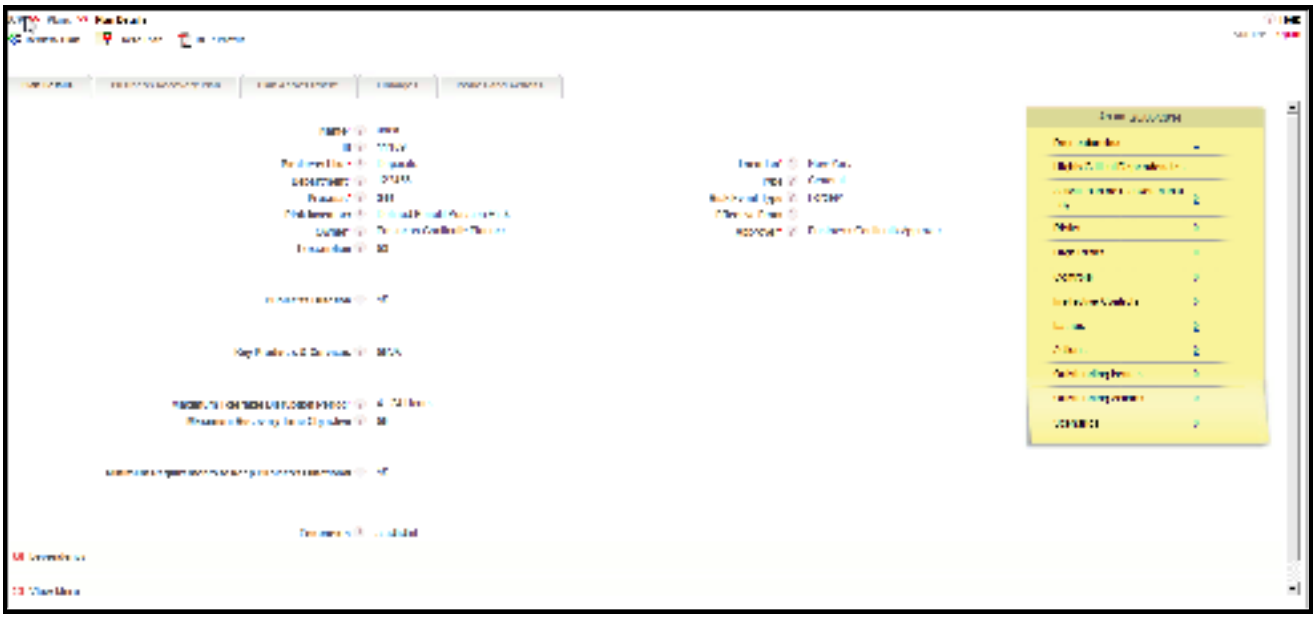


**Figure 495. Plan Details page**

3. Click **Review Plan** to review the Business Continuity Plan.

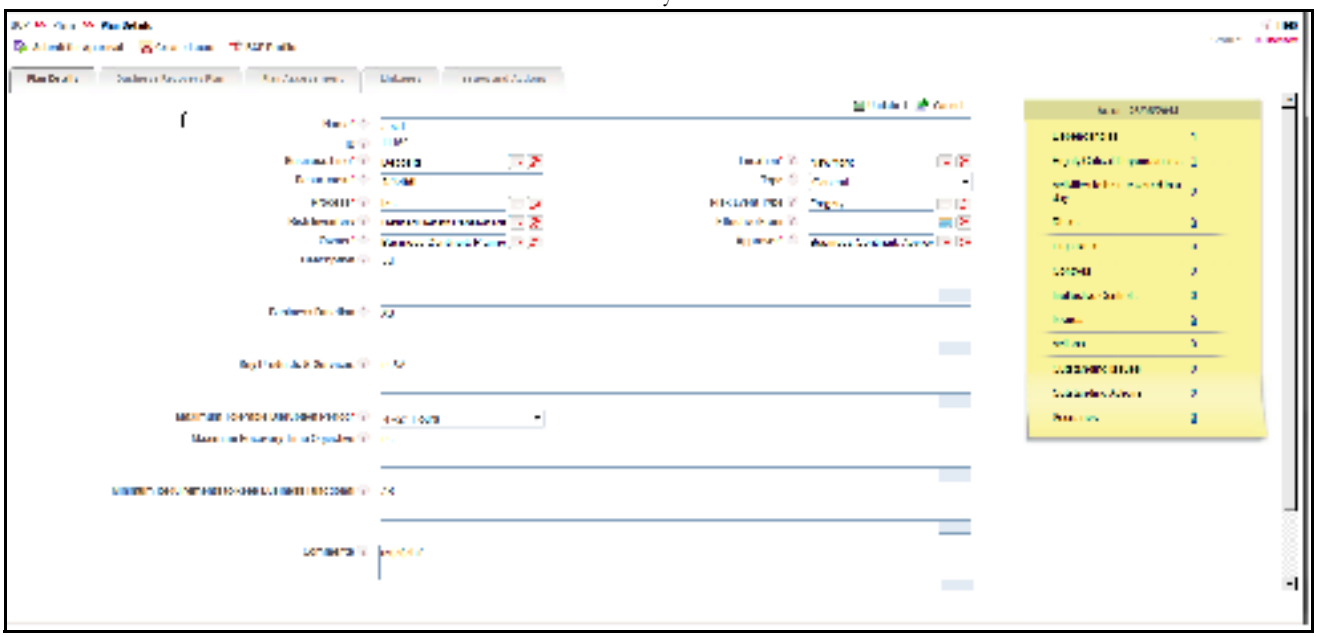


**Figure 496. Reviewing Business Continuity Plan**

4. Here, you can edit the Plan details as required and click Update. The following message is displayed: *Update Operation Successful.*

5. Click **OK**.

   **Note:** You can send the Business Continuity Plan for approval using the **Submit for Approval** option, if required. After clicking **Submit for Approval** option, the status of the Plan will be changed to Pending Approval.

## Closing a Business Continuity Plan

If the Business Continuity Plan in Open status is no longer required, it can be closed. Users mapped to the role of Business Continuity Plan Owner can close Business Continuity Plans. You can close a Business Continuity Plan from the Plan Details page. Once the Business Continuity Plan is closed, its status changes from Open to Closed.

To close a Business Continuity Plan at repository, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Click a Business Continuity Plan ID in Open status that you want to close. The Plan Details page is displayed. From the Details page, click **Close Plan**.

   Or

   From the Business Continuity Plan List, select the required Business Continuity Plan ID in Open status that you want to close and click **Close Plan**.
3. The Plan Details pop-up window is displayed.

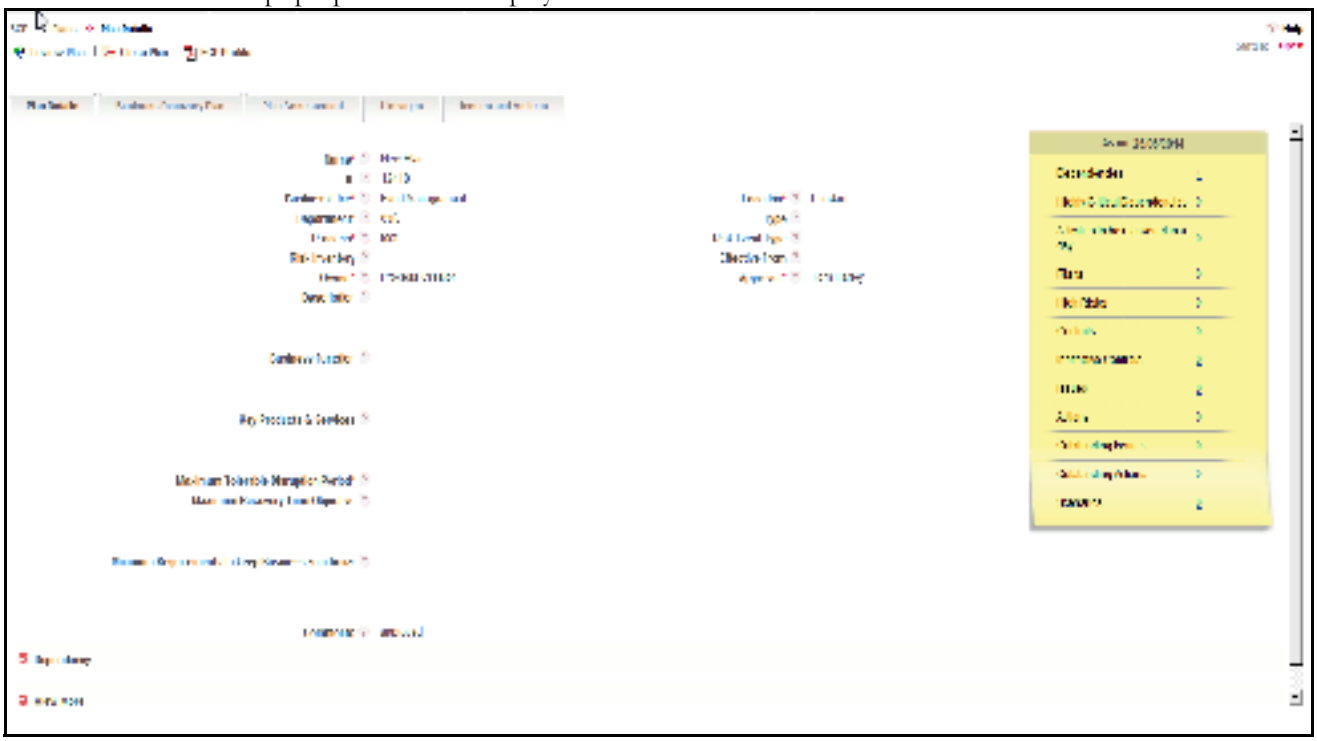


**Figure 497. Plan Details page**



**Figure 498. Closing Business Continuity Plan**

4. Enter the reason for closure. You can enter text up to 3000 characters.

5. Click **Submit**. The following message is displayed: *Update Operation Successful.* Click OK.

   **Note:** If you click Submit without providing the reasons for closure, the following validation message is displayed: *Please provide the reasons for Closure.*

6. Click Back on the Plan Details pop-up window. The system refreshes and displays the Business Continuity Plan in Closed status either in Business Continuity Plan List or in Plan Details page depending upon from where the closure was performed.

## Deleting a Business Continuity Plan

Allows you to delete a Business Continuity Plan. Users mapped to the role of Business Continuity Plan Owner can delete a Plan in *Draft* status.

To delete a Business Plan at the Business Unit, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Select the Plan ID you want to delete.
3. Click **Delete Plan**. 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 Business Plan is deleted and the updated Business Continuity Plan Search and List page is displayed.

## Exporting Business Continuity Plan List to Excel

The Business Continuity Plan Search and List page allows you to export a compiled list of all Business Continuity Plans into an Excel template. The Plan Details can be exported to a PDF for offline use.

For more details on Exporting the Business Continuity Plan List, refer *General Features* chapter.

## Viewing Business Continuity Plan Profile

You can view Plan Details in a PDF.

To view the Plan Details in a PDF, follow these steps:

1. Navigate to the Business Continuity Plan Search and List page.
2. Select a Business Continuity Plan ID to view the Plan Details page.
3. Click **Internal Business Continuity Plan Profile** in the Action section. A File Download Box is displayed.

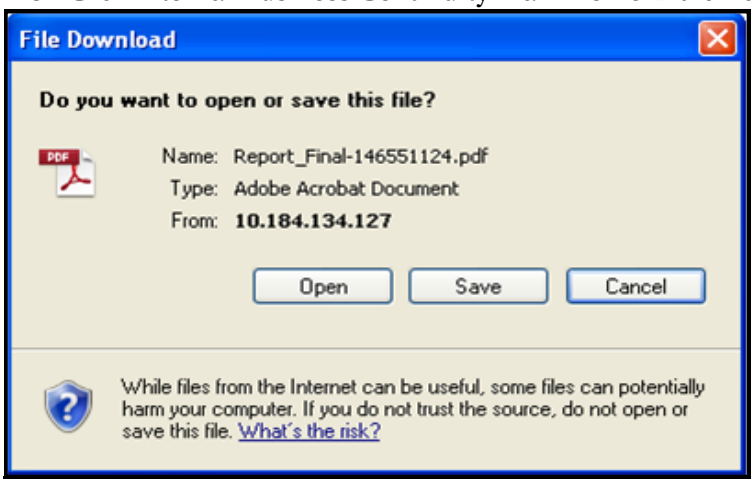



**Figure 499. File Download Box**

4. Click **Open** in the File Download Box. A PDF report opens displaying the Plan Details.
5. Click **Save** in the File Download Box to save the PDF report generated in your local system.

# CHAPTER 23 Managing Dashboards

This chapter provides complete details of the Dashboards module in the Oracle Financial Services Operational Risk application and the step-by-step instructions to use this module.

This section explains the following topics:

- *About Dashboards*
- *Accessing Dashboards*
- *Dashboard Reports*

## About Dashboards

The Oracle Financial Services Operational Risk solution is integrated with Oracle Business Intelligence Enterprise Edition (OBIEE) which enables the user to access the dashboard reports. For every module in Oracle Financial Services Operational Risk solution one dashboard is provided to display module-specific reports.

Reports on the dashboards extract data from the atomic schema and provide different views of the data for further analysis to the users and help the users gain insight and enable them to take informed decision, as well as corrective and preventive actions based on the information captured in the OFSOR application.

For more information on types of Dashboard reports, refer to section *Dashboard Reports*.

Users with appropriate roles can access the dashboard reports.

## Accessing Dashboards

To access Dashboards, follow these steps:

1. Login to the OFSOR application.
2. Click **Dashboards** in the home page. The Dashboards page is displayed.

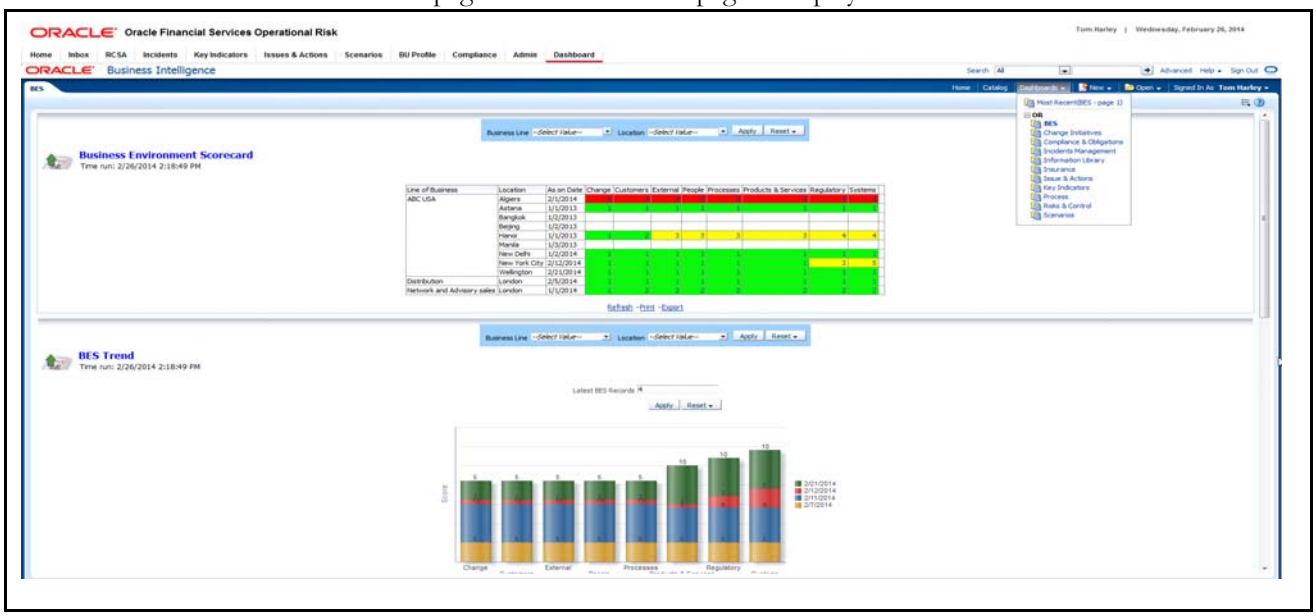



**Figure 500. Dashboards**

3. Select a module from the **Dashboard** drop-down. The reports of the selected module are displayed.

## Components of the Dashboard Page

The Dashboard page contains the following components:

- *Top Menu*
- *Filter Menu*
- *Reports*

### Top Menu

The Top menu contains the following components:

- **Search Bar**: Allows you to search the reports.
- **Home**: Provides information about recently accessed dashboard reports.
- **Catalog Button**: Allows you to access the shared folders.
- **Favorites**: This button behaves like bookmark. When a user has access to multiple dashboards, the user can add frequently used dashboards to 'Favorite' list. This helps the user to access the reports easily.
- **Dashboards Drop-down**: Allows you to select the dashboards you want to view.
- **New Drop-down**: Allows you to create new ad hoc dashboard reports.
- **Open Drop-down**: Allows you to open a report from the shared folders. It also displays the recently opened and most popular reports.

### Filter Menu

The Filter menu is different for different dashboards. You can filter the reports by entering the required criteria.

To filter a report, follow these steps:

1. Click **Dashboard** from the Home page.
2. Select a module from the Dashboard drop down. The reports of the selected module is displayed.
3. Enter the filter criteria in the Filter menu.
4. Click **Apply**. The filtered report details are displayed.

### Reports

This section displays the reports of the selected dashboard. The following options are present under all reports for all users:

- **Edit:** This option allows you to edit the report details.
- **Refresh**: This option refreshes the report.
- **Print**: This option allows you to print the report in PDF or HTML format.
- **Export**: This option allows you to export the details of a report to the following file formats:
  - PDF
  - MS Excel
  - MS Power Point 2003, 2007+
  - Web Archive (.mht)
  - Data (CSV Format, XML Format, Tab delimited Format)

## Dashboard Reports

Following are the types of Dashboards:

- *Executive Dashboard*
- *Business Environment Scorecard*
- *Change Initiatives*
- *Compliance and Obligations*
- *Incidents Management*
- *Information Library*
- *Insurance*
- *Issues and Actions*
- *Key Indicators*
- *Planning and Scoping*
- *Process*
- *Risks and Controls*
- *Scenarios*

  **Note:** The dashboard contain additional reports that are displayed as hyperlink reports. You must click on the report name in the additional reports section to view the report details.

## Executive Dashboard

An executive dashboard is a set of reports for various entities that allows the senior/top management to have a glimpse of the different statuses and spread of risk and the Risk Profile across the organization.

It can be filtered based on the following options:

- Business Line
- Location
- Product
- Process
- Risk Event Type
- Risk Category

This dashboard displays the following reports:

- *Global Risk Analysis*
- *Global Control Analysis*
- *Incidents by Time Series*
- *Incidents by Business Line*
- *Risks by Risk Category*
- *Top Risks*
- *Global Key Indicators versus Enterprise Key Indicators*

### Global Risk Analysis

This report provides analysis of ratings of controls at Business Unit level for each control at the Library. This allows the OR team to assess the Controls across organization for the same control.

| Risk Library Name | Risk Library Key | Risk Inventory | Risk Event Type | SOX Risk | No. of Business Line | High | Medium | Low | Not Assessed |
|---|---|---|---|---|---|---|---|---|---|
| Risk 25 | 184.00 | Defined Benefit Pension Risk | Clients, Products and Business Practices | Yes | 1 | 1 | 0 | 0 | 0 |
| Test Multiple Localization | 4241.00 | Defined Benefit Pension Risk | Advisory Activity | No | 1 | 0 | 0 | 0 | 1 |
| risk library for test | 78.00 | Operational Risk | Advisory Activity | Yes | 2 | 0 | 0 | 1 | 1 |

**Figure 501. Global Risk Analysis**

### Global Control Analysis

This report provides the analysis of ratings of controls at Business Unit level for each control at the library. This allows the OR team to assess controls across organization for the same control.

| Control Library ID | Control Name | Control Type | Control Category | SOX | Is Active | No. of Business Line | Effective | Qualified | Requires Improvement | Not Assessed |
|---|---|---|---|---|---|---|---|---|---|---|
| 256 | control 25 | Automated | Product | Yes | Yes | 3 | 1 | 1 | 1 | 0 |
| 1613 | Test ORD Control | Manual | Operational | No | Yes | 4 | 1 | 3 | 0 | 0 |

**Figure 502. Global Control Analysis**

### Incidents by Time Series

This report displays the gross loss amount, net loss amount, and the number of incidents for a time period.

Incidents in all statuses except closed are considered in this report.

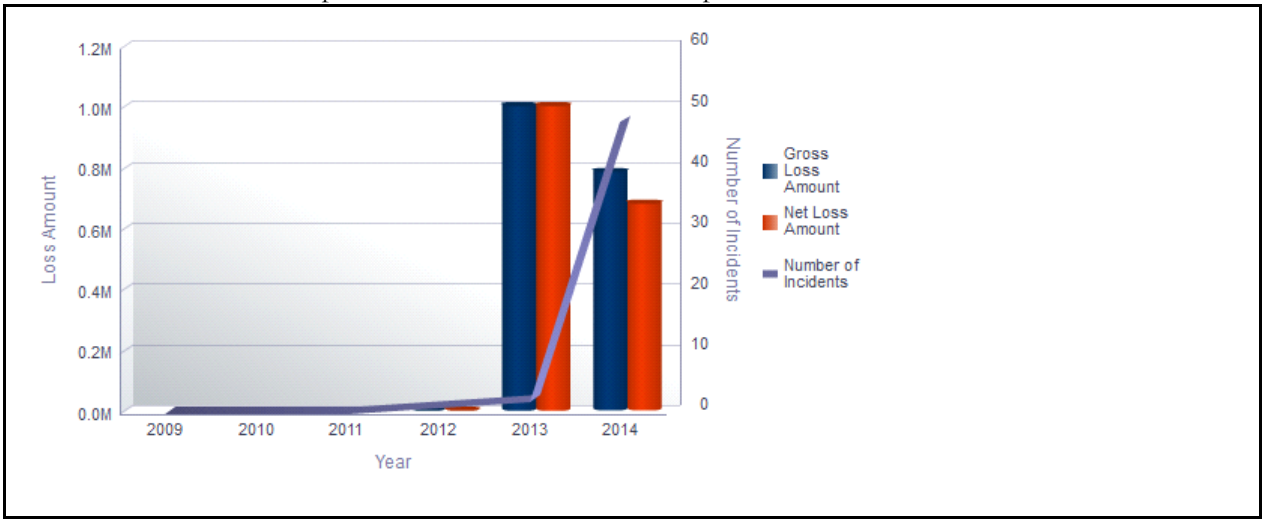



**Figure 503. Incidents by Time Series**

The X axis represents the period. You can choose either financial year or calendar year as the time period based on your preference.

The graph displays Calendar year and months by default. You can choose to view the report either by months, quarter, or year.

The Y axis of the graph represents the amount of losses and the Y1 axis represents the number of incidents.

By default, the Y axis displays the data for the past 5 years from the current date.

The graph displays two bars, one bar represents the gross loss amount and the other bar represents the net loss amount.

Total gross loss or Total Net Loss or Total number of incidents includes the sum of gross loss or sum of net loss or sum of number of incidents for the incidents whose occurrence date falls in the month.

Click on any of the bars in the report to view the Incident details.

### Incidents by Business Line

This report displays the gross loss amount, net loss amount, and the number of incidents by business line. Incidents in all statuses except closed are considered in this report.

By default, this report displays the first level of business line. If required, you can drill down to the last level.

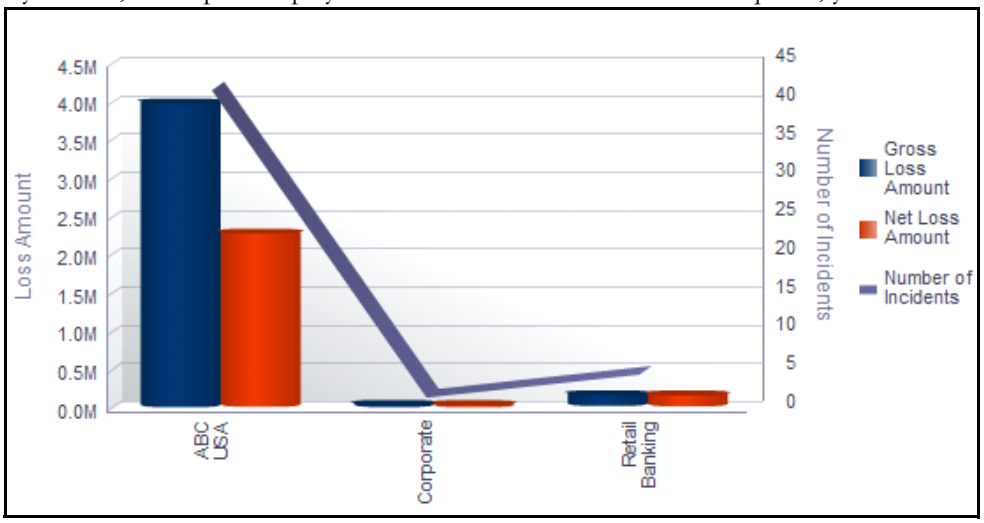



**Figure 504. Incidents by Business Line**

The X axis represents the business line, Y axis represents the loss amount, and the Y1 axis represents the number of incidents.

The graph displays two bars, one bar represents the gross loss amount and the other bar represents the net loss amount.

Click on each of the business lines in the X axis to view the gross loss amount, net loss amount, and the number of incidents for each of the child levels.

Click on the net loss amount and the gross loss amount bars in the report to view the incident details for each of the business lines.

### Risks by Risk Category

This report displays the total number of risks for a risk category. Only risks in open status are considered in this report.

By default, this report displays the first level risk category. If required, you can drill down to the last level.

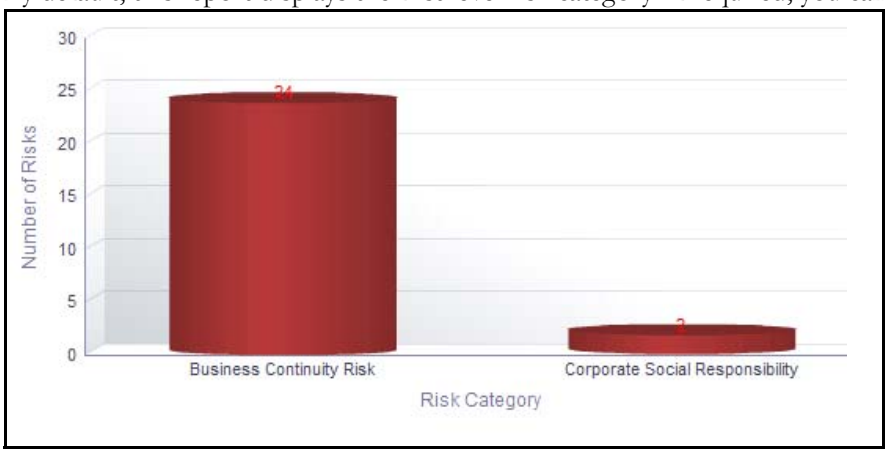



**Figure 505. Risk By Risk Category**

The X axis represents the risk category and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status for each risk category.

Click on each of the risk category in the X axis to view the number of risks for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the all the risks created for the parent risk category and its children.

### Top Risks

This report displays all the risks in open status along with their assessment details. The reports are displayed in descending order of Residual Financial Impact amount.

Only assessments in completed status are considered in this report.

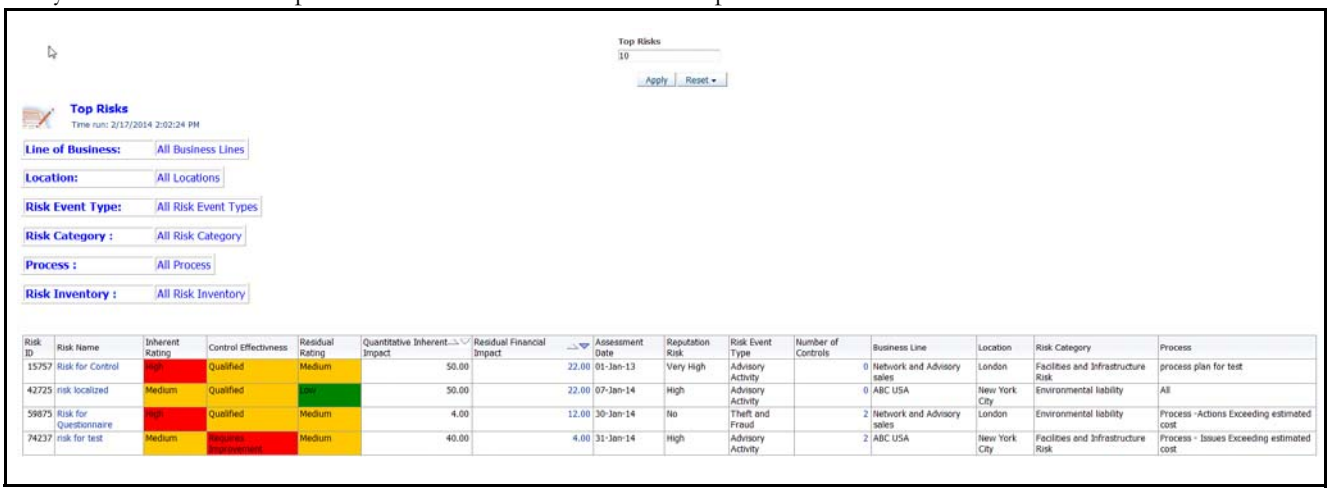



**Figure 506. Top Risks**

By default the report displays top 10 risks. However, you can choose the number of top risks you want to view by entering a value in the Top Risks number field.

Click on the risk name or number of controls hyperlink in the report to view the risk and control details.

Following is the color convention followed in each of the columns in the table:

If the risk rating is High, then the residual rating and the inherent rating column in the report is highlighted in Red.

If the risk rating is Medium, then the residual rating and the inherent rating column in the report is highlighted in Amber.

If the risk rating is Low, then the residual rating and the inherent rating column in the report is highlighted in Green.

If the control assessment rating is Requires improvement (Ineffective), then the control effectiveness column in the report is highlighted in Red.

If the control assessment rating is Qualified, then the control effectiveness column in the report is highlighted in Amber.

If the control assessment rating is Effective, then the control effectiveness column in the report is highlighted in Green.

### Global Key Indicators versus Enterprise Key Indicators

This report provides the analysis of ratings of key indicators at Business Unit level for each key indicator at the library. This allows the OR team to assess the key indicators across the organization for the same key indicator.

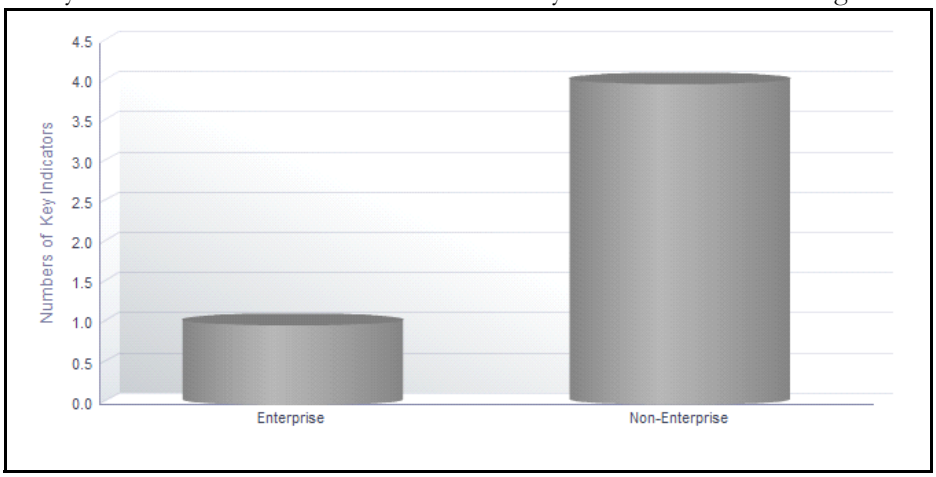



**Figure 507. Global Key Indicators versus Enterprise Key Indicators**

## Business Environment Scorecard

Business Environment refers to a set of conditions that affect the functioning of an organization. It may include economical, social, legal, or institutional factors. In order to ensure smooth running of a business, these factors should be assessed on a periodic basis. The observations can help an organization to control the factors in an adequate manner achieving better productivity.

The Oracle Financial Services Operational Risk Business Environment Scorecard (BES) assists organizations in determining the impact of various environmental factors on the business. Using this module, you can capture important environmental factors affecting the business for a business line and location and rate the influence of these parameters on business. The organization can take necessary steps to control the factors based on the ratings, which results in better performance.

For more information on Business Environment Scorecard (BES) module, refer to *Chapter 10, Managing Business Environment Scorecard*

This dashboard displays the reports based on the business environment scorecard data available in the application. It can be filtered based on the business line and location.

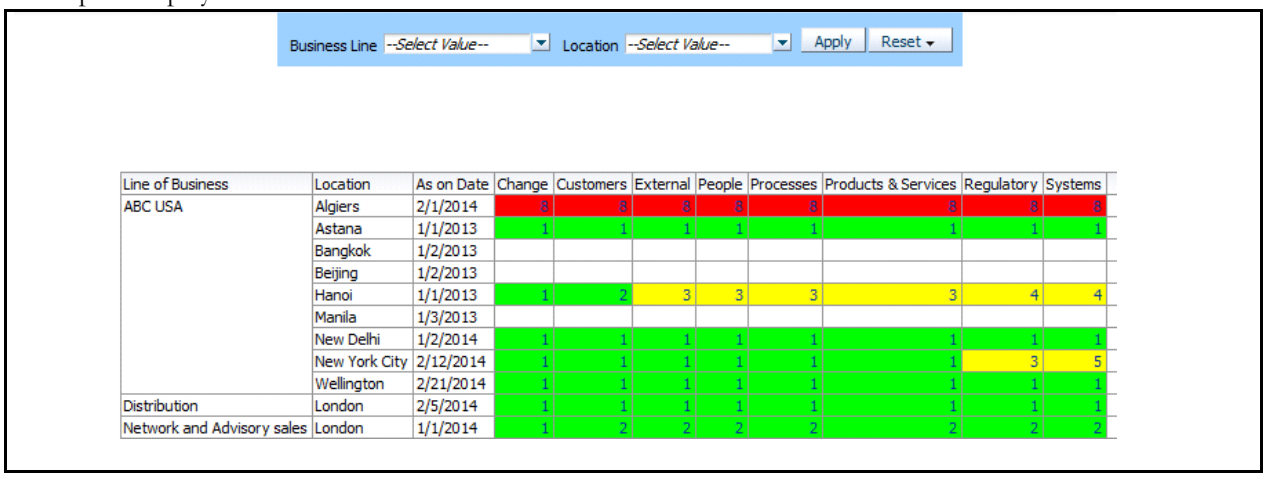
This dashboard displays the following reports:

- *Business Environment Scorecard*
- *BES Trends*
- *BES Risk Assessment Summary*
- *Control Assessment Summary*
- *Incident Net loss Trend*

### Business Environment Scorecard

This report displays the business environment scores for various parameters allotted to different combinations of business lines and location. Only BES records in submitted status are considered in this report.

The report displays BES scores for the selected Business Line and Location.




| Line of Business | Location | As on Date | Change | Customers | External | People | Processes | Products & Services | Regulatory | Systems |
|---|---|---|---|---|---|---|---|---|---|---|
| ABC USA | Algiers | 2/1/2014 | 8 | 8 | 8 | 8 | 8 | 8 | 8 | 8 |
| | Astana | 1/1/2013 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| | Bangkok | 1/2/2013 | | | | | | | | |
| | Beijing | 1/2/2013 | | | | | | | | |
| | Hanoi | 1/1/2013 | 1 | 2 | 3 | 3 | 3 | 3 | 4 | 4 |
| | Manila | 1/3/2013 | | | | | | | | |
| | New Delhi | 1/2/2014 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| | New York City | 2/12/2014 | 1 | 1 | 1 | 1 | 1 | 1 | 3 | 5 |
| | Wellington | 2/21/2014 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Distribution | London | 2/5/2014 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Network and Advisory sales | London | 1/1/2014 | 1 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |

**Figure 508. Business Environment Scorecard**

The *As on date column* in the report represents the date on which latest BES scorecard is submitted for a business unit.

Column headers in the report are the parameters considered for the business unit.

If a parameter is not applicable for a business line, then its score is NA or null.

Click on the parameter score to view the BES snapshot report. This report displays all the parameters as well as the justification for the given scores of the selected BES.

| Parameter Name | Business Environment Score | Reason |
|---|---|---|
| Change | 1 | test 13 |
| Customers | 2 | test 13 |
| External | 3 | test 13 |
| People | 3 | test 13 |
| Processes | 3 | test 13 |
| Products & Services | 3 | test 13 |
| Regulatory | 4 | test 13 |
| Systems | 4 | test 13 |

**Figure 509. BES Snapshot Report**

This report displays all the parameter, BES score for the parameter, and the parameter justification for the scores given applicable for a selected business line and location combination.

Only the latest submitted BES Scorecard for each combination of business line and location is displayed.

### BES Trends

This report displays the BES Trend for each parameter for the selected business unit and number of latest BES records. Only BES records in submitted status are considered in this report.

By default, the last four submitted BES scores are used for trend analysis.

The report displays BES scores for the selected Business Line and Location. You can select only one BU at a time.

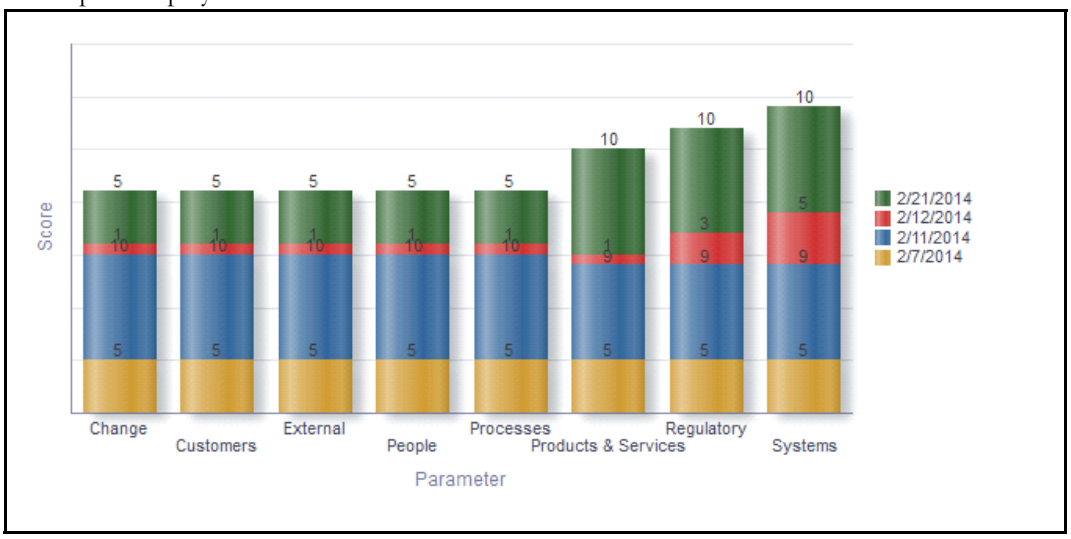



**Figure 510. BES Trends**

The X axis represents the parameters and the Y axis represents the date.

### BES Risk Assessment Summary

This report displays risk assessment trend for a business unit.Only risks in open status and their latest completed assessment ratings are considered in this report.

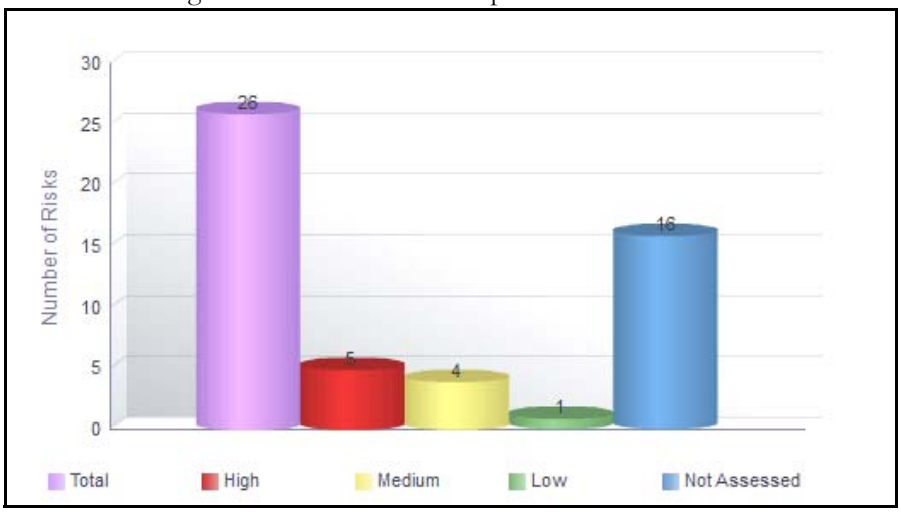



**Figure 511. BES Risk Assessment Summary**

The X axis represents the latest assessment rating and the Y axis represents the risk count.

Click on any of the bars in the report to view the underlying risk details.

### Control Assessment Summary

This report displays control assessment trend for a business line and location. Only controls in open status and their latest completed assessment ratings are considered in this report.

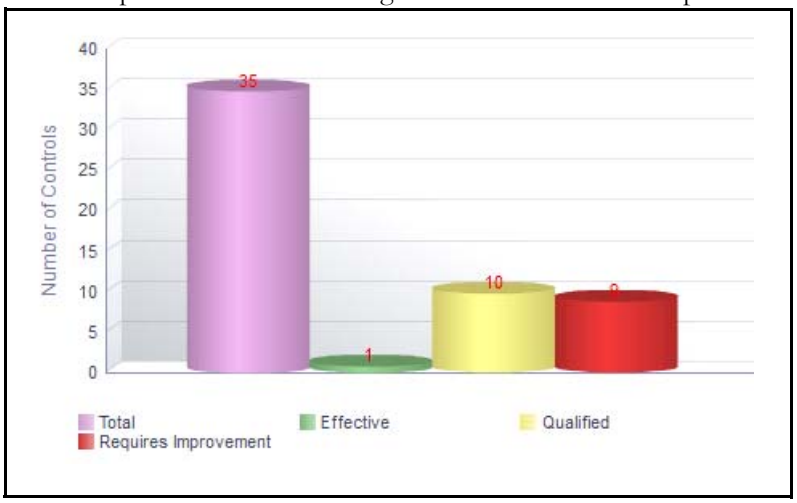



**Figure 512. Control Assessment Summary**

The X axis represents the latest assessment rating and the Y axis represents the control count.

Click on any of the bars in the report to view the underlying control details.

### Incident Net loss Trend

This report displays aggregated Gross Loss Amount, Net Loss Amount, and the Number of Incidents per quarter for a business unit. Incidents in all statuses except Closed are considered in this report.

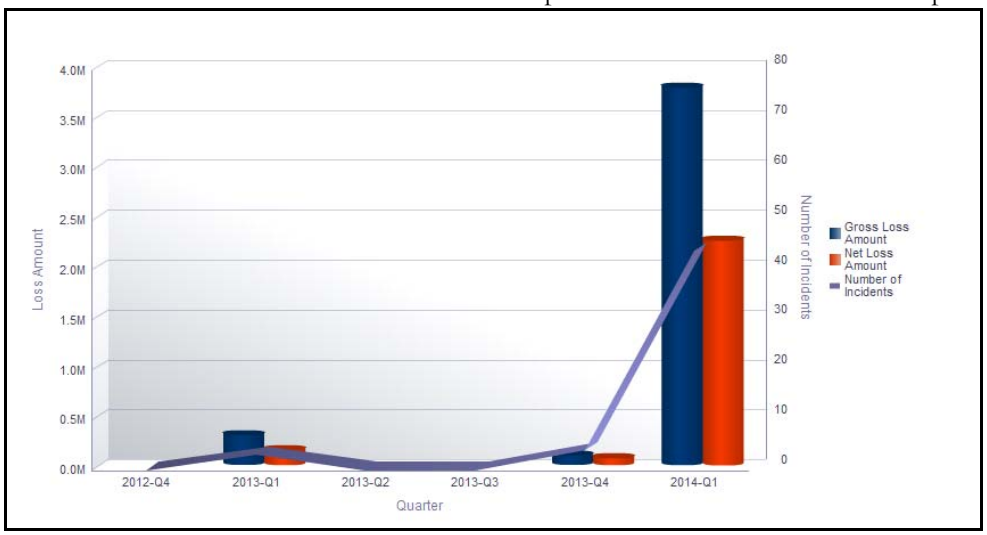



**Figure 513. Incident Net loss Trend**

The X axis represents the period in quarters.The Y axis represents the amount of losses and the Y1 axis represents the number of incidents.

The graph displays two bars. One bar represents the gross loss amount and the other bar represents the net loss amount.

The Total gross loss or Total Net Loss for the quarter is the sum of gross loss or sum of net loss for the incidents whose occurrence date falls in the quarter, respectively.

The Total number of incidents for the quarter is the sum of the number of incidents, for the incidents whose occurrence date falls in the quarter.

Click on any of the bars in the report to view the underlying incident details.

## Change Initiatives

The Change Management module in OFSOR/GCM enables you to create a change initiative, monitor the risks and controls associated with the change initiative, update the progress of the initiative, perform regular assessments and track the initiative to completion, and ensure a review process for the Change based on the Risks envisioned post Implementation.

For more information on module, refer to Chapter 11, *Managing Change Management*.

This dashboard displays the reports based on the change initiatives data available in the application. It can be filtered based on the following options:

- Business line
- Location
- Start Date
- Completed By
- Materiality
- Status

This dashboard displays the following reports:

- *Change Initiatives By Business Line*
- *Change Initiatives By Location*
- *Change Initiatives by Type*
- *Change Initiatives by Materiality*
- *Status of Change Initiatives*
- *Change Initiatives which Exceed the Estimated Costs*
- *Change Initiatives Having Impact on Multiple BU*

Following reports are additional reports:

- *Delivery Risks Associated with Change Initiatives*
- *Critical Processes Impacted by Change Initiatives*
- *Change Initiatives Requiring Review*
- *Change Initiatives Details*

### Change Initiatives By Business Line

This report displays the sum of actual cost and the total number of change initiatives by business line. Only change initiatives in open and pending completion status are considered in this report.

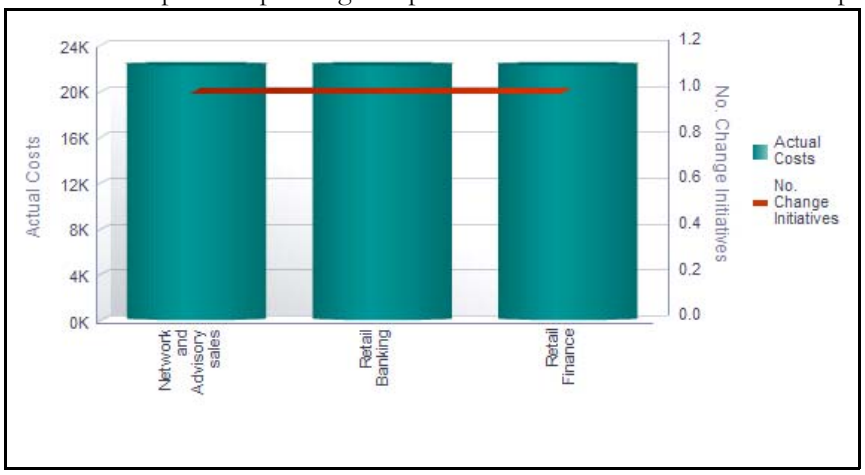



**Figure 514. Change Initiatives By Business Line**

The X axis represents the first level business line and Y axis represents the actual costs and the Y1 axis represents the number of change initiatives.

By default, the X axis displays only the first level business line. If required, you can drill down to the last level.

Each of the bars in the graph represents the sum of the actual costs of all the change initiatives created for the parent business line and all its child levels.

Click on each of the business lines in the X axis to view the number of change initiatives for each of the child business lines.

Click on the actual cost bar (Y axis) in the report to view the Change Initiative details table. This table displays the details of the change initiatives created for the parent business line and its child levels.

| ID | Name | Type | Start Date | Target Completion | Percentage Complete | Currency | Estimated Cost | Actual Cost | Materiality | PIRR | Review Date | Reviewer | Owner | Status | Line of Business | Location | Impacted Business Lines | Impacted Processes | Other Impacts | Impacted Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 15592 | Change | Existing IT System | 1/31/2014 | 1/15/2014 | 100 | INR | 1222.00 | 22222.00 | | 101.00 | 1/31/2014 | | Tom Harley | Open | Network and Advisory sales | London | 0 | 2 | 0 | 0 |

**Figure 515. Change Initiative Details**

Click on the Y1 axis to view all the change initiative details that went into the calculation of the number of change initiatives.

### Change Initiatives By Location

This report displays the sum of actual cost and the total number of change initiatives by location.Only change initiatives in open and pending completion status are considered in this report.

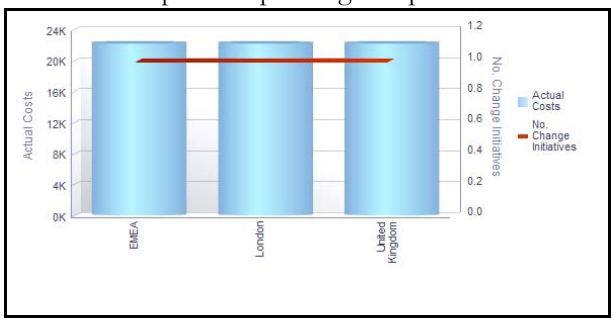



**Figure 516. Change Initiatives By Location**

The X axis represents the first level location and Y axis represents the actual costs and the Y1 axis represents the number of change initiatives.

By default, the X axis displays only the first level location. If required, you can drill down to the last level.

Each of the bars in the graph represents the sum of the actual costs of all the change initiatives created for the parent location and all its child levels.

Click on each of the locations in the X axis to view the number of change initiatives for each of the child location.

Click on the actual cost bar (Y axis) in the report to view the Change Initiative details table. This table displays the details of the change initiatives created for the parent location and its child levels.

Click on the Y1 axis to view all the change initiative details that went into the calculation of the number of change initiatives.

### Change Initiatives by Type

This report displays the total number of change initiatives created for each type.

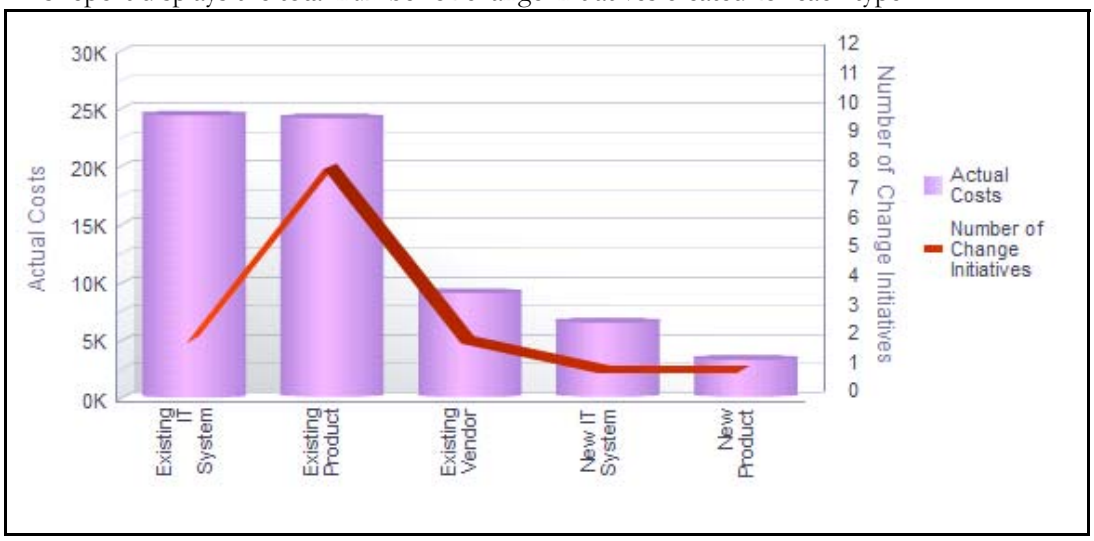



**Figure 517. Change Initiatives By Type**

The X axis represents the type and the Y axis represents the actual costs and the and the Y1 axis represents the number of change initiatives.

Each of the bars in the graph represents the total number of change initiatives created for the specific type.

Click on the number of change initiatives bar in the graph to view the change initiative details. The change initiatives details table displays all the details of the change initiatives created for the specific type.

### Change Initiatives by Materiality

This report displays the total number of change initiatives by materiality.

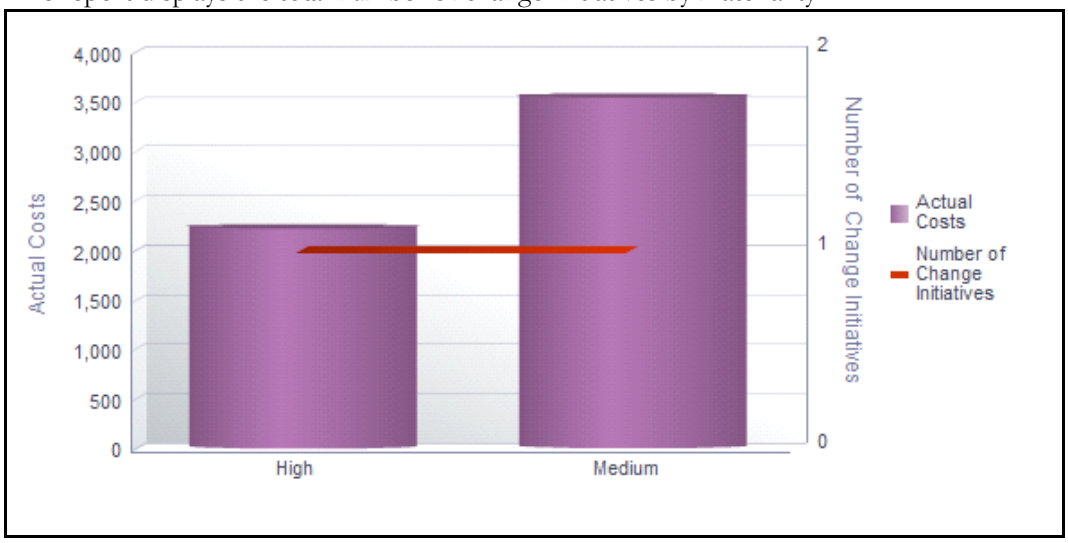



**Figure 518. Change Initiatives By Materiality**

The X axis represents the Materiality and the Y axis represents the number of change initiatives.

Each of the bars in the graph represents the total number of change initiatives created for the specific type.

Click on the number of change initiatives in the graph to view the change initiative details. The change initiatives details table displays all the details of the change initiatives accounting for the calculation of the number of change initiatives.

### Status of Change Initiatives

This report displays the total number of change initiatives that are overdue for a KBD.

The display type drop-down option allows you to view the report based on the number of change initiatives or the percentage of change initiatives.

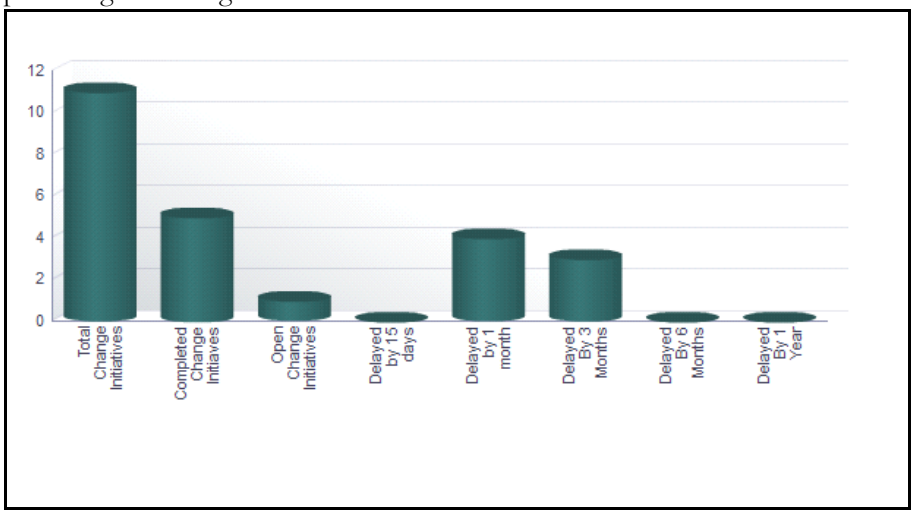



**Figure 519. Status of Change Initiatives (Number)**

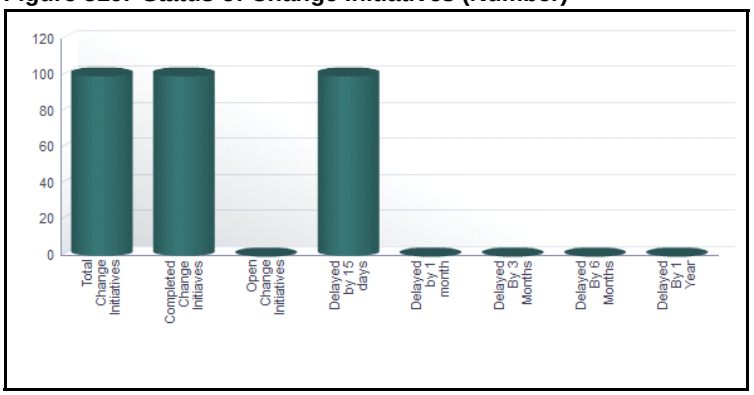



**Figure 520. Status of Change Initiatives (Percentage)**

The X axis represents the period of overdue and the Y axis represents the percentage or number of overdue change initiatives.

Each of the bars in the report represent the number or percentage of change initiatives overdue for the specific period.

Click on any of the bars in the report to view the change initiative details

### Change Initiatives which Exceed the Estimated Costs

This report displays all change initiatives that have exceeded the estimated cost.

The display type drop-down option allows you to view the report based on the number of change initiatives or the percentage of change initiatives.

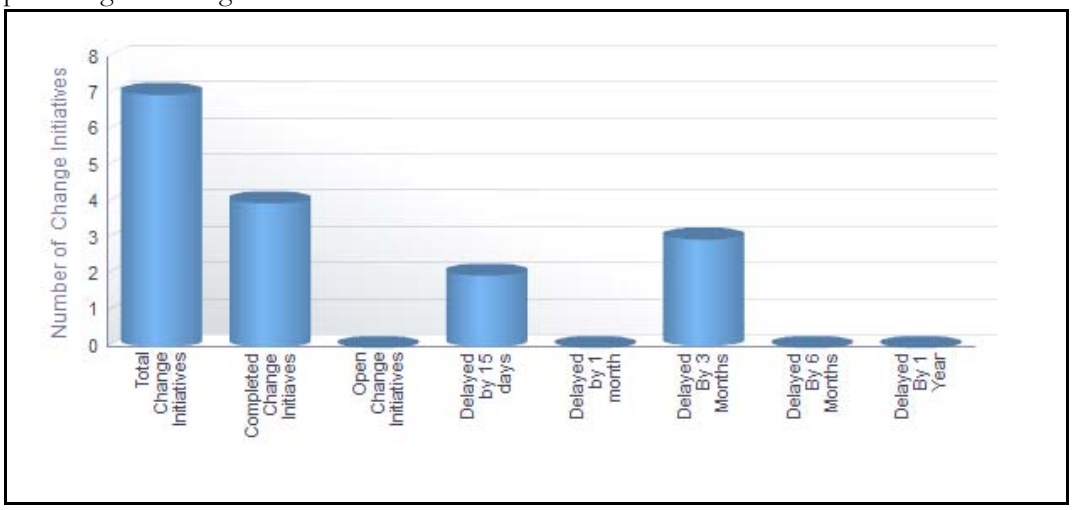



**Figure 521. Change Initiatives which Exceed the Estimated Costs (Number)**

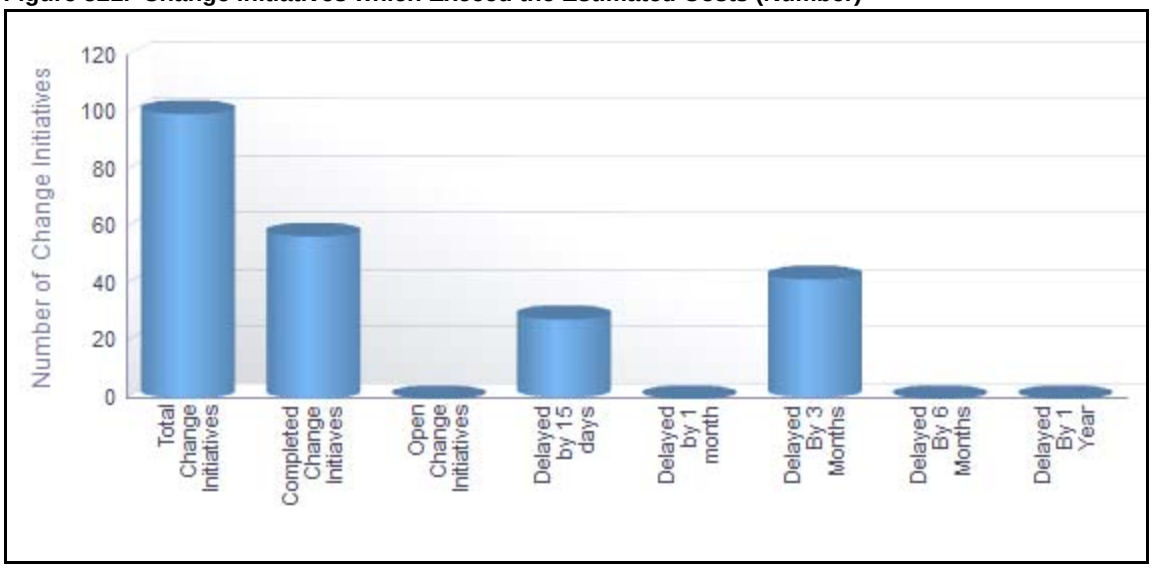



**Figure 522. Change Initiatives which Exceed the Estimated Costs(Percentage)**

The X axis represents the period of overdue and the Y axis represents the percentage or number of change initiatives that exceeded estimated cost.

Each of the bars in the report represent the number or percentage of change initiatives that exceeded the estimated cost for the specific period.

Click on any of the bars in the report to view the change initiative details.

### Change Initiatives Having Impact on Multiple BU

This report displays the details of all the change initiatives that have impacted multiple business units. Change Initiatives in all statuses except closed are considered in this report.

The Impacted Business Units drop-down option in the report allows you to choose a value for the number of impacted business units. This allows you to view the details of the change initiatives that have impacted more than the specified number of the business units.

### Delivery Risks Associated with Change Initiatives

This report displays the details of the change initiatives associated with risks. Only change initiatives in open and pending completion status are considered in this report.

The Risks which are identified and/or has an impact because of the Change Initiative, can be tracked in this report. This report displays the change initiatives with Impact on the associated Risks.

| Change Initiative ID | Change Initiative Name | Start Date | Target Completion Date | Percentage Complete | Risk Name | Risk ID | Change Impact | Change Impact Analysis | Change Impact Status | Status of Change Initiative |
|---|---|---|---|---|---|---|---|---|---|---|
| 24280 | 1234567890 | 3/14/2014 | 3/13/2014 | 100 | risk for test | 12440 | High Impact | tested | Draft | Open |

**Figure 523. Delivery Risks Associated with Change Initiatives**

Click on the change initiative ID and the risk ID in the report to view the change initiative details and the risk details.

### Critical Processes Impacted by Change Initiatives

This report displays the details of the change initiatives associated with processes. This report displays critical processes which are impacted due to the change initiatives.

Only critical processes in open status and change initiatives in open and pending completion status are considered in this report.

Click on the change initiative ID and the risk ID in the report to view the change initiative details and the risk details.

### Change Initiatives Requiring Review

This report displays the details of all the change initiatives created for a KBD and its child levels. This report provides details of all the change initiatives with PIRR marked as *Yes*. That is, it displays change initiatives that require Post Implementation Risk Review.

**Change Initiatives requiring Review**
Time run: 2/11/2014 11:57:35 AM

| Name | Owner | Type | Start Date | Target Completion Date | Percentage Complete | Estimated Cost | Actual Cost | PIRR | Review Date | Business Line | Location | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| change for risk | Change Manager | Existing IT System | 1/22/2014 | 1/31/2014 | 100 | 3,444 | 2,222 | Yes | 1/21/2014 | ABC USA | New York City | Completed |
| sdvgb | Change Manager | Existing Vendor | 1/13/2014 | 1/14/2014 | 100 | 25,335 | 3,543 | Yes | 1/13/2014 | Network and Advisory sales | London | Completed |

Return - Refresh - Print - Export - Create Bookmark Link

**Figure 524. Change Initiatives which Require PIRR**

### Change Initiatives Details

This report displays the details of the change initiative such as actual cost, estimated cost, details of owner, business line, location, impacted risks, BUs, and processes.

| ID | Name | Type | Start Date | Target Completion Date | Percentage Complete | Currency | Estimated Cost | Actual Cost | PIRR | Review Date | Owner | Status | Line of Business | Location | Impacted Business Lines | Impacted Processes | Other Impacts | Impacted Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 10456 | change for test | Existing Project | 3/11/2014 | 3/31/2014 | 100 | ALL | 213423.00 | 353.00 | | | Change Manager | Completed | Fund Management | London | | 1 | | |
| 24280 | 1234567890 | Existing Project | 3/14/2014 | 3/13/2014 | 100 | | 394.00 | 4534.00 | Yes | 3/13/2014 | Change Manager | Open | Fund Management | London | | 1 | | |
| 24934 | TEST BUG | Existing Product | 3/19/2014 | 4/9/2014 | | | | | | | Change Manager | Draft | Retail banking | All | | 2 | | |
| 25189 | CI for report | New IT System | 3/13/2014 | 3/25/2014 | | | 10000.00 | | | | Tom Harley | Closed | Funds Transfer | London | | 1 | | |
| 26010 | CI 2 | Existing Vendor | 3/13/2014 | 3/14/2014 | | | 2213.00 | | | | Change Manager | Closed | Fund Management | London | 0 | | | |
| 62207 | change for batch | Existing IT System | 3/21/2014 | 4/28/2014 | 100 | | 345.00 | 435.00 | Yes | 3/21/2014 | Change Manager | Completed | Fund Management | London | | | | 2 |

**Figure 525. Change Initiatives Details**

## Compliance and Obligations

Compliance is conforming to a rule, such as a specification, policy, standard or law. Regulatory compliance describes the goal that financial institutions or the banks aspire to achieve in their efforts to ensure that personnel are aware of and take steps to comply with relevant laws and regulations. The Compliance module helps banks or financial organizations to capture regulations or policies and associated obligations and make sure the regulations or policies which effect the functioning of the organization have been complied with.

An obligation is a course of action that an entity is required to take, whether legal or moral. It is the responsibility of the Financial Institution to comply with the regulations or Policies (set for itself). To comply with Regulations or Policies, Financial Institution set few obligations or activities which fulfill the objectives of Regulations or Policies requirements. Compliance module allows you to view and assess obligation that are localized to the specific business units.

For more information on module, refer to *Chapter 17, Managing Compliance*.

This dashboard displays the reports based on the compliance and obligations data available in the application. It can be filtered based on Business Line and Location.

The compliance and obligations dashboard displays the following tabs:

- *Summary***:** This tab gives a summary of all the reports.
- *Regulations/Policy*: This tab allows you to analyze the regulation which displays reports which is specific to the Regulation like *Regulation Details*, Non-Compliant Obligations Associated With High Risks, Regulations and Change Management, and so on.
- *Obligations*:This tab allows you to analyze the Obligations by displaying the obligation for various parameters.

### Summary

The Summary tab displays the following reports:

- *Regulation and Obligations by Business Line*
- *Regulation and Obligations by Location*
- *Regulation/Policy Assessments by Business Line*
- *Obligation Assessments by Business Line*
- *Obligation Risk Heat Map*

#### *Regulation and Obligations by Business Line*

**Note:** This report is displayed only if OFSGCM application is installed.

This report displays the number of regulations and obligations/policies linked to compliance plan by business line.

The regulation or obligation library record is accounted only once if it is a part of more than one compliance plans at a KBD. Only regulations in open status and obligations/policies in open or in review status are considered in this report.

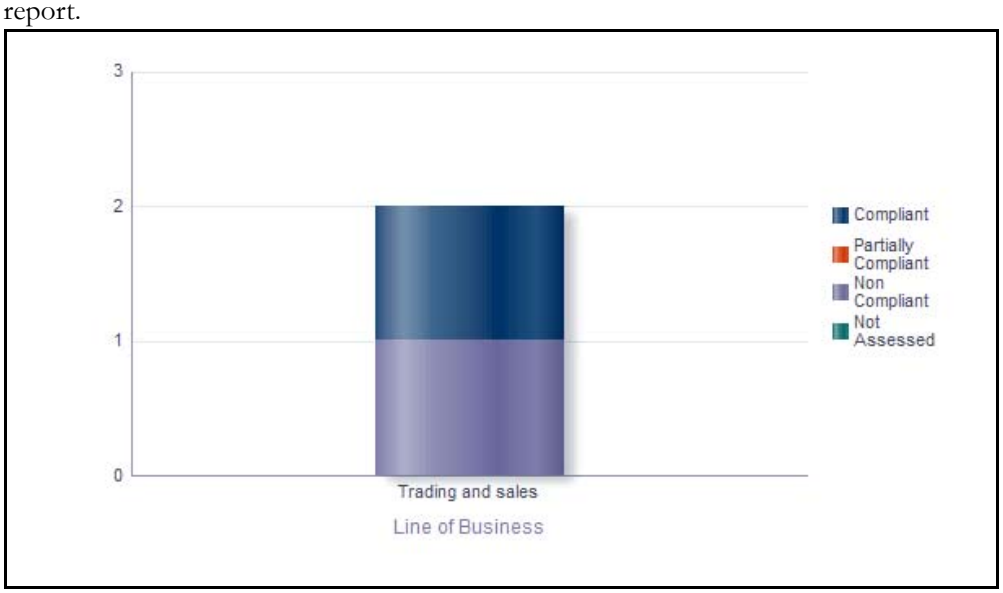



**Figure 526. Regulations and Obligations By Business Line**

The X axis represents the business line and the Y axis represents the number of regulations or policies and obligations.

The report displays two bars. One bar represents the number of regulations/policies linked to the compliance plan by business line and the other bar represents the number of obligations linked to compliance plan by business line.

Click on any of the business lines in the X axis to view the number of obligations or policies linked to compliance plans for each of the child levels.

Click on the regulations bar or the obligations bar in the report to view the regulation details or obligation details.

| Regulation Name | Regulation ID | Regulation Type | Regulation Owner | Regulation Category | Regulator | Compliance Plan Name | Compliance Plan Identifier |
|---|---|---|---|---|---|---|---|
| Policy first record material change | 14937 | Policy | Compliance Identifier | Life | | compl | 35220 |
| | | | | | | regulation plan | 24242 |
| testing 1234 | 30163 | Regulation | Compliance Identifier | | Regular | compl | 35220 |

**Figure 527. Regulation Details**

| Obligation Name | Obligation ID | Objective | Theme | Category | Risk Event Type | Legal Entity | Effective Date | Owner | Review Cycle | No of Impacted Business Units | No of Regulation/Policies | No of Compliance Plans | Business Review Required |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | 12320 | Our People | Providing Suitable Products & Services | Client Data Confidentiality | Forgery | Oracle Financial Services Software s.a. | 3/11/2014 | | Quarterly | 2 | 1 | 0 | |
| PS Obl Ques With Resp | 32549 | Customer Satisfaction | | | Damage to Physical Assets | | 3/14/2014 | | Quarterly | 1 | 0 | 1 | |
| obg 1234345667890O-68686 | 39528 | General Business Requirements | Providing Suitable Products & Services | Risk Management | Systems | | 3/19/2014 | | Half Yearly | 1 | 1 | 1 | Yes |
| obg comfgtyne | 51380 | Soundness & Solvency | Providing Suitable Products & Services | Client Data Confidentiality | Product Flaws | Oracle Financial Services Software Pte. Ltd | 3/18/2014 | | Half Yearly | 1 | 1 | 1 | |

**Figure 528. Obligation Details**

### *Regulation and Obligations by Location*

This report displays the number of regulations/policies and obligations linked to compliance plan by location.

The regulation or obligation library record is accounted only once if it is a part of more than one compliance plans at a KBD. Only regulations/policies in open status and obligations in open or in review status are considered in this report.

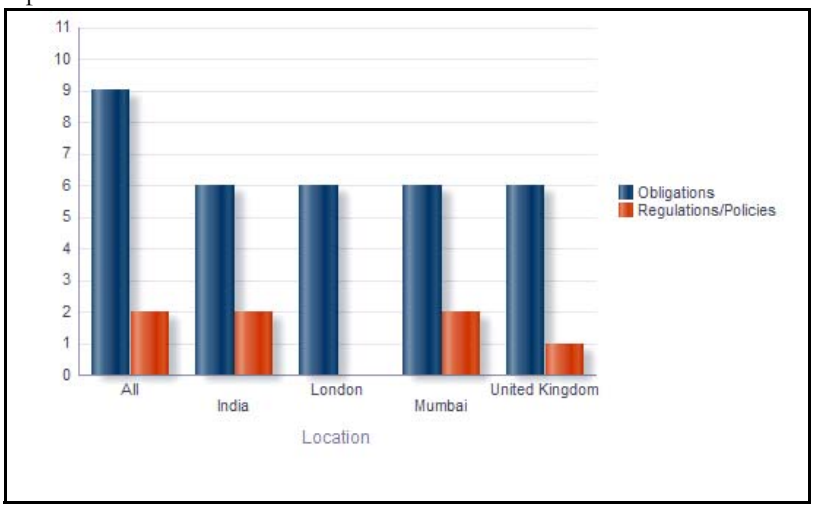



**Figure 529. Regulations and Obligations By Location**

The X axis represents the location and the Y axis represents the number of regulations or policies and obligations.

The report displays two bars. One bar represents the number of regulations/policies linked to compliance plan by location and the other bar represents the number of obligations linked to compliance plan by location.

Click on any of the location in the X axis to view the number of obligations or policies linked to compliance plans for each of the child levels.

Click on the regulations bar or the obligations bar in the report to view the regulation details or obligation details.

### *Regulation/Policy Assessments by Business Line*

**Note:** This report is available only if OFSGCM application is installed

This report displays the number of regulations and policy assessments for each type of assessment rating by business line.

Only regulations/policies in open or In review status and the latest submitted assessment ratings are considered in this report.

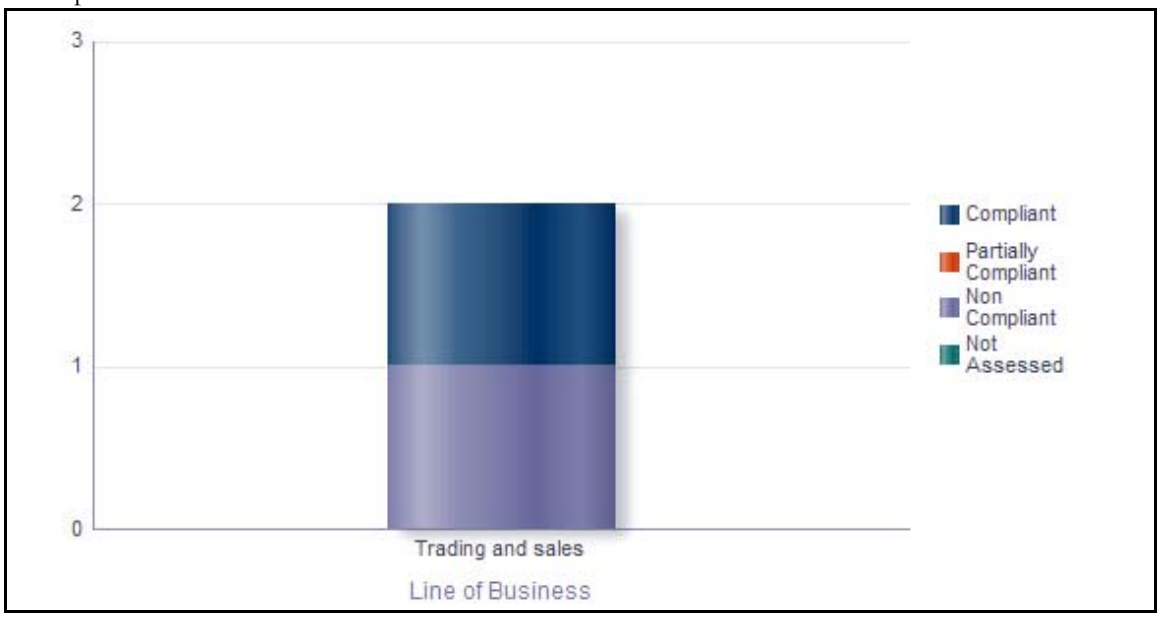



**Figure 530. Regulation/Policy Assessments by Business Line (Bar Graph)**

The X axis represents the business line and the Y axis represents the number of regulations and policy assessments. By default, this report displays the first level business line. If required, you can drill down to the last level

Each of the bars in the report displays the total number of regulations and policy assessments with assessment rating for each of the business lines. The total number of regulations or policy assessments for a business line includes the sum total of all the regulations and policy assessments for each of the child business lines.

Click on any of the business lines in the X axis to view the number of regulations or policy assessments for each of the child business lines.

Click on the regulations or policy assessments bar in the report to view the regulation assessment details or the policy assessment details.

This report displays all the Regulation assessments by Key Business Dimensions with their latest assessment rating at that KBD along with the date of assessment. Only Regulations in Open Status are considered in this report.

Click on the Regulation ID, number of compliance plans, and the number of obligations hyperlink to view the regulation details, Regulation/Policy-compliance plan details, and the obligation details, respectively.

### *Obligation Assessments by Business Line*

This report displays the number of obligations assessments for each type of assessment rating by business line.

Only obligations in open or In review status and the latest submitted assessment ratings are considered in this report.

You can view this report either in the form of bar graph or tabular report using the drop-down option provided.

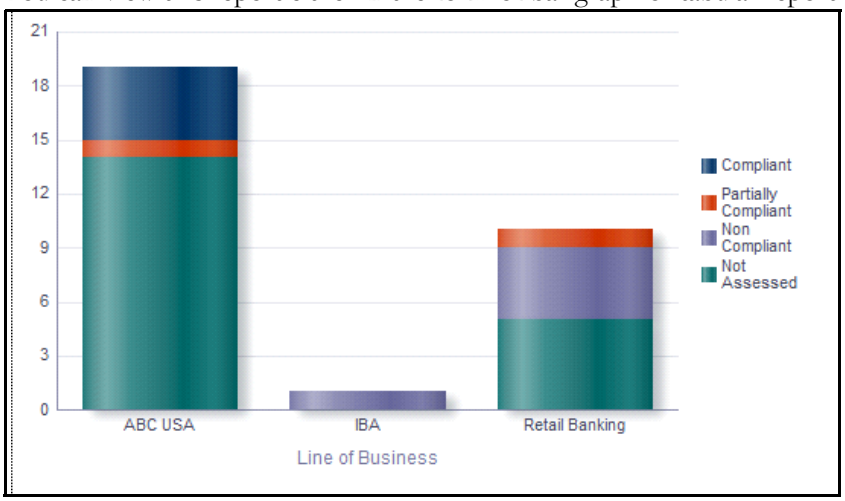



**Figure 531. Obligation Assessments by Business Line (Bar Graph)**

The X axis of the graph represents the business line and the Y axis represents the number of obligation assessments. By default, this report displays the first level of business line. If required, you can drill down to the last level.

Each of the bars in the report displays the total number of obligation assessments with assessment rating for each of the business lines. The total number of obligation for a business line includes the sum total of all the obligation assessments for the parent and child business lines.

Click on any of the business lines in the X axis to view the number of obligation assessments for each of the child business lines.

Click on the obligation assessments bar in the report to view the obligation assessment details.

| Line of Business | Compliant | Partially Compliant | Non Compliant | Not Assessed |
|---|---|---|---|---|
| ▽ All | 3 | 4 | 1 | 3 |
| ▷ Payment and settlement | 0 | 0 | 0 | 1 |
| ▷ Retail banking | 3 | 2 | 0 | 3 |
| ▷ Trading and sales | 0 | 2 | 1 | 1 |

**Figure 532. Obligation Assessments by Business Line (Tabular Report)**

This report displays all the obligation assessments by Key Business Dimensions with their latest assessment rating at that KBD along with the date of assessment. Only obligation in Open/In review status are considered in this report.

This report also displays details of the obligations that are not assessed.

Click on the obligation ID and the number of compliance plans hyperlink to view the obligation details and the obligation-compliance plan report, respectively.

### *Obligation Risk Heat Map*

This report displays all the Obligations by KBD with their latest assessment rating and date of assessments. Only Risks in open status and Obligations in Open/In review status are considered in this report.

You can choose the regulation for which you want to view the details for using the multi select drop-down option.

| Business Line | Location | Obligation Name | Obligation ID | Obligations Assessment | Obligation Assessment Date | Risk Name | Risk ID | Inherent Risk Assessment | Overall Control Effectivness | Residual Risk Assessment | Risk Assessment |
|---|---|---|---|---|---|---|---|---|---|---|---|
| ABC USA | New York City | NewTest | 70129 | | | doc risk for manual | 50531 | Medium | Qualified | High | 1/22/2014 10:43:16 AM |
| | | Obl Manual Test | 23072 | Partially Compliant | 1/2/2014 | Questionnaire based risk | 16174 | High | Qualified | High | 1/20/2014 6:33:23 AM |
| | | Obligaton for Incident 2 | 82566 | Compliant | 1/30/2014 | doc risk for manual | 50531 | Medium | Qualified | High | 1/22/2014 10:43:16 AM |
| | | Obligation for Incident 24 | 76107 | Compliant | 1/30/2014 | This is for testing the MRM This is for testing the MRM This is for testing the MRM This is for testing the MRM 121212@@#$$%%%%%%%%%%/////""""""////////////"";;;;;;;;;><*%&, ^the MRM This is for testi | 77926 | Not Rated | Not Rated | Not Rated | |
| | | | | | | doc questionnaire risk | 50640 | Low | Qualified | High | 2/18/2014 5:37:03 AM |
| | | adfdf ` ~!@##%^#$%&&(%*(%^!#$%#%!@%&*(()_+{}|":<>?,./;'[]\ | 32247 | | | risk localized | 42725 | Medium | Qualified | Low | 1/7/2014 9:16:58 AM |
| | | obligation for plan | 34209 | Compliant | | doc questionnaire risk | 50640 | Low | Qualified | High | 2/18/2014 5:37:03 AM |
| | | | | | | risk localized | 42725 | Medium | Qualified | Low | 1/7/2014 9:16:58 AM |
| | | obligation for policy | 103849 | Compliant | 2/18/2014 | risk completeness check | 100385 | Not Rated | Not Rated | Not Rated | |
| | | | | | | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| | | obligation for risk | 14824 | | | Risk for Questionnaire | 59875 | High | Qualified | Medium | 1/30/2014 11:06:45 AM |
| | | | | | | doc questionnaire risk | 50640 | Low | Qualified | High | 2/18/2014 5:37:03 AM |

**Figure 533. Obligation Risk Heat Map**

Click on the Risk ID, Obligation ID, and Obligation assessment hyperlink in the report to view the Risk details, Obligation details, and the Obligation Assessment details, respectively.

### Regulations/Policy

This tab displays the following reports:

- *Regulation/Policy Assessments*
- *Compliance Incidents*

Following reports are additional reports:

- *Regulation Details*
- *Policy Details*

#### *Regulation/Policy Assessments*

**Note:** This report is displayed only if OFSGCM is installed.

This report displays the rating trend for the regulation/policy.

This report is displayed as blank if the regulation/policy is not assessed. By default, this report displays 4 assessment records for a regulation/policy.

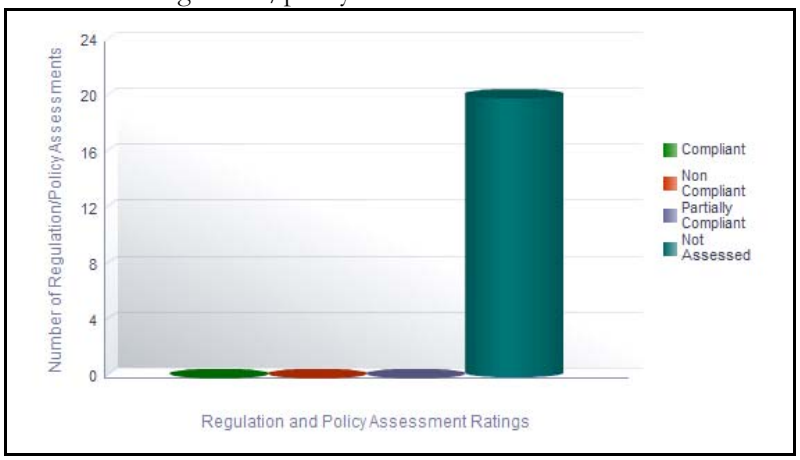



**Figure 534. Regulation/Policy Assessments**

The X axis represents the date of assessment and the Y axis represent the regulation/policy rating.

Following is the color convention followed in each of the bars in the report:

The red color bar represent regulations/policies that are non compliant

The green color bar represent regulations/policies that are compliant

The purple color bar represent regulations/policies that are partially compliant

The blue color bar represent regulations/policies that are not assessed

#### *Compliance Incidents*

**Note:** This report is displayed only if OFSGCM is installed.

This report displays all the Compliance Incidents. This report displays all the internal incidents for which the Incident Type is Compliance Incident. Only Incidents in Ownership, Pending Review, Pending Approval, and Approved status are considered in this report.

| Business Line | Location | Incident ID | Incident Name | Description | Currency | Gross Loss Amount | Net Loss Amount |
|---|---|---|---|---|---|---|---|
| Deposits | New York | 51987 | test1 | ytryuuy | AUD | 15000.00 | 15000.00 |
| Retail Banking | New York | 16241 | bug 18021574 | 1802157418021574 | EUR | 22000.00 | 22000.00 |
| | | 16332 | 2 | 2 | EUR | 10000.00 | 10000.00 |
| | | 20792 | Incident impacted | Incident impacted in Multiple BU | EUR | 20000.00 | 18000.00 |
| | | 23302 | Incident Compliance legal confidential | >lower, <upper | EUR | 25000.00 | 25000.00 |
| | | 28818 | inc compliance <lower | inc compliance <lower | EUR | 2500.00 | 2500.00 |
| | | 41434 | Compliance Confidential <lower | Compliance Confidential <lower | EUR | 1260.00 | 1260.00 |
| | | 52463 | Compliance legal>Upper | Compliance legal>Upper | EUR | 100000.00 | 100000.00 |
| | | 64444 | Compliance Confidential >lower < upper. | Compliance Confidential >lower < upper. | EUR | 33000.00 | 33000.00 |
| | | 64554 | Compliance Legal >Lowr <Upper | Compliance Legal >Lowr <Upper | EUR | 24000.00 | 24000.00 |

**Figure 535. Compliance Incidents**

Click on the Incident ID hyperlink in the report to view Compliance details report. This report displays all the details of the compliance incidents.

### *Regulation Details*

This report displays all the details of the regulation. Only regulations in open status are considered in this report.

| Regulation Name | Regulation ID | Description | Type | Owner | Category | Review Cycle | Regulation Number | Regulator | Potential Penalty | Regulation Updates | Issuance Date | Effective From | No of Obligations | No of Compliance | No. of Impacted Business Units |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Rehgulation to check multiple respondents | 47689 | Rehgulation to check multiple respondents | Regulation | Compliance Identifier | Banking | Half Yearly | 2222 | Regular | 2222 | ebrebrrrrrrrr | 3/13/2014 | 17/03/2014 | 1 | 0 | 0 |
| Test 1 | 48262 | sdas | Regulation | Compliance Identifier | | Yearly | | Regular | 3213 | | 3/4/2014 | 10/03/2014 | 0 | 0 | 0 |
| agds | 47796 | gasd | Regulation | Compliance Identifier | | Half Yearly | asdg | Regular | 3213 | cvxcvx | 3/3/2014 | 11/03/2014 | 0 | 0 | 0 |
| dsfs | 11555 | dfdf | Regulation | Compliance Identifier | | Yearly | | Regular | 32 | | 3/11/2014 | 12/03/2014 | 1 | 0 | 0 |
| regulation 22 | 48811 | dgfsdgfsd | Regulation | Compliance Identifier | | Half Yearly | | Regular | 2222 | | 3/16/2014 | 17/03/2014 | 0 | 0 | 0 |
| testing 1234 | 30163 | | Regulation | Compliance Identifier | | Half Yearly | | Regular | 9 | | 3/13/2014 | 14/03/2014 | 1 | 1 | 1 |

**Figure 536. Regulation Details**

The number of impacted businesses column in the report displays the count of business units linked to the Regulation. Click on this count to view the Regulation assessment details.

Click on the number of compliance plans and number of obligations hyperlink to view the regulation/policy-compliance plan details and the obligation details, respectively.

### *Policy Details*

This report displays all the policy details. Only policies in open status are considered in this report.

| Policy Name | Policy ID | Description | Type | Owner | Category | Policy Number | Issuing Dept Name | Effective From | Review Cycle | Policy Updates | No of Obligations | No of Compliance | No. of Impacted Business Units |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Policy first record material change | 14937 | Policy first record | Policy | Compliance Identifier | Life | | Retail Banking | 12/03/2014 | Half Yearly | | 4 | 2 | 2 |
| Policy19 | 59133 | dfsdfsd | Policy | Compliance Identifier | Capital/Securities Market | | Insurance | 19/03/2014 | Quarterly | | 1 | | |
| Test | 48241 | | Policy | Compliance Identifier | | | Insurance | 04/03/2014 | Half Yearly | | 0 | | |
| policy check | 49055 | policy check | Policy | Compliance Identifier | Mutual Funds | | Insurance | 18/03/2014 | Yearly | | 2 | | |

**Figure 537. Policy Details**

The number of impacted business unit column in the report displays the count of business units linked to the policy. Click on this count to view the policy assessment details. This is displayed only if OFSGCM application is installed.

Click on the number of compliance plans and number of obligations hyperlink to view the regulation/policy-compliance plan details and the obligation details, respectively.

## Obligations

This tab displays the following reports:

- *Obligation Assessments*
- *Obligations by Risk Event Types*

Following reports are additional reports:

- *Obligation Details*

### *Obligation Assessments*

This report displays the total number of Obligations by their assessment ratings. Obligations in Open or In review status are considered in this report.

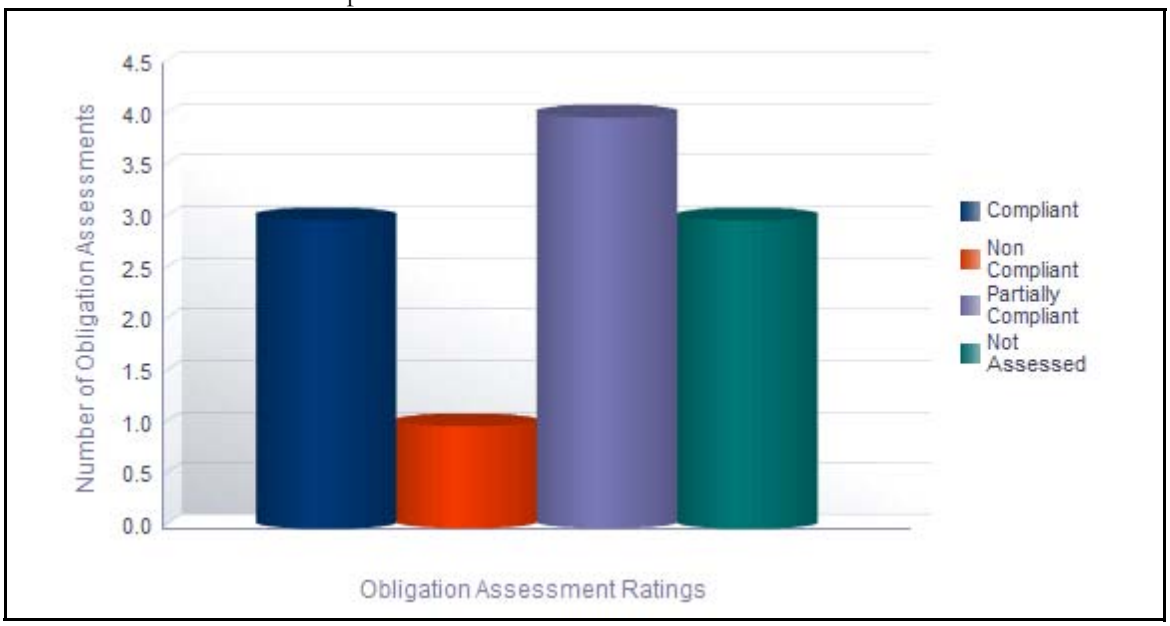



**Figure 538. Obligation Assessments**

Only the latest submitted assessment ratings are considered in this report.

The X axis represents the obligation assessment rating and the Y axis represents the number of obligations.

Each of the bars in the report represent the obligation count for an assessment rating.

Click on any of the bars in the report to view the assessment details of the underlying obligation.

### *Obligations by Risk Event Types*

This report displays the number of obligations by their risk event type. Only obligations in Open or In review status are considered in this report.

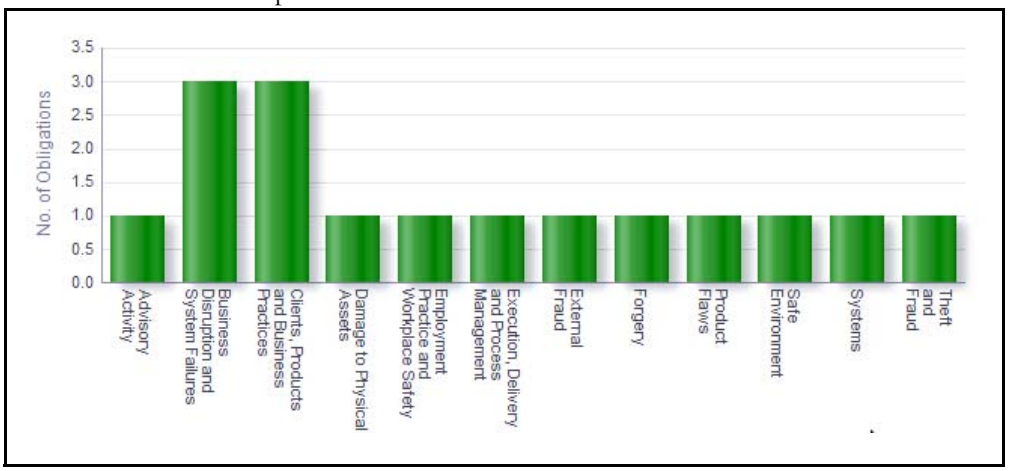



**Figure 539. Obligations by Risk Event Types**

The X axis represents the first level risk event type and the Y axis represents the number of obligations.

By default, this report displays the first level risk event type. If required, you can drill down to the last level.

Each of the bars in the report represent the total number of obligations created for the parent and the child risk event type.

Click on each of the risk event type to view the number of obligations for each of the child levels.

Click on the name of the bars in the report to view the obligation details.

### *Obligation Details*

This report displays all the obligation details. Only obligations in Open or In review status are considered in this report.

| Obligation Name | Obligation ID | Objective | Theme | Category | Risk Event Type | Legal Entity | Effective Date | Owner | Review Cycle | No of Impacted Business Units | No of Regulation/Policies | No of Compliance Plans | Business Review Required |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| NEW OBLIGATION QUESTIONNAIRE | 69808 | | | | Transaction Capture, Execution and maintenance | | 1/22/2014 | Obligation Identifier | Yearly | 1 | 1 | 0 | |
| NewTest | 61275 | Customer Satisfaction | Clear Promotional and Product Material | Asset liability Management | Theft and Fraud | Oracle Financial Services Software Ltd. | 1/17/2014 | Tom Harley | Half Yearly | 48 | 48 | 0 | |
| dfbdfb | 16533 | General Business Requirements | Effective Product Administration | Client Data Confidentiality | Advisory Activity | Oracle Financial Services Software, Inc. | 1/2/2014 | Obligation Identifier | Half Yearly | 1 | 1 | 0 | Yes |
| gdfg52523 | 82288 | General Business Requirements | Resolve Complaints & Disputes | | External Fraud | | 1/6/2014 | Obligation Identifier | Yearly | 3 | 3 | 0 | Yes |
| obligation for risk | 14812 | Customer Satisfaction | Effective Product Administration | Liquidity Management | Systems | Oracle Financial Services Software, Inc. | 12/31/2013 | Obligation Identifier | Half Yearly | 3 | 3 | 0 | Yes |
| obligation for the new questionnaire | 82657 | General Business Requirements | Maintain Privacy and Confidentiality | | Execution, Delivery and Process Management | | 1/30/2014 | Obligation Identifier | Yearly | 1 | 1 | 0 | |

**Figure 540. Obligation Details**

The number of impacted business unit column in the report displays the count of business units linked to the obligation. Click on this count to view the obligations assessment details.

Click on the number of compliance plans and number of regulations/policies hyperlink to view the obligation-compliance plan details and the regulation details, respectively.

## Incidents Management

Incidents may include errors in internal processes, controls and projects, caused by technological, organizational or external factors. Business losses occur in day-to-day operations due to various Incidents. For example, a server crash is an Incident which causes a disruption in the business process. These Incidents can be captured in a system to identify the loss-causing events and plan for loss recovery. The Incidents component of OFSOR allows a financial institution to capture and monitor various Incidents that cause operational risk.

This module allows guest users to report Incidents without revealing personnel identity, thus following the whistle blower policy. Incident management helps an organization to analyze the events at different levels and take necessary steps to prevent loss-causing events in the future.

For more information on module, refer to *Chapter 6, Managing Incidents*.

This dashboard displays the reports based on the incidents data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Risk Category
- Process
- Incident Occurrence Date

The Incidents Dashboard displays the following reports:

- *Incidents by Different Time Intervals*
- *Incidents by Group*
- *Incidents by Business Line*
- *Largest Losses*
- *Losses Impacting Multiple Business Units*
- *Compliance Incidents*
- *Risks Associated With Losses*
- *Controls Associated With Losses*
- *Incidents with their Action Plans*

Following reports are additional reports:

- *Confidential Incidents by Different Time Intervals*
- *Legal Incidents by Different Time Intervals*
- *Incidents with Risks Having No Controls*
- *Incidents with No Risks*
- *Losses with No Insurance Cover*
- *Incidents with Insurance Cover*
- *Near Miss Incidents*
- *Incidents by Primary Cause*

- *Losses by Business Line/Risk Event Type*
- *Loss Events - Not Approved*
- *Losses by Impact*
- *Losses by Incident Type*
- *Incidents by Change Management*
- *Overdue Issues for Incidents By Business Line*
- *Overdue Actions for Incidents By Business Line*
- *Issues Exceeding Estimated Cost for Business Line*
- *Actions Exceeding Estimated Cost for Incidents By Business Line*
- *Incidents by Status*
- *Incident Details*

### *Incidents by Different Time Intervals*

This report displays the gross loss amount, net loss amount, and the number of incidents for a time period. Incidents in all statuses except closed are considered in this report.

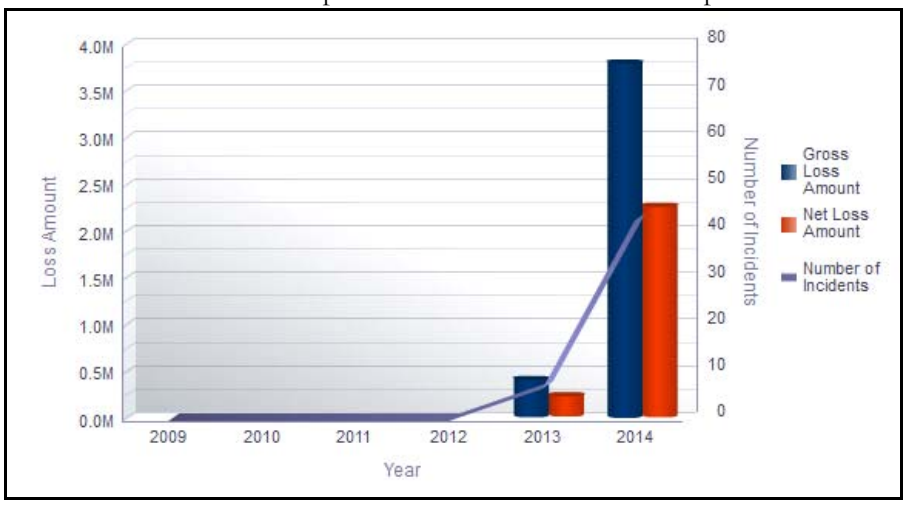



**Figure 541. Incidents by Different Time Intervals**

The X axis represents the year. You can choose either financial year or calendar year as the time period based on your preference.

The Y axis of the graph represents the amount of losses and the Y1 axis represents the number of incidents.

By default, the Y axis displays the data for the past 6 months from the current date. If you select month interval, the graph displays data for the past 6 months from the current month. If you select quarter interval, the graph displays data for the past 6 quarters from the current quarter. If you select year interval, the graph displays data for the past 6 years from the current year.

The graph displays two bars, one bar represents the gross loss amount and the other bar represents the net loss amount.

Total gross loss or Total Net Loss or Total number of incidents includes the sum of gross loss or sum of net loss or sum of number of incidents for the incidents whose occurrence date falls in the month.

Click on the year in the X axis to view the drill down reports for quarter.

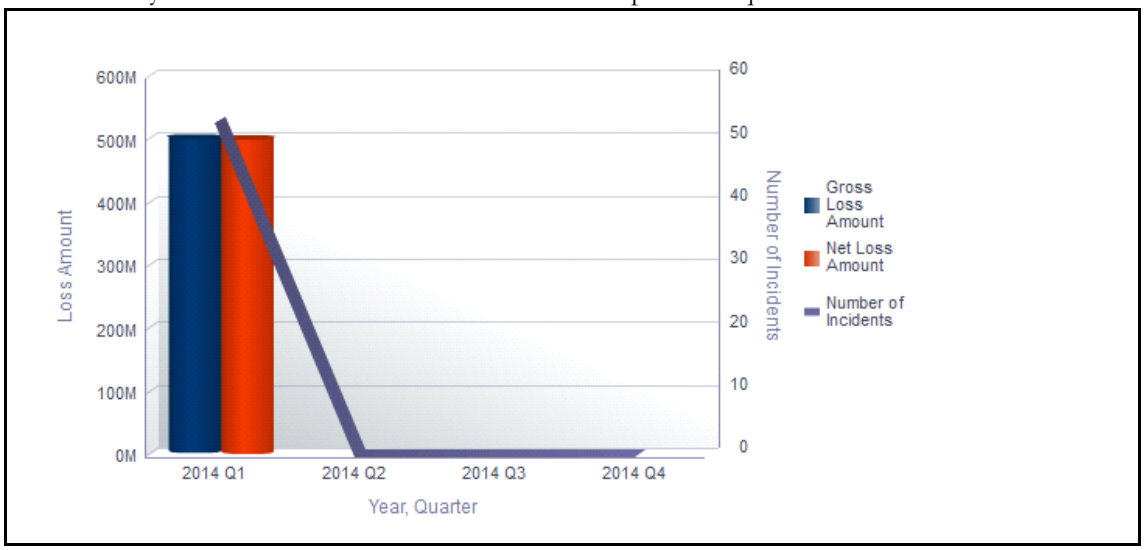



**Figure 542. Drill Down Report By Quarter**

Click on the quarters in the X axis to view the drill down reports for months.

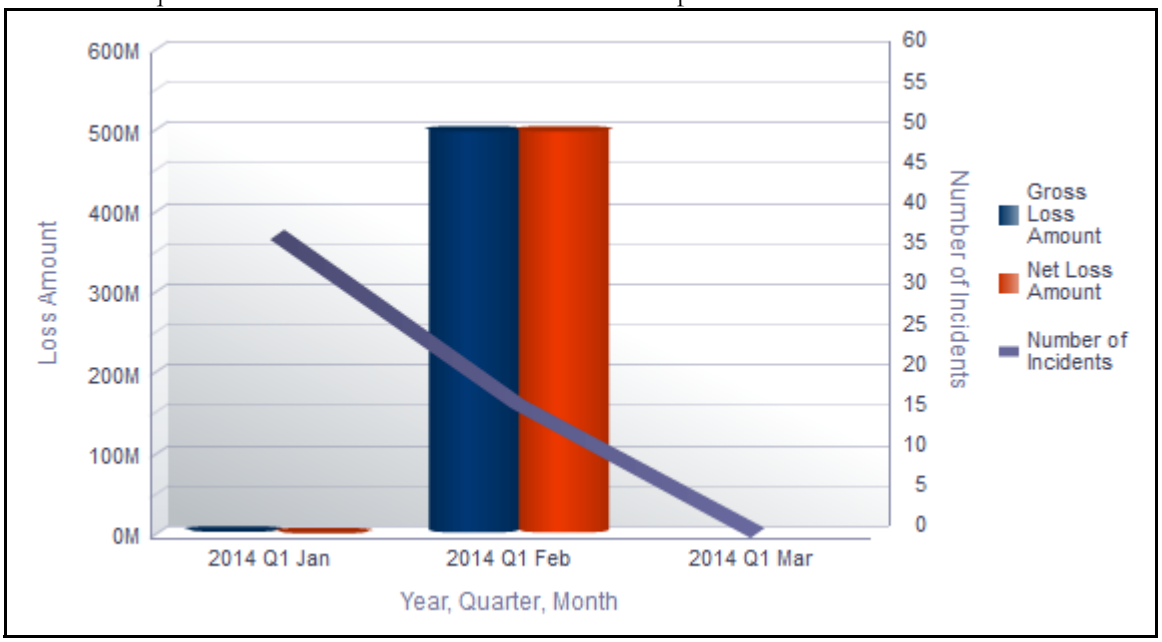



**Figure 543. Drill Down Report By Month**

Click on any of the bars in the report to view the Incident details.

| Incident Name | Incident ID | Risk Event Type | Compliance Incident | Legal Incident | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Status | Impacted Business Line | Impacted Location | Date of Recognition | Impact Type | Impact Amount | Business Line | Location | Risk Category | Process | Risk Inventory |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Compliance Legal Incident from ormuser | 14333 | Clients, Products and Business Practices | Yes | Yes | 31/12/2013 | 31/12/2013 | EUR | | | Pending Approval | ABC USA | New York City | | | | ABC USA | New York City | | | Life Insurance Risk |
| KI | 14296 | Business Disruption and System Failures | Yes | Yes | 31/12/2013 | 29/12/2013 | EUR | | | Ownership | ABC USA | New York City | | | | ABC USA | New York City | | | Operational Risk |
| confidentall1 | 63090 | Business Disruption and System Failures | No | No | 26/03/2013 | 31/01/2013 | EUR | 0.00 | 0.00 | Pending Approval | ABC USA | New York City | 13/05/2013 | Actual Loss | 200.00 | ABC USA | New York City | | | Regulatory & Compliance Risk |
| inc1 | 10111 | Systems | No | No | 31/12/2013 | 31/12/2013 | EUR | | -25,000.00 | Ownership | ABC USA | New York City | 05/01/2014 | Recovery | | ABC USA | New York City | | | Non-traded Market Risk |
| | | | | | | | | | | | | | 16/01/2014 | Near Mas | | ABC USA | New York City | | | Non-traded Market Risk |
| | | | | | | | | | | | | | 17/01/2014 | Near Mas | | ABC USA | New York City | | | Non-traded Market Risk |
| incident1 | 10710 | Systems | No | No | 31/12/2013 | 31/12/2013 | EUR | 100,000.00 | 100,000.00 | Approved | ABC USA | New York City | 31/12/2013 | Actual Loss | 100,000.00 | ABC USA | New York City | | | Life Insurance Risk |
| legal incident2013 | 62551 | Internal Fraud | No | Yes | 29/01/2013 | 29/01/2013 | EUR | 5,100.00 | 5,100.00 | Pending Approval | ABC USA | New York City | 17/01/2014 | Actual Loss | 5,100.00 | ABC USA | New York City | | process-linked | Life Insurance Risk |
| legal1 | 63067 | Employment Practice and Workplace Safety | No | Yes | 08/01/2013 | 07/01/2013 | EUR | 300,000.00 | 150,000.00 | Pending Review | ABC USA | New York City | 22/01/2014 | Gains | 3,000.00 | ABC USA | New York City | | | Regulatory & Compliance Risk |
| | | | | | | | | | | | | | 29/01/2014 | Actual Loss | 300,000.00 | ABC USA | New York City | | | Regulatory & Compliance Risk |

**Figure 544. Incident Details**

*Incidents by Group*

This report displays all the incidents by their group. Incidents in all statuses except closed are considered in this report.

You can view the report either in the form of bar chart or table using the drop-down option provided. By default, the report is displayed in bar chart.

If an Incident is captured under multiple groups, then the incident is accounted for calculation in each group.

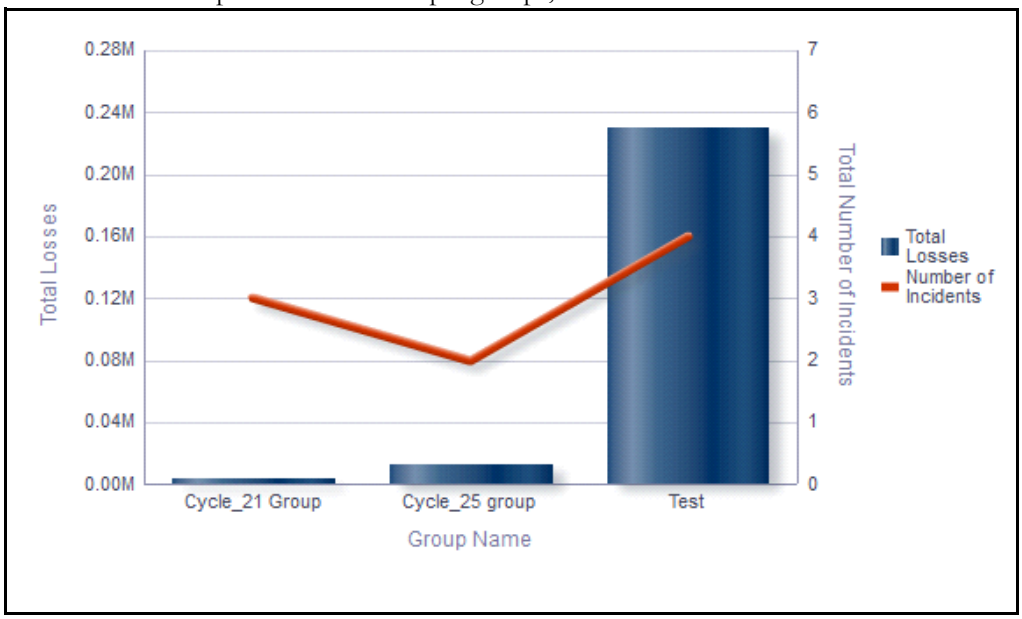



**Figure 545. Incidents by Group (Bar Chart)**

The X axis represents the group, Y axis represents the total number of incidents, and the Y1 axis represents the total losses.

The Total losses of incidents is calculated in base CCY based on the Identification Date and the Net loss of each incident in the group.

Tabular

| Group Name | Group Description | Number of Incidents | Currency | Total Losses(in Base Currency) | Total Losses |
|---|---|---|---|---|---|
| Cycle_21 Group | Cycle_21 Group | 1 | INR | 16000 | 4000.00 |
| | | 1 | | 25000 | 12500.00 |
| | | 1 | | 79940 | 19985.00 |

**Figure 546. Incidents By Group (Table)**

Click on the number if incidents hyperlink to view all the incidents which are a part of the group.

### *Incidents by Business Line*

This report displays the gross loss amount, net loss amount, and the number of incidents by business line. Incidents in all statuses except closed are considered in this report.

By default, this report displays the first level of business line. If required, you can drill down to the last level.

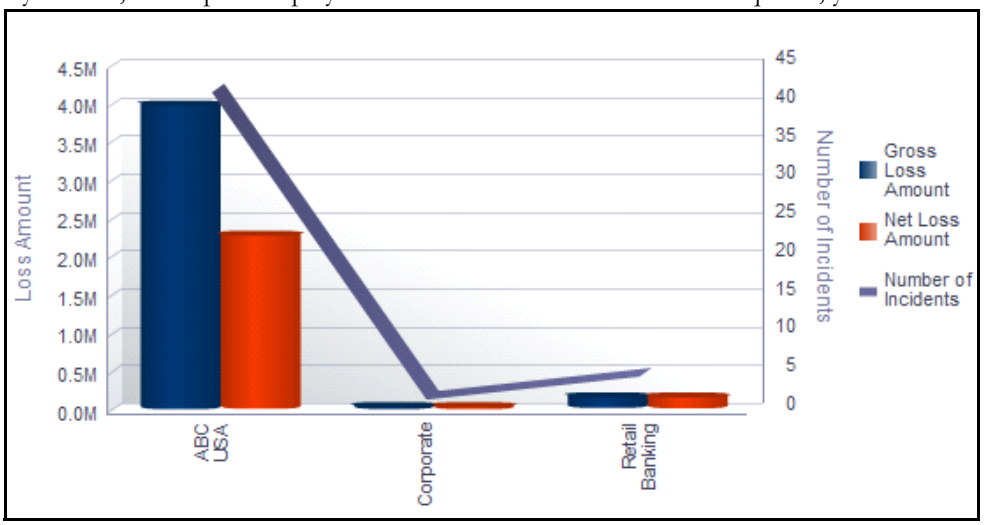



**Figure 547. Incidents by Business Line**

The X axis represents the business line, Y axis represents the loss amount, and the Y1 axis represents the number of incidents.

The graph displays two bars, one bar represents the gross loss amount and the other bar represents the net loss amount.

Click on each of the business lines in the X axis to view the gross loss amount, net loss amount, and the number of incidents for each of the child levels.

Click on the net loss amount and the gross loss amount bars in the report to view the incident details for each of the business lines.

### *Largest Losses*

This report displays all the incidents by their key business dimensions (KBDs). Incidents in all status except closed are considered in this report.

By default, the report is arranged in descending order of the gross loss amount.

| Rank | Incident Name | Incident ID | Event Type | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Status | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Incident gains non-base ccy | 74280 | Customer Intake and Documentation | 23/01/2014 | 23/01/2014 | EUR | 1,525,000.00 | 25,000.00 | Pending Review | ABC USA | New York City | | |
| 2 | test PFI | 91923 | Account churning | 03/02/2014 | 03/02/2014 | EUR | 1,500,000.00 | 1,500,000.00 | Pending Review | ABC USA | New York City | | |
| 3 | legal1 | 63067 | Employment Practice and Workplace Safety | 08/01/2013 | 07/01/2013 | EUR | 300,000.00 | 150,000.00 | Pending Review | ABC USA | New York City | | |
| 4 | inc with no insurance recovery | 49309 | Damage to Physical Assets | 07/01/2014 | 07/01/2014 | EUR | 175,000.00 | 162,000.00 | Ownership | ABC USA | New York City | | |
| 5 | incident1 | 10710 | Systems | 31/12/2013 | 31/12/2013 | EUR | 100,000.00 | 100,000.00 | Approved | ABC USA | New York City | | |
| 6 | Incident multiple impact KBD | 96552 | Clients, Products and Business Practices | 07/02/2014 | 07/02/2014 | EUR | 93,333.00 | 93,333.00 | Ownership | ABC USA | New York City | | |
| 7 | INCIDENT 2 | 58094 | Advisory Activity | 16/01/2014 | 16/01/2014 | EUR | 92,500.00 | 87,500.00 | Pending Review | Retail Banking | London | | process for plan |
| 7 | incident 2 | 44183 | Clients, Products and Business Practices | 07/01/2014 | 07/01/2014 | EUR | 92,500.00 | 87,500.00 | Pending Review | ABC USA | New York City | | |
| 8 | compliance incidnet >upper | 75147 | Employment Practice and Workplace Safety | 23/01/2014 | 23/01/2014 | EUR | 90,000.00 | 90,000.00 | Pending Review | ABC USA | New York City | | process-linked |
| 9 | Workflow comments check | 73900 | Clients, Products and Business Practices | 23/01/2014 | 23/01/2014 | EUR | 80,000.00 | 80,000.00 | Pending Review | ABC USA | New York City | | |

**Figure 548. Largest Losses**

### *Losses Impacting Multiple Business Units*

This report displays all the incidents that have impacted multiple business units.

Incidents in all status except closed are considered in this report.

| Incident Name | Incident ID | Number of Business Units Impacted | Currency | Gross Loss Amount | Net Loss Amount | Occurrence Date | Identification Date | Status | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Incident multiple impact KBD | 96552 | 14 | EUR | 93,333.00 | 93,333.00 | 2/7/2014 | 2/7/2014 | Ownership | ABC USA | New York City | | |
| incident for Multiple KBD | 72161 | 2 | EUR | -7,000.00 | -7,000.00 | 1/22/2014 | 1/22/2014 | Ownership | ABC USA | New York City | | |
| test style sheet error | 63392 | 14 | EUR | 100.00 | 100.00 | 1/20/2014 | 1/20/2014 | Ownership | ABC USA | New York City | | |

**Figure 549. Losses Impacting Multiple Business Units**

Click on the number of business units impacted hyperlink to view the details of the impacted business unit.

| Incident ID | Incident Name | Business Line | Location | Risk Event Type | Incident Type | Currency | Gross Loss Amount | Net Loss Amount | Identification Date | Occurence Date | Impacted Business Line | Impacted Location | Impact Type | Amount | Date of Recognition | Financial Year |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 63392 | test style sheet error | ABC USA | New York City | Clients, Products and Business Practices | Op Risk /Credit Risk | EUR | 100.00 | 100.00 | 1/20/2014 | 1/20/2014 | ABC USA | New York City | | | | 2014 |
| | | | | | | | | | | | All | Accra | | | | 2014 |
| | | | | | | | | | | | | Astana | | | | 2014 |
| | | | | | | | | | | | | Bandar Seri Begawan | | | | 2014 |
| | | | | | | | | | | | | Bangkok | | | | 2014 |
| | | | | | | | | | | | | Beijing | | | | 2014 |
| | | | | | | | | | | | | Canberra | | | | 2014 |
| | | | | | | | | | | | | Colombo | | | | 2014 |
| | | | | | | | | | | | | Dhaka | | | | 2014 |
| | | | | | | | | | | | | Hagatna | | | | 2014 |
| | | | | | | | | | | | | Hanoi | | | | 2014 |
| | | | | | | | | | | | | Hong Kong | | | | 2014 |
| | | | | | | | | | | | | Jakarta | | | | 2014 |
| | | | | | | | | | | | | Kuala Lumpur | | | | 2014 |

**Figure 550. Number of Business Units Impacted**

### *Compliance Incidents*

This report displays all the incidents that are compliance incidents. Compliance Incidents are incidents that are of Incident Type *Compliance*. Incidents in all statuses except closed are considered in this report.

| Incident Name | Incident ID | Risk Event Type | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Regulation | Regulator Name | Regulator Notified | Date of Notification | Breach Impact |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Compliace Incident >upper non-base | 75175 | Employment Practice and Workplace Safety | 23/01/2014 | 23/01/2014 | EUR | 70,000.00 | 70,000.00 | Regulation 12345678900 | Regulator1 | No | 1/23/2014 | Medium Impact |
| Compliance Legal Incident from ormuser | 14333 | Clients, Products and Business Practices | 31/12/2013 | 31/12/2013 | EUR | | | Regulation 12345678900 | Regulator1 | Yes | 12/31/2013 | Medium Impact |
| Compliance tab check scn 3 | 74965 | Execution, Delivery and Process Management | 23/01/2014 | 23/01/2014 | EUR | 21,000.00 | 21,000.00 | Regulation 12345678900 | Regulator1 | No | 1/23/2014 | High Impact |
| Compliance tab check23 | 74503 | Employment Practice and Workplace Safety | 23/01/2014 | 23/01/2014 | EUR | 25,000.00 | 25,000.00 | Regulation 12345678900 | Regulator1 | No | 1/23/2014 | Medium Impact |
| Incident gains non-base ccy | 74280 | Customer Intake and Documentation | 23/01/2014 | 23/01/2014 | EUR | 1,525,000.00 | 25,000.00 | Regulation 12345678900 | Regulator1 | No | 1/23/2014 | High Impact |
| KI | 14296 | Business Disruption and System Failures | 31/12/2013 | 29/12/2013 | EUR | | | Regulation 12345678900 | Regulator1 | Yes | 12/31/2013 | |
| compliance incidnet >upper | 75147 | Employment Practice and Workplace Safety | 23/01/2014 | 23/01/2014 | EUR | 90,000.00 | 90,000.00 | Regulation 12345678900 | Regulator1 | No | 1/23/2014 | High Impact |
| incident 2 from guest | 16530 | Damage to Physical Assets | 02/01/2014 | 02/01/2014 | EUR | | | Regulation 12345678900 | Regulator1 | Yes | 1/17/2014 | Low Impact |
| incident from guest user | 15792 | Employee Relations | 02/01/2014 | 02/01/2014 | EUR | 20,000.00 | 20,000.00 | Regulation 12345678900 | Regulator1 | No | 1/2/2014 | High Impact |
| incident3432 | 17359 | Business Disruption and System Failures | 02/01/2014 | 02/01/2014 | EUR | 3,333.00 | 3,333.00 | Regulation 12345678900 | Regulator1 | Yes | 1/2/2014 | High Impact |

**Figure 551. Compliance Incidents**

### *Risks Associated With Losses*

This report displays all the risks linked to incidents. Only risks in open status and incidents in all status except closed are considered in this report.

| Incident Name | Incident ID | Risk Event Type | Currency | Gross Loss Amount | Net Loss Amount | Risk Name | Risk ID | Inherent Rating | Control Effectivness | Residual Rating | Residual Financial Impact |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Confidential incident | 41542 | Clients, Products and Business Practices | EUR | 70,000.00 | 70,000.00 | risk localized | 42725 | Medium | Qualified | Low | 22.00 |
| INCIDENT 2 | 58094 | Advisory Activity | EUR | 92,500.00 | 87,500.00 | Questionnaire based risk | 16174 | High | Qualified | High | |
| | | | | | | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| Incident duplicate | 75325 | Account churning | EUR | 15,000.00 | 15,000.00 | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| KBD -Data level Security1 | 94042 | Clients, Products and Business Practices | EUR | 79,000.00 | 79,000.00 | Risk for Questionnaire | 59875 | High | Qualified | Medium | 12.00 |
| KI | 14296 | Business Disruption and System Failures | EUR | | | KI Risk | 13845 | Not Rated | Not Rated | Not Rated | |
| Legal Incident Closed | 59152 | Business Disruption and System Failures | EUR | | | Questionnaire based risk | 16174 | High | Qualified | High | |
| inc 10 | 55088 | Theft and Fraud | EUR | 33,333.00 | 33,333.00 | Questionnaire based risk | 16174 | High | Qualified | High | |
| inc with no insurance recovery | 49309 | Damage to Physical Assets | EUR | 175,000.00 | 162,000.00 | Questionnaire based risk | 16174 | High | Qualified | High | |
| inc1 | 10111 | Systems | EUR | | -25,000.00 | Questionnaire based risk | 16174 | High | Qualified | High | |
| incident for Multiple KBD | 72161 | Employment Practice and Workplace Safety | EUR | -7,000.00 | -7,000.00 | risk for incident23 | 73430 | Not Rated | Not Rated | Not Rated | |
| incident 2 | 44183 | Clients, Products and Business Practices | EUR | 92,500.00 | 87,500.00 | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| | 52421 | External Fraud | EUR | | | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| incident 2 from guest | 16530 | Damage to Physical Assets | EUR | | | Questionaire risk | 16384 | High | Qualified | High | |
| incident from guest user | 15792 | Employee Relations | EUR | 20,000.00 | 20,000.00 | Questionaire risk | 16384 | High | Qualified | High | |
| incident in network | 67244 | Advisory Activity | EUR | 222.00 | 222.00 | Risk for Questionnaire | 59875 | High | Qualified | Medium | 12.00 |
| legal incident2013 | 62551 | Internal Fraud | EUR | 5,100.00 | 5,100.00 | new risk for retest | 82801 | Not Rated | Not Rated | Not Rated | |
| legal1 | 63067 | Employment Practice and Workplace Safety | EUR | 300,000.00 | 150,000.00 | Risk for Questionnaire | 59875 | High | Qualified | Medium | 12.00 |
| | | | | | | new risk for retest | 82801 | Not Rated | Not Rated | Not Rated | |
| test PFI | 91923 | Account churning | EUR | 1,500,000.00 | 1,500,000.00 | risk for automation | 93327 | Not Rated | Not Rated | Not Rated | |
| test style sheet error | 63392 | Clients, Products and Business Practices | EUR | 100.00 | 100.00 | Questionnaire based risk | 16174 | High | Qualified | High | |

**Figure 552. Risks Associated With Losses**

Click on incident ID or risk ID in the report to view the incident details or the risk details.

### *Controls Associated With Losses*

This report displays all the controls linked to incidents. Only controls in open status and incidents in all status except closed are considered in this report.

| Incident Name | Incident ID | Risk Event Type | Currency | Gross Loss Amount | Net Loss Amount | Control Name | Control ID | Design Effectiveness | Operating Effectiveness | Overall Control Effectiveness |
|---|---|---|---|---|---|---|---|---|---|---|
| Inc1 | 83678 | Natural disaster losses | EUR | 40,000.00 | 39,970.00 | Bug 17956264 | 98892 | Not Rated | Not Rated | Not Rated |
| | | | | 40,000.00 | 39,970.00 | new test planaaaaa | 86733 | Effective | Effective | Effective |
| | | | | 40,000.00 | 39,970.00 | | | Requires Improvement | Qualified | Requires Improvement |
| Incident duplicate | 75325 | Account churning | EUR | 15,000.00 | 15,000.00 | Bug 17956264 | 98892 | Not Rated | Not Rated | Not Rated |
| | | | | 15,000.00 | 15,000.00 | Control record with questionnaire | 81553 | Not Rated | Not Rated | Not Rated |
| | | | | 15,000.00 | 15,000.00 | Local Control NEW | 73093 | Effective | Effective | Effective |
| | | | | 105,000.00 | 105,000.00 | | | Not Rated | Not Rated | Not Rated |
| | | | | 15,000.00 | 15,000.00 | | | Qualified | Effective | Qualified |
| | | | | 30,000.00 | 30,000.00 | | | Requires Improvement | Qualified | Requires Improvement |
| | | | | 15,000.00 | 15,000.00 | | | | Requires Improvement | Requires Improvement |
| | | | | 15,000.00 | 15,000.00 | new test planaaaaa | 86733 | Effective | Effective | Effective |
| | | | | 15,000.00 | 15,000.00 | | | Requires Improvement | Qualified | Requires Improvement |
| Incident issue link check | 81140 | Employment Practice and Workplace Safety | EUR | | | Questionaire Based | 81827 | Not Rated | Not Rated | Not Rated |
| | | | | | | | | Qualified | Effective | Qualified |
| Incident multiple impact KBD | 96552 | Clients, Products and Business Practices | EUR | 93,333.00 | 93,333.00 | Bug 17956264 | 98892 | Not Rated | Not Rated | Not Rated |
| LOSSES BY IMPACT check | 62269 | Damage to Physical Assets | EUR | 12,000.00 | 11,000.00 | TP# | 42606 | Qualified | Effective | Qualified |
| | | | | 12,000.00 | 11,000.00 | | | Requires Improvement | Qualified | Requires Improvement |
| Legal Incident Closed | 59152 | Business Disruption and System Failures | EUR | | | Bug 17956264 | 98892 | Not Rated | Not Rated | Not Rated |
| inc by Admin | 71708 | Damage to Physical Assets | EUR | | | New Control Patch applied | 57891 | Effective | Effective | Effective |
| | | | | | | | | Qualified | Requires Improvement | Requires Improvement |
| | | | | | | Questionaire Based | 81827 | Not Rated | Not Rated | Not Rated |
| | | | | | | | | Qualified | Effective | Qualified |
| inc1 | 10111 | Systems | EUR | | -25,000.00 | Bug 17956264 | 98892 | Not Rated | Not Rated | Not Rated |
| incident for Multiple KBD | 72161 | Employment Practice and Workplace Safety | EUR | -7,000.00 | -7,000.00 | Local Control NEW | 73093 | Effective | Effective | Effective |
| | | | | -49,000.00 | -49,000.00 | | | Not Rated | Not Rated | Not Rated |

**Figure 553. Controls Associated With Losses**

Click on incident ID or control ID in the report to view the incident details or the control details, respectively.

### *Incidents with their Action Plans*

This report displays all the action plans linked to incidents. Only action plans in open status are considered in this report.

This report displays all the incidents (in all status except closed) linked to an action plan.

| Incident Name | Incident ID | Risk Event Type | Currency | Gross Loss Amount | Net Loss Amount | Action Plan | Action ID | Action Cost | Action Created Date | Percent Complete |
|---|---|---|---|---|---|---|---|---|---|---|
| legal incident2013 | 62551 | Internal Fraud | EUR | 5,100.00 | 5,100.00 | test2test2 | 37126 | 25000.00 | 03/01/2014 | |
| sdfg | 87650 | Employment Practice and Workplace Safety | EUR | -179,999.00 | -179,999.00 | test2test2 | 37126 | 25000.00 | 03/01/2014 | |
| test PFI | 91923 | Account churning | EUR | 1,500,000.00 | 1,500,000.00 | Action 123 | 30355 | | 03/01/2014 | |

**Figure 554. Incidents With Their Action Plans**

Click on Incident ID or Action ID hyperlink to view the incident details and the action details.

### *Confidential Incidents by Different Time Intervals*

This report displays the gross loss amount, net loss amount, and the number of confidential incidents for a time period.

Incidents in all statuses except closed are considered in this report.

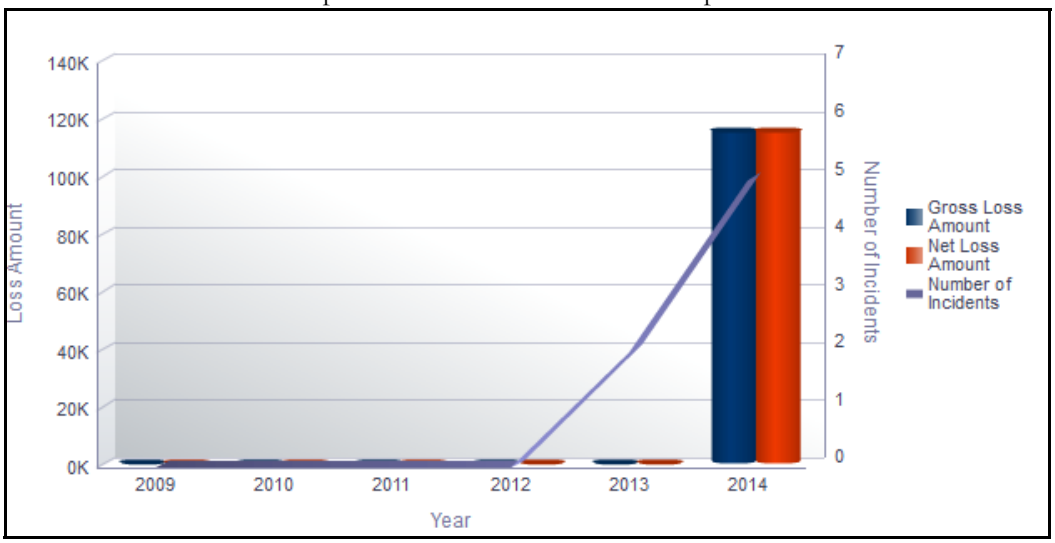



**Figure 555. Confidential Incidents by Different Time Intervals**

The X axis represents the year. You can choose either financial year or calendar year as the time period based on your preference.

The Y axis represents the amount of losses and the Y1 axis represents the number of incidents.

By default, the report displays the data for the past 6 months from the current date. If you select month interval, the graph displays data for the past 6 months from the current month. If you select quarter interval, the graph displays data for the past 6 quarters from the current quarter. If you select year interval, the graph displays data for the past 6 years from the current year.

The report displays two bars, one bar represents the gross loss amount and the other bar represents the net loss amount.

Total gross loss or Total Net Loss or Total number of incidents includes the sum of gross loss or sum of net loss or sum of number of incidents for the incidents whose occurrence date falls in the month.

Click on the year in the X axis to view the drill down report for quarter.

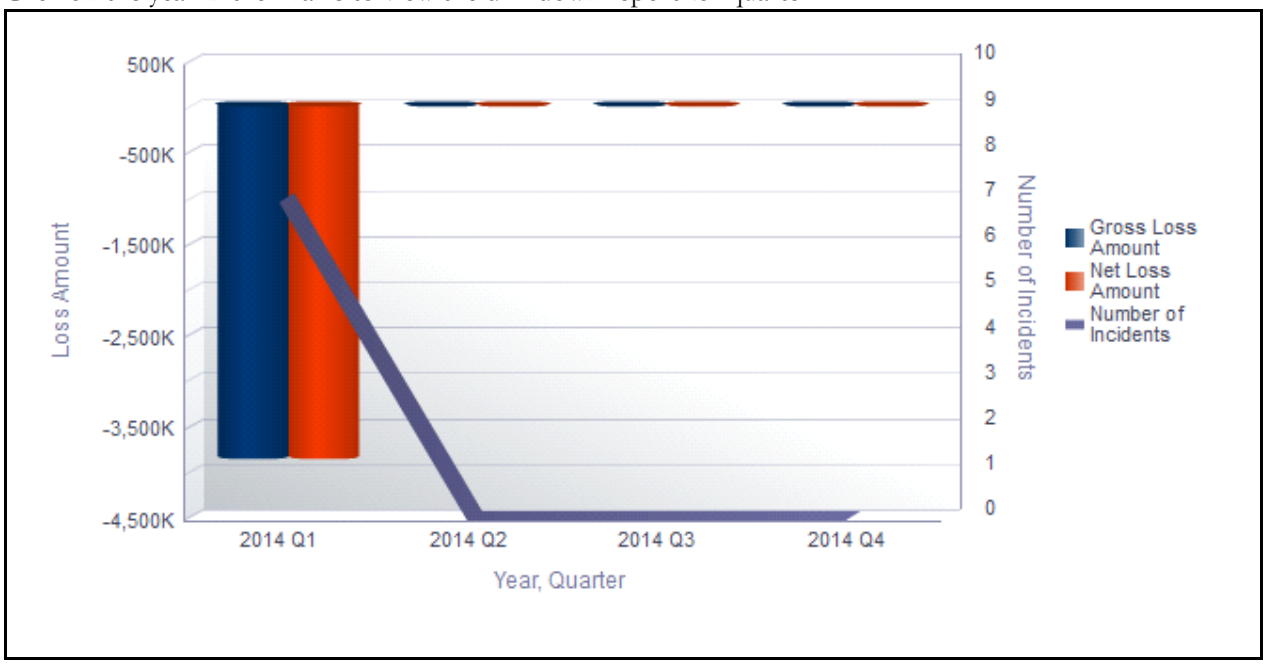



**Figure 556. Drill Down Report By Quarter**

Click on the quarter in the X axis to view the drill down report for months.

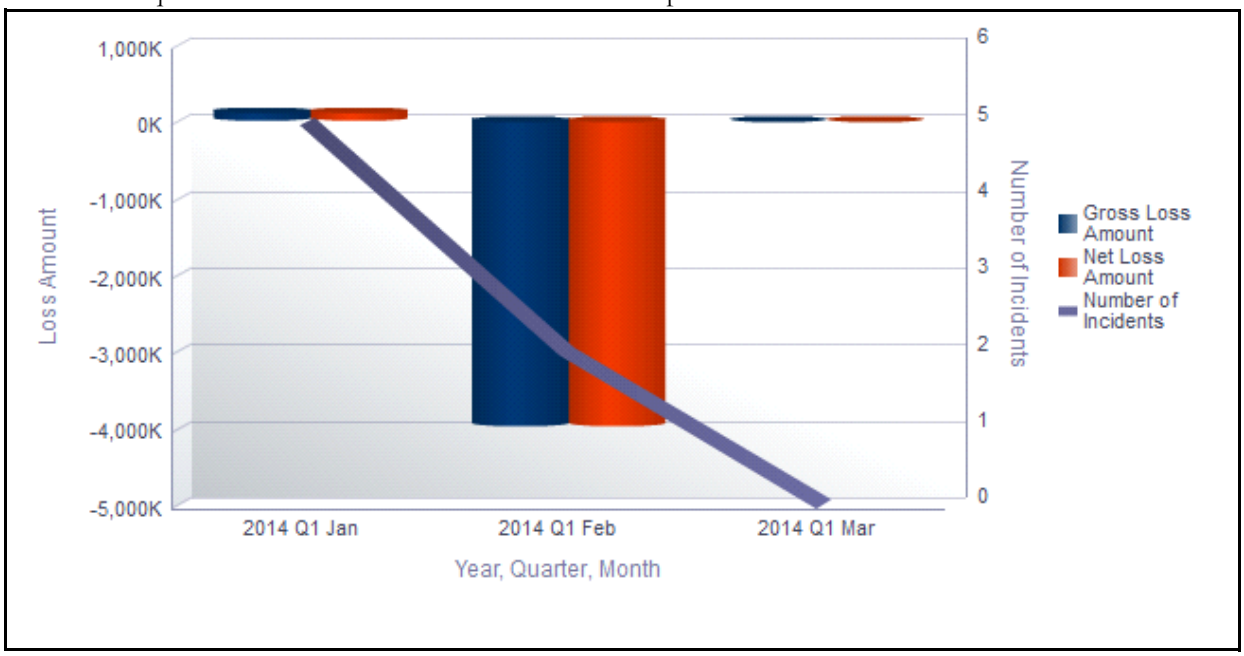



**Figure 557. Drill Down Report By Month**

Click on any of the bars in the report to view the incident details.

*Legal Incidents by Different Time Intervals*

This report displays the gross loss amount, net loss amount, and the number of legal incidents for a time period. Incidents in all statuses except closed are considered in this report.

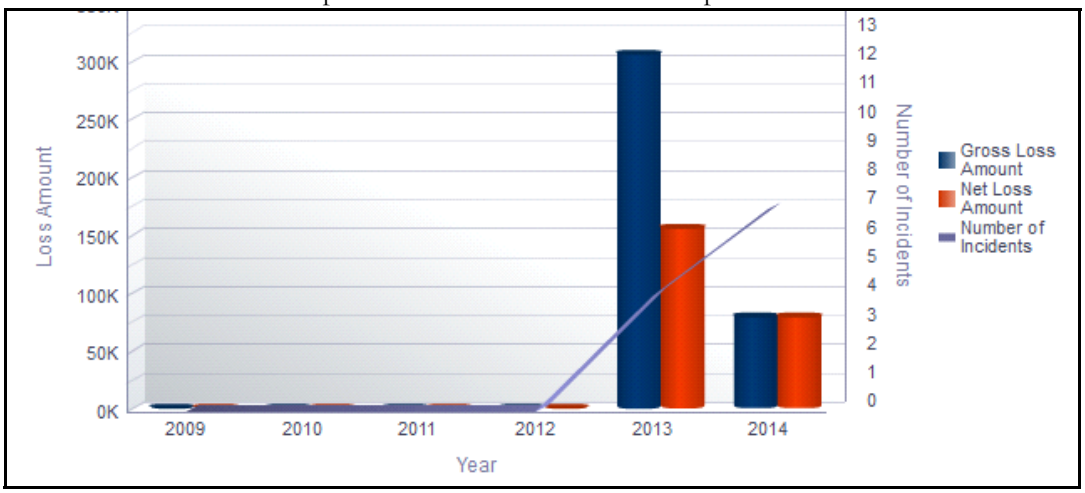



**Figure 558. Legal Incidents by Different Time Intervals**

The X axis represents the year. You can choose either financial year or calendar year as the time period, based on your preference.

The Y axis represents the amount of losses and the Y1 axis represents the number of legal incidents

By default, the Y axis displays the data for the past 6 months from the current date.If you select month interval, the graph displays data for the past 6 months from the current month. If you select quarter interval, the graph displays data for the past 6 quarters from the current quarter. If you select year interval, the graph displays data for the past 6 years from the current year.

The graph displays two bars, one bar represents the gross loss amount and the other bar represents the net loss amount.

Total gross loss or Total Net Loss or Total number of incidents includes the sum of gross loss or sum of net loss or sum of number of incidents for the incidents whose occurrence date falls in the month.

Click on the year in the X axis to view the drill down report for quarter.

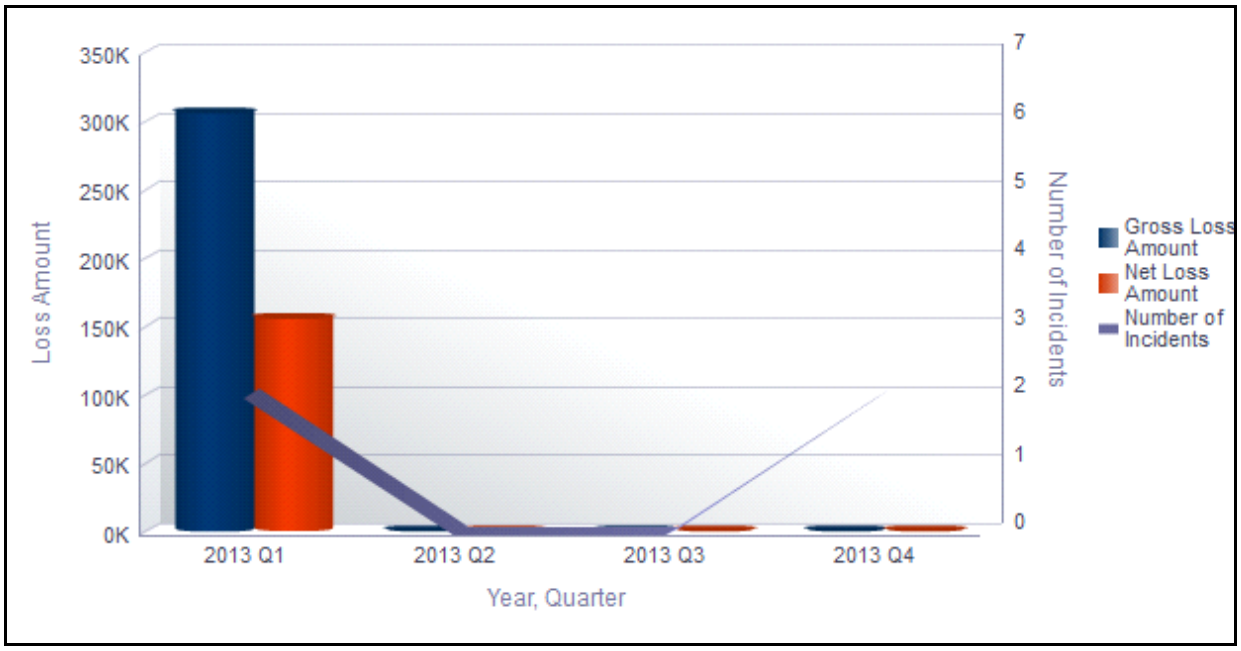



**Figure 559. Drill Down Report By Quarter**

Click on the quarter in the X axis to view the drill down report for months.

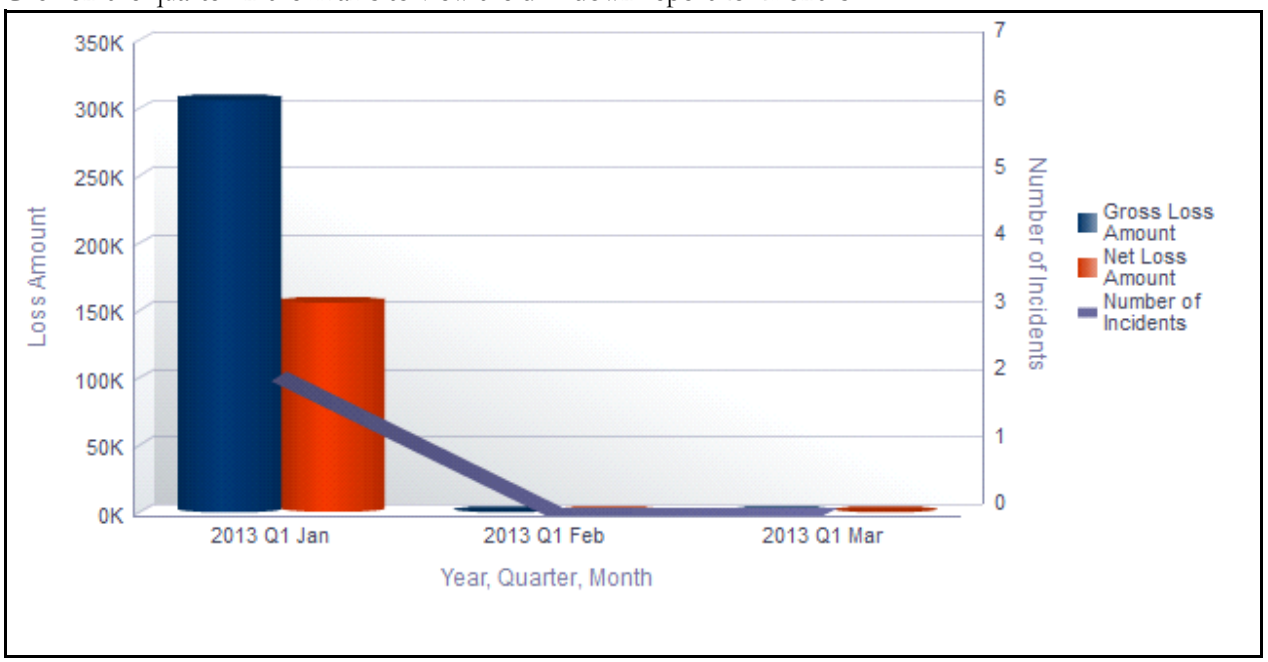



**Figure 560. Drill Down Report By Month**

Click on any of the bars in the report to view the incident details.

### *Incidents with Risks Having No Controls*

This report displays the risk without any controls, that are linked to an incident. Only risks in open status are considered in this report. This report displays all the incidents (in all status, except closed) linked to the risk.

| Incident Name | Incident ID | Risk Event Type | Currency | Gross Loss Amount | Net Loss Amount | Risk Name | Risk ID | Inherent Rating | Control Effectivness | Residual Rating | Residual Financial Impact |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Confidential incident | 41542 | Clients, Products and Business Practices | EUR | 70,000.00 | 70,000.00 | risk localized | 42725 | Medium | Qualified | Low | 22.00 |
| INCIDENT 2 | 58094 | Advisory Activity | EUR | 92,500.00 | 87,500.00 | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| Incident duplicate | 75325 | Account churning | EUR | 15,000.00 | 15,000.00 | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| KI | 14296 | Business Disruption and System Failures | EUR | | | KI Risk | 13845 | Not Rated | Not Rated | Not Rated | |
| incident 2 | 44183 | Clients, Products and Business Practices | EUR | 92,500.00 | 87,500.00 | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |
| | 52421 | External Fraud | EUR | | | risk for incident | 100914 | Not Rated | Not Rated | Not Rated | |

**Figure 561. Incidents With Risks Having No Controls**

Click on incident ID and risk ID hyperlink to view the risk details and the incident details.

### *Incidents with No Risks*

This report displays all the incidents with no risks linked to it. Incidents in all status (except closed) are considered in this report.

| Incident Name | Incident ID | Event Type | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Status | Compliance Incident | Legal Incident | Business Line | Location | Risk Category | Process | Risk Inventory |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| @$@#$#@$$$$$$$$$$$$$$$$$$ | 23442 | Diversity and Discrimination | 02/01/2014 | 02/01/2014 | EUR | | | Ownership | No | No | ABC USA | New York City | | | Defined Benefit Pension Risk |
| Compliace Incident >upper non-base | 75175 | Employment Practice and Workplace Safety | 23/01/2014 | 23/01/2014 | EUR | 70,000.00 | 70,000.00 | Pending Review | Yes | No | ABC USA | New York City | | | Non-traded Market Risk |
| Compliance Legal Incident from ormuser | 14333 | Clients, Products and Business Practices | 31/12/2013 | 31/12/2013 | EUR | | | Pending Approval | Yes | Yes | ABC USA | New York City | | | Life Insurance Risk |
| Compliance tab check scn 3 | 74965 | Execution, Delivery and Process Management | 23/01/2014 | 23/01/2014 | EUR | 21,000.00 | 21,000.00 | Approved | Yes | No | ABC USA | New York City | | | Operational Risk |
| Compliance tab check23 | 74503 | Employment Practice and Workplace Safety | 23/01/2014 | 23/01/2014 | EUR | 25,000.00 | 25,000.00 | Approved | Yes | Yes | ABC USA | New York City | | | Non-traded Market Risk |
| Inc1 | 83678 | Natural disaster losses | 29/01/2014 | 29/01/2014 | EUR | 40,000.00 | 39,970.00 | Pending Approval | No | No | Corporate | London | | | Credit Risk |
| Incident Cycle_23 | 109953 | Damage to Physical Assets | 18/02/2014 | 18/02/2014 | EUR | -130,000.00 | -130,000.00 | Ownership | No | No | ABC USA | New York City | | | Defined Benefit Pension Risk |
| Incident duplicate 2 | 75374 | Damage to Physical Assets | 23/01/2014 | 23/01/2014 | EUR | 15,000.00 | 8,000.00 | Ownership | No | No | ABC USA | New York City | | | Operational Risk |
| Incident gains non-base ccy | 74280 | Customer Intake and Documentation | 23/01/2014 | 23/01/2014 | EUR | 1,525,000.00 | 25,000.00 | Pending Review | Yes | No | ABC USA | New York City | | | Life Insurance Risk |
| Incident issue link check | 81140 | Employment Practice and Workplace Safety | 30/01/2014 | 30/01/2014 | EUR | | | Ownership | No | No | ABC USA | New York City | Financial Crime | process for SOX | Life Insurance Risk |
| Incident multiple impact KBD | 96552 | Clients, Products and Business Practices | 07/02/2014 | 07/02/2014 | EUR | 93,333.00 | 93,333.00 | Ownership | No | No | ABC USA | New York City | | | Defined Benefit Pension Risk |
| KBD-Data level security 2 | 95293 | Damage to Physical Assets | 06/02/2014 | 06/02/2014 | EUR | | | Ownership | No | No | Corporate | London | | | Life Insurance Risk |
| LOSSES BY IMPACT check | 62269 | Damage to Physical Assets | 17/01/2014 | 17/01/2014 | EUR | 12,000.00 | 11,000.00 | Ownership | No | No | ABC USA | New York City | | | Regulatory & Compliance Risk |
| Task check | 77833 | Clients, Products and Business Practices | 24/01/2014 | 24/01/2014 | EUR | 7,010.00 | 7,010.00 | Pending Approval | No | No | ABC USA | New York City | | | Life Insurance Risk |

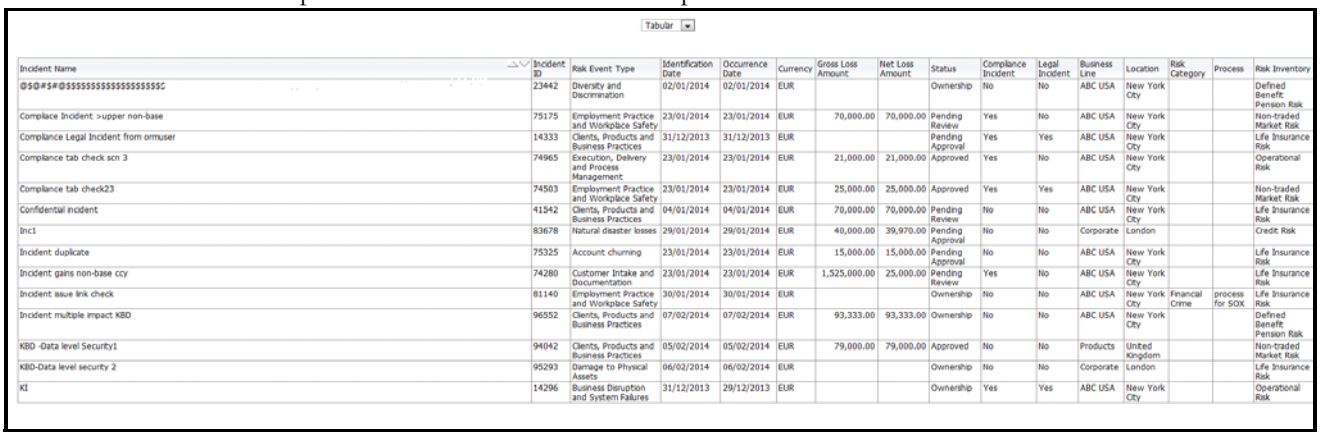
**Figure 562. Incidents with No Risks**

Click on Incident ID hyperlink to view the incident details.

### *Losses with No Insurance Cover*

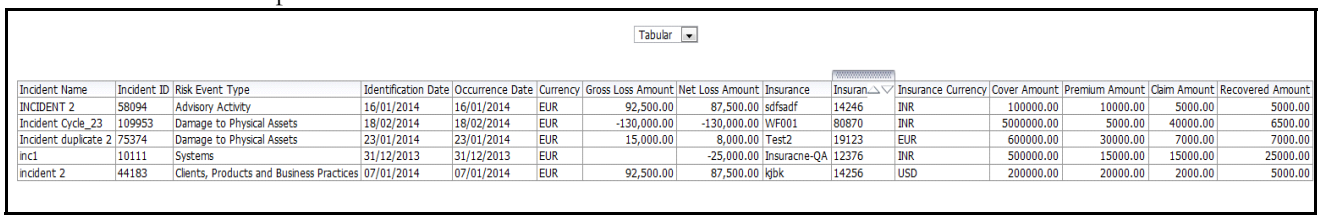
You can choose to view the report either in the form of bar chart or a tabular report using the drop-down option provided.

The tabular report displays all the Incidents where none of the Impacts captured are of insurance recovery type. Incidents in all status except closed are considered in this report.


Tabular

| Incident Name | Incident ID | Risk Event Type | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Status | Compliance Incident | Legal Incident | Business Line | Location | Risk Category | Process | Risk Inventory |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| @$@#$#@$$$

The tabular report displays all the Incidents which are covered with insurance. Incidents in all status except closed are considered in this report.


Tabular

| Incident Name | Incident ID | Risk Event Type | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Insurance | Insuran... | Insurance Currency | Cover Amount | Premium Amount | Claim Amount | Recovered Amount |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| INCIDENT 2 | 58094 | Advisory Activity | 16/01/2014 | 16/01/2014 | EUR | 92,500.00 | 87,500.00 | sdfsadf | 14246 | INR | 100000.00 | 10000.00 | 5000.00 | 5000.00 |
| Incident Cycle_23 | 109953 | Damage to Physical Assets | 18/02/2014 | 18/02/2014 | EUR | -130,000.00 | -130,000.00 | WF001 | 80870 | INR | 5000000.00 | 5000.00 | 40000.00 | 6500.00 |
| Incident duplicate 2 | 75374 | Damage to Physical Assets | 23/01/2014 | 23/01/2014 | EUR | 15,000.00 | 8,000.00 | Test2 | 19123 | EUR | 600000.00 | 30000.00 | 7000.00 | 7000.00 |
| inc1 | 10111 | Systems | 31/12/2013 | 31/12/2013 | EUR | | -25,000.00 | Insuracne-QA | 12376 | INR | 500000.00 | 15000.00 | 15000.00 | 25000.00 |
| incident 2 | 44183 | Clients, Products and Business Practices | 07/01/2014 | 07/01/2014 | EUR | 92,500.00 | 87,500.00 | kjbk | 14256 | USD | 200000.00 | 20000.00 | 2000.00 | 5000.00 |

**Figure 565. Incidents with Insurance Cover (Tabular Report)**

Click on the incident ID and the insurance ID hyperlink to view the incident details and the insurance details.

The graphical report displays the gross loss amount, claim amount, recovered amount, and the number of incidents by risk event type. This report displays incidents that are covered with insurance.

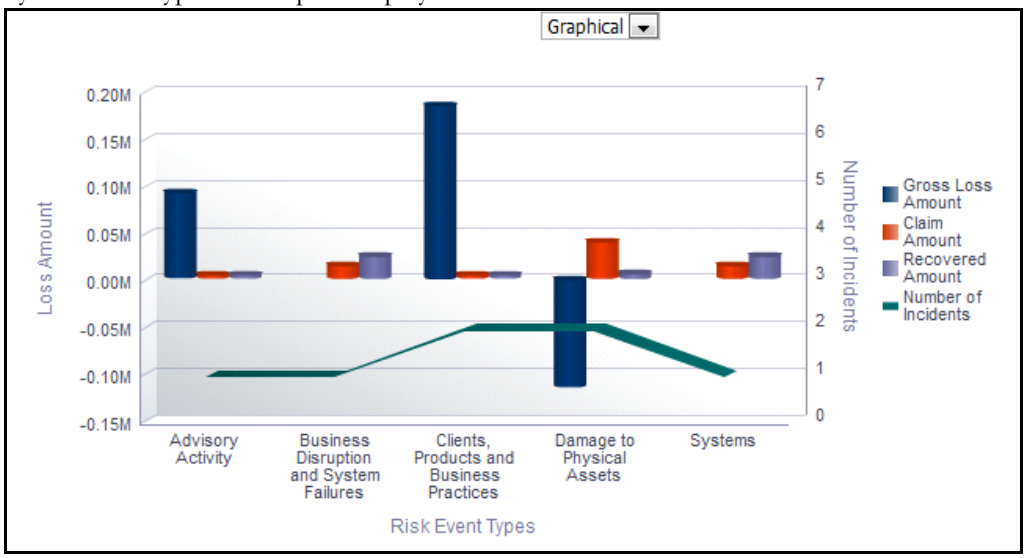



**Figure 566. Incidents with Insurance Cover (Graphical Report)**

The X axis represents the risk event type, Y axis represents the loss amount, and the Y1 axis represents the number of incidents.

By default, the X axis represents the first level risk event type, but you can drill down to the last level if required.

Click on the risk event type in X axis to view the gross loss amount, claim amount, recovered amount, and the number of incidents for each of the child risk event type.

### *Near Miss Incidents*

This report displays all the incidents with impact type as near miss. Incidents in all status except closed are considered in this report.

| Incident Name | Incident ID | Risk Event Type | Identification Date | Occurrence Date | Status | Compliance Incident | Legal Incident | Business Line | Location | Risk Category | Process | Risk Inventory |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Incident duplicate | 75325 | Account churning | 23/01/2014 | 23/01/2014 | Pending Approval | No | No | ABC USA | New York City | | | Life Insurance Risk |
| LOSSES BY IMPACT check | 62269 | Damage to Physical Assets | 17/01/2014 | 17/01/2014 | Ownership | No | No | ABC USA | New York City | | | Regulatory & Compliance Risk |
| inc1 | 10111 | Systems | 31/12/2013 | 31/12/2013 | Ownership | No | No | ABC USA | New York City | | | Non-traded Market Risk |
| sdfg | 87650 | Employment Practice and Workplace Safety | 31/01/2014 | 31/01/2014 | Ownership | No | No | ABC USA | New York City | | | Life Insurance Risk |

**Figure 567. Near Miss Incidents**

Click on Incident ID hyperlink to view the incident details.

*Incidents by Primary Cause*

This report displays the number of incidents by cause or the gross loss amount by cause or the net loss amount by cause.

Incidents in all statuses except closed are considered in this report.

The drop-down option allows you to view any of the following reports you want to view.

- Number of incidents by cause
- Gross loss amount by cause
- Net loss amount by cause

By default this report displays the number of incidents by cause.

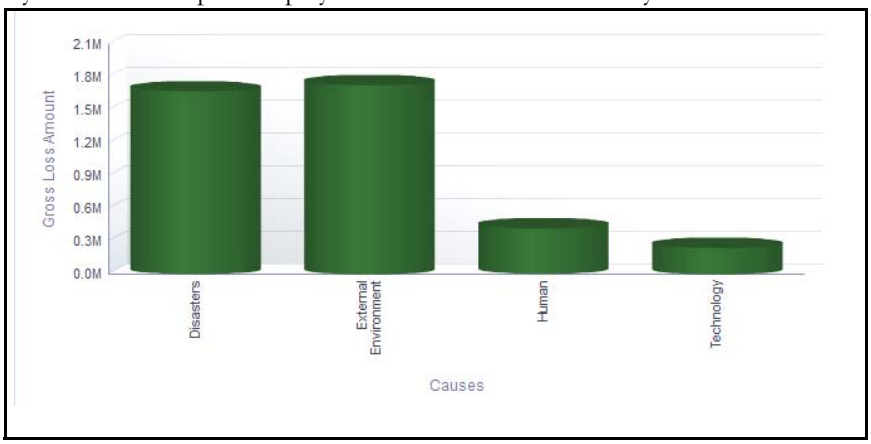



**Figure 568. Gross Loss Amount By Primary Cause**

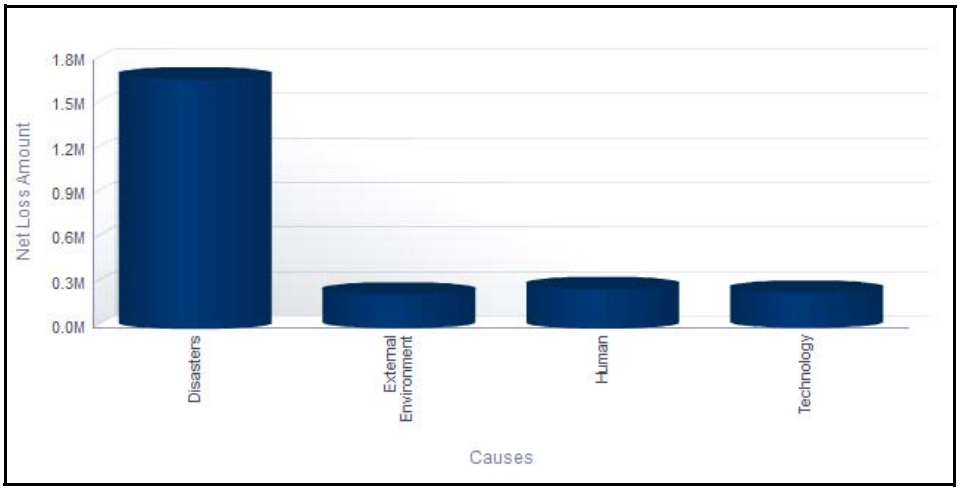



**Figure 569. Net Loss Amount By Primary Cause**

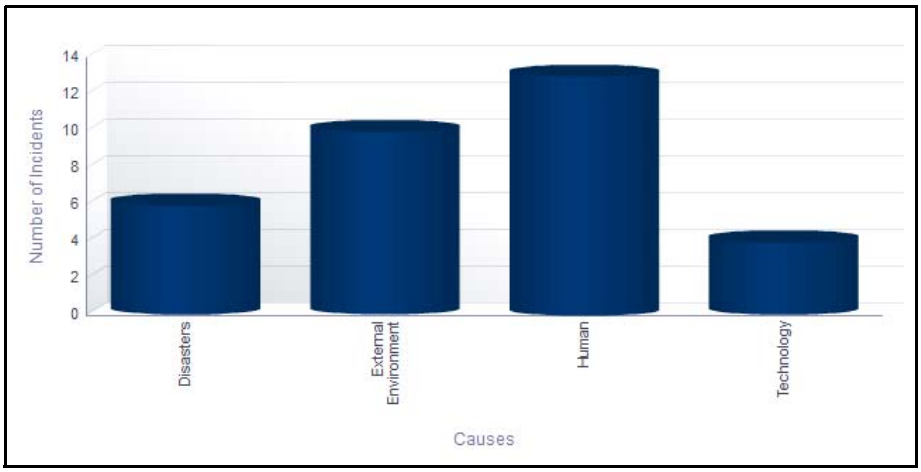



**Figure 570. Number of Incidents By Primary Cause**

The X axis represents the primary cause and the Y axis represents the number of incidents or gross loss or net loss based on the type or report selected.

Total gross loss or Total Net Loss or Total number of incidents for the cause is the sum of gross loss or sum of net loss or sum of number of incidents for the incidents by Primary cause, respectively.

Click on each of the primary causes in the X axis to view the number of incidents or gross loss or net loss for each of the child levels.

Click on any of the bars in the report to view the incident details.

### *Losses by Business Line/Risk Event Type*

This report displays the sum of gross loss by Business Line and Risk Event Type. Incidents in all status except closed are considered in this report.

Only first level Business Line and Risk Event Type is displayed by default.

| | Business Lines | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Risk Event Type | ABC USA | All | Corporate | ID and SB | Network and Advisory sales | Products | Retail Banking | Retail Finance |
| Account churning | 1,515,000.00 | 1,515,000.00 | | | | | | |
| Advisory Activity | | 92,722.00 | | | 222.00 | | 92,722.00 | 222.00 |
| Business Disruption and System Failures | 103,333.00 | 103,333.00 | | | | | | |
| Clients, Products and Business Practices | 1,857,943.00 | 2,029,665.00 | | | 222.00 | 79,000.00 | 171,722.00 | 222.00 |
| Customer Intake and Documentation | 1,525,000.00 | 1,525,000.00 | | | | | | |
| Damage to Physical Assets | 116,444.00 | 156,444.00 | 40,000.00 | | | | | |
| Disasters and Other Events | 40,000.00 | 80,000.00 | 40,000.00 | | | | | |
| Diversity and Discrimination | | | | | | | | |
| Employee Relations | 20,000.00 | 20,000.00 | | | | | | |
| Employment Practice and Workplace Safety | 318,001.00 | 318,001.00 | | | | | | |
| Execution, Delivery and Process Management | 1,546,000.00 | 1,546,000.00 | | | | | | |
| External Fraud | 33,333.00 | 33,333.00 | | | | | | |
| Internal Fraud | 5,100.00 | 5,100.00 | | | | | | |
| Natural disaster losses | 40,000.00 | 80,000.00 | 40,000.00 | | | | | |
| Suitability, Disclosure and Fiduciary | 1,515,000.00 | 1,515,000.00 | | | | | | |
| Systems | 100,000.00 | 100,000.00 | | | | | | |
| Theft and Fraud | 33,333.00 | 33,333.00 | | | | | | |
| Theft or Extortion or Embezzlement or Robbery | | | | | | | | |

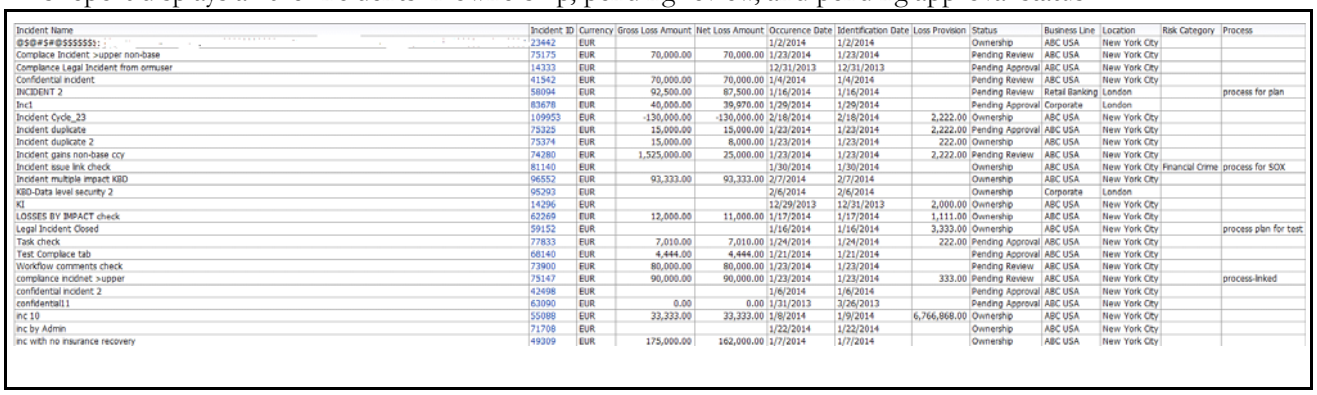
**Figure 571. Losses by Business Line / Risk Event Type**

This report displays the sum of gross loss amount of all the incidents for each combination of Business Line and Risk Event Type.

Click on the gross loss amount in the report to view the incident details.

### *Loss Events - Not Approved*

This report displays all the Incidents in ownership, pending review, and pending approval status.



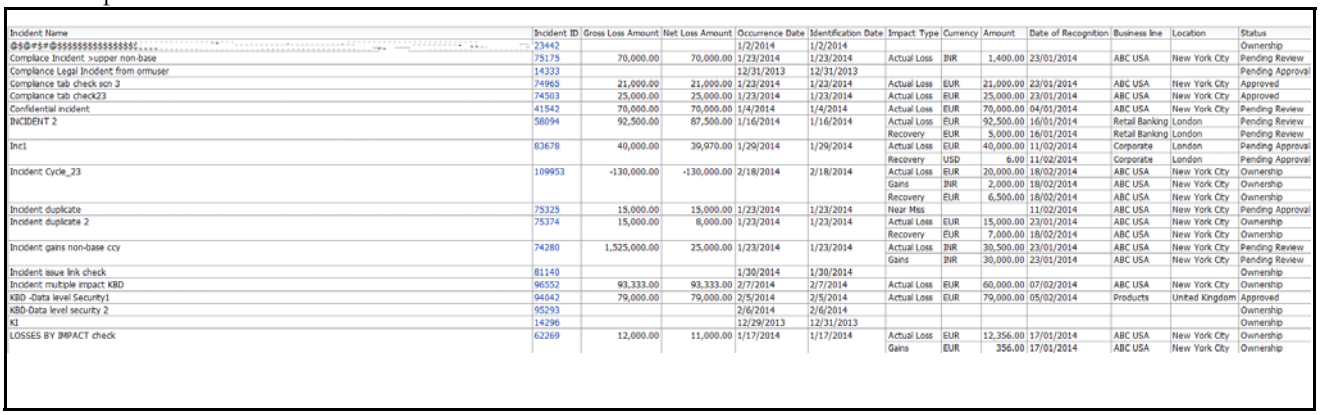
| Incident Name | Incident ID | Currency | Gross Loss Amount | Net Loss Amount | Occurence Date | Identification Date | Loss Provision | Status | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| @$@#$#@$$$$$$$: | 23442 | EUR | | | 1/2/2014 | 1/2/2014 | | Ownership | ABC USA | New York City | | |
| Compliace Incident >upper non-base | 75175 | EUR | 70,000.00 | 70,000.00 | 1/23/2014 | 1/23/2014 | | Pending Review | ABC USA | New York City | | |
| Compliance Legal Incident from ormuser | 14333 | EUR | | | 12/31/2013 | 12/31/2013 | | Pending Approval | ABC USA | New York City | | |
| Confidential incident | 41542 | EUR | 70,000.00 | 70,000.00 | 1/4/2014 | 1/4/2014 | | Pending Review | ABC USA | New York City | | |
| INCIDENT 2 | 58094 | EUR | 92,500.00 | 87,500.00 | 1/16/2014 | 1/16/2014 | | Pending Review | Retail Banking | London | | process for plan |
| Inc1 | 83678 | EUR | 40,000.00 | 39,970.00 | 1/29/2014 | 1/29/2014 | | Pending Approval | Corporate | London | | |
| Incident Cycle_23 | 109953 | EUR | -130,000.00 | -130,000.00 | 2/18/2014 | 2/18/2014 | 2,222.00 | Ownership | ABC USA | New York City | | |
| Incident duplicate | 75325 | EUR | 15,000.00 | 15,000.00 | 1/23/2014 | 1/23/2014 | 2,222.00 | Pending Approval | ABC USA | New York City | | |
| Incident duplicate 2 | 75374 | EUR | 15,000.00 | 8,000.00 | 1/23/2014 | 1/23/2014 | 222.00 | Ownership | ABC USA | New York City | | |
| Incident gains non-base ccy | 74280 | EUR | 1,525,000.00 | 25,000.00 | 1/23/2014 | 1/23/2014 | 2,222.00 | Pending Review | ABC USA | New York City | | |
| Incident issue link check | 81140 | EUR | | | 1/30/2014 | 1/30/2014 | | Ownership | ABC USA | New York City | Financial Crime | process for SOX |
| Incident multiple impact KBD | 96552 | EUR | 93,333.00 | 93,333.00 | 2/7/2014 | 2/7/2014 | | Ownership | ABC USA | New York City | | |
| KBD-Data level security 2 | 95293 | EUR | | | 2/6/2014 | 2/6/2014 | | Ownership | Corporate | London | | |
| KI | 14296 | EUR | | | 12/29/2013 | 12/31/2013 | 2,000.00 | Ownership | ABC USA | New York City | | |
| LOSSES BY IMPACT check | 62269 | EUR | 12,000.00 | 11,000.00 | 1/17/2014 | 1/17/2014 | 1,111.00 | Ownership | ABC USA | New York City | | |
| Legal Incident Closed | 59152 | EUR | | | 1/16/2014 | 1/16/2014 | 3,333.00 | Ownership | ABC USA | New York City | | process plan for test |
| Task check | 77833 | EUR | 7,010.00 | 7,010.00 | 1/24/2014 | 1/24/2014 | 222.00 | Pending Approval | ABC USA | New York City | | |
| Test Compliace tab | 68140 | EUR | 4,444.00 | 4,444.00 | 1/21/2014 | 1/21/2014 | | Pending Approval | ABC USA | New York City | | |
| Workflow comments check | 73900 | EUR | 80,000.00 | 80,000.00 | 1/23/2014 | 1/23/2014 | | Pending Review | ABC USA | New York City | | |
| compliance incidnet >upper | 75147 | EUR | 90,000.00 | 90,000.00 | 1/23/2014 | 1/23/2014 | 333.00 | Pending Review | ABC USA | New York City | | process-linked |
| confidential incident 2 | 42498 | EUR | | | 1/6/2014 | 1/6/2014 | | Pending Approval | ABC USA | New York City | | |
| confidentail11 | 63090 | EUR | 0.00 | 0.00 | 1/31/2013 | 3/26/2013 | | Pending Approval | ABC USA | New York City | | |
| inc 10 | 55088 | EUR | 33,333.00 | 33,333.00 | 1/8/2014 | 1/9/2014 | 6,766,868.00 | Ownership | ABC USA | New York City | | |
| inc by Admin | 71708 | EUR | | | 1/22/2014 | 1/22/2014 | | Ownership | ABC USA | New York City | | |
| inc with no insurance recovery | 49309 | EUR | 175,000.00 | 162,000.00 | 1/7/2014 | 1/7/2014 | | Ownership | ABC USA | New York City | | |

**Figure 572. Loss Events Not Approved**

Click on the incident ID in the report to view the incident details.

### *Losses by Impact*

This report displays all the incidents by different impact types. Incidents in all statuses except closed are considered in this report.



| Incident Name | Incident ID | Gross Loss Amount | Net Loss Amount | Occurrence Date | Identification Date | Impact Type | Currency | Amount | Date of Recognition | Business line | Location | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| @$@#$#@$$$$$$$$$$$$$$$$$$$$ | 23442 | | | 1/2/2014 | 1/2/2014 | | | | | | | Ownership |
| Compliace Incident >upper non-base | 75175 | 70,000.00 | 70,000.00 | 1/23/2014 | 1/23/2014 | Actual Loss | INR | 1,400.00 | 23/01/2014 | ABC USA | New York City | Pending Review |
| Compliance Legal Incident from ormuser | 14333 | | | 12/31/2013 | 12/31/2013 | | | | | | | Pending Approval |
| Compliance tab check scn 3 | 74965 | 21,000.00 | 21,000.00 | 1/23/2014 | 1/23/2014 | Actual Loss | EUR | 21,000.00 | 23/01/2014 | ABC USA | New York City | Approved |
| Compliance tab check23 | 74503 | 25,000.00 | 25,000.00 | 1/23/2014 | 1/23/2014 | Actual Loss | EUR | 25,000.00 | 23/01/2014 | ABC USA | New York City | Approved |
| Confidential incident | 41542 | 70,000.00 | 70,000.00 | 1/4/2014 | 1/4/2014 | Actual Loss | EUR | 70,000.00 | 04/01/2014 | ABC USA | New York City | Pending Review |
| INCIDENT 2 | 58094 | 92,500.00 | 87,500.00 | 1/16/2014 | 1/16/2014 | Actual Loss | EUR | 92,500.00 | 16/01/2014 | Retail Banking | London | Pending Review |
| | | | | | | Recovery | EUR | 5,000.00 | 16/01/2014 | Retail Banking | London | Pending Review |
| Inc1 | 83678 | 40,000.00 | 39,970.00 | 1/29/2014 | 1/29/2014 | Actual Loss | EUR | 40,000.00 | 11/02/2014 | Corporate | London | Pending Approval |
| | | | | | | Recovery | USD | 6.00 | 11/02/2014 | Corporate | London | Pending Approval |
| Incident Cycle_23 | 109953 | -130,000.00 | -130,000.00 | 2/18/2014 | 2/18/2014 | Actual Loss | EUR | 20,000.00 | 18/02/2014 | ABC USA | New York City | Ownership |
| | | | | | | Gains | INR | 2,000.00 | 18/02/2014 | ABC USA | New York City | Ownership |
| | | | | | | Recovery | EUR | 6,500.00 | 18/02/2014 | ABC USA | New York City | Ownership |
| Incident duplicate | 75325 | 15,000.00 | 15,000.00 | 1/23/2014 | 1/23/2014 | Near Miss | | | 11/02/2014 | ABC USA | New York City | Pending Approval |
| Incident duplicate 2 | 75374 | 15,000.00 | 8,000.00 | 1/23/2014 | 1/23/2014 | Actual Loss | EUR | 15,000.00 | 23/01/2014 | ABC USA | New York City | Ownership |
| | | | | | | Recovery | EUR | 7,000.00 | 18/02/2014 | ABC USA | New York City | Ownership |
| Incident gains non-base ccy | 74280 | 1,525,000.00 | 25,000.00 | 1/23/2014 | 1/23/2014 | Actual Loss | INR | 30,500.00 | 23/01/2014 | ABC USA | New York City | Pending Review |
| | | | | | | Gains | INR | 30,000.00 | 23/01/2014 | ABC USA | New York City | Pending Review |
| Incident issue link check | 81140 | | | 1/30/2014 | 1/30/2014 | | | | | | | Ownership |
| Incident multiple impact KBD | 96552 | 93,333.00 | 93,333.00 | 2/7/2014 | 2/7/2014 | Actual Loss | EUR | 60,000.00 | 07/02/2014 | ABC USA | New York City | Ownership |
| KBD -Data level Security1 | 94042 | 79,000.00 | 79,000.00 | 2/5/2014 | 2/5/2014 | Actual Loss | EUR | 79,000.00 | 05/02/2014 | Products | United Kingdom | Approved |
| KBD-Data level security 2 | 95293 | | | 2/6/2014 | 2/6/2014 | | | | | | | Ownership |
| KI | 14296 | | | 12/29/2013 | 12/31/2013 | | | | | | | Ownership |
| LOSSES BY IMPACT check | 62269 | 12,000.00 | 11,000.00 | 1/17/2014 | 1/17/2014 | Actual Loss | EUR | 12,356.00 | 17/01/2014 | ABC USA | New York City | Ownership |
| | | | | | | Gains | EUR | 356.00 | 17/01/2014 | ABC USA | New York City | Ownership |

**Figure 573. Loss By Impact**

Click on the incident ID in the report to view the incident details.

### *Losses by Incident Type*

This pie chart report displays the gross loss of all the incidents by their incident type. Incidents in all statuses except closed are considered in this report.

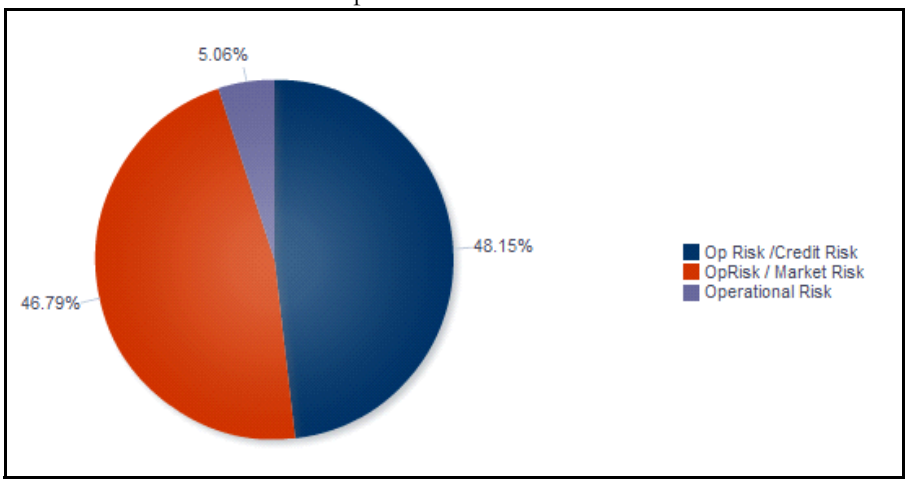



**Figure 574. Losses by Incident Type**

Click on any of the sectors in the chart to view the incident details.

### *Incidents by Change Management*

This report displays all the incidents linked to change initiatives.

Only change initiatives in open, pending completion, and completed status as well as incidents in all status except closed are considered in this report.

| Incident Name | Incident ID | Owner | Identification Date | Occurence Date | Currency | Gross Loss Amount | Net Loss Amount | Status | Change Initiative | Change Initiative Owner | Change Initiative Status | Type |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| abc | 131608.00 | Incident Owner | 2/18/2014 | 2/4/2014 | EUR | -4,020,000.00 | -4,020,000.00 | Ownership | Test for incident | Change Manager | Pending Completion | Existing Vendor |

**Figure 575. Incidents by Change Management**

Click on incident ID and change initiative ID to view the incident details and the change initiative details.

*Overdue Issues for Incidents By Business Line*

This report displays details of all the open issues associated to incidents. This report displays the total number of overdue issues and total number of open issues linked to incidents by business line.

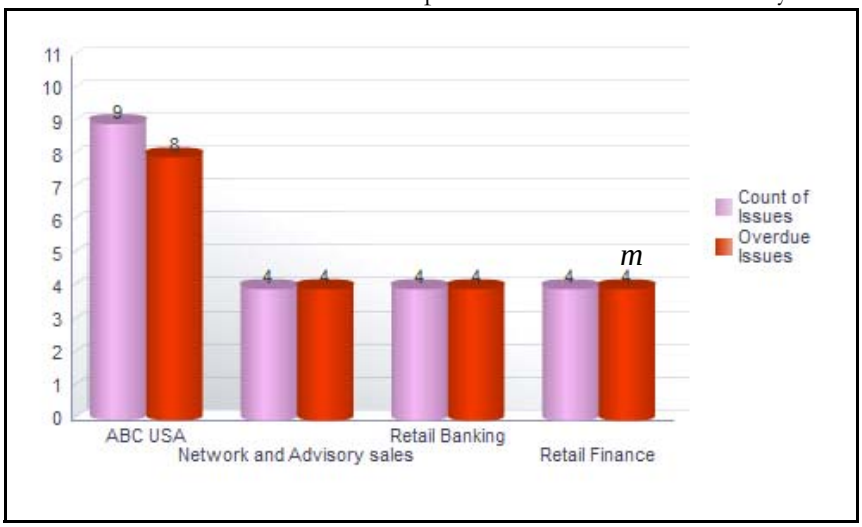



**Figure 576. Overdue Issues for Incidents by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue issues.

Each of the bars in the report represents the total number of overdue issues and the total number of open issues created for each business line linked to incidents.

An issue is overdue if its target completion date is passed, that is if the Current System Date is greater than the Target Date of Action.

Click on each of the business lines in the X axis to view the number of overdue issues created for each of the business line and its child levels.

Click on the overdue issues bar in the report to view the overdue issue details.

| Issue | Criticality | Created Date | Target Completion Date | Days Overdue | Owner | Line of Business | Location | Entity Name | Module Count |
|---|---|---|---|---|---|---|---|---|---|
| Issue Exceeding - Process | High | 1/28/2014 | 1/28/2014 | 24 | Charles Philip | ABC USA | All | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |
| | | | | | | | | Scenario | 1 |
| | | | | | | | NA | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |
| | | | | | | | | Scenario | 1 |
| | | | | | | | New York City | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |
| | | | | | | | | Scenario | 1 |
| | | | | | | | United States | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |
| | | | | | | | | Scenario | 1 |
| Issue from Incident | Medium | 12/31/2013 | 12/31/2013 | 52 | Incident Owner | ABC USA | All | Incident Management | 1 |

**Figure 577. Overdue Issues Details**

Click on the number of open issues bar in the report to view the open issue details. The issue details table displays all the details of open issues linked to incidents.

| Issue | Criticality | Created Date | Target Completion Date | Issue Estimated Cost | Issue Actual Cost | Difference Amount | Count of Actions | Completed Actions | Owner | Line of Business | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue Exceeding - Process | High | 1/28/2014 | 1/28/2014 | 15000.00 | 25000.00 | 10000.00 | 1 | 0 | Charles Philip | ABC USA | All | 20 |
| | | | | | | | 1 | 0 | | | NA | 20 |
| | | | | | | | 1 | 0 | | | New York City | 20 |
| | | | | | | | 1 | 0 | | | United States | 20 |
| Issue from Incident | Medium | 12/31/2013 | 12/31/2013 | 3333.00 | | | 1 | 0 | Incident Owner | ABC USA | All | 6 |
| | | | | | | | 1 | 0 | | | NA | 6 |
| | | | | | | | 1 | 0 | | | New York City | 6 |
| | | | | | | | 1 | 0 | | | United States | 6 |
| Issue from Incident2 29-01 | Medium | 1/29/2014 | 1/29/2014 | 55555.00 | | | 0 | 0 | Incident Owner | ABC USA | All | 1 |
| | | | | | | | 0 | 0 | | | NA | 1 |
| | | | | | | | 0 | 0 | | | New York City | 1 |
| | | | | | | | 0 | 0 | | | United States | 1 |
| Issue30.01 | High | 1/30/2014 | 1/30/2014 | 33333.00 | | | 0 | 0 | Incident Owner | ABC USA | All | 3 |
| | | | | | | | 0 | 0 | | | NA | 3 |
| | | | | | | | 0 | 0 | | | New York City | 3 |
| | | | | | | | 0 | 0 | | | United States | 3 |
| asdsa | Medium | 12/31/2013 | 1/30/2014 | 2234234.00 | 0.00 | -2234234.00 | 2 | 0 | Tom Harley | ABC USA | All | 12 |
| | | | | | | | 2 | 0 | | | NA | 12 |
| | | | | | | | 2 | 0 | | | New York City | 12 |
| | | | | | | | 2 | 0 | | | United States | 12 |
| inc newpatch issue | Medium | 2/5/2014 | 3/31/2014 | 222.00 | 0.00 | -222.00 | 1 | 0 | Charles Philip | ABC USA | All | 1 |
| | | | | | | | 1 | 0 | | | NA | 1 |
| | | | | | | | 1 | 0 | | | New York City | 1 |
| | | | | | | | 1 | 0 | | | United States | 1 |
| issue 33443 | Low | 1/3/2014 | 1/3/2014 | 3435.00 | 0.00 | -3435.00 | 1 | 0 | Charles Philip | ABC USA | All | 2 |

**Figure 578. Open Issue Details**

### *Overdue Actions for Incidents By Business Line*

This report displays the total number of overdue actions and the total number of open actions linked to incidents by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.




**Figure 579. Overdue Actions for Incidents by Business Line**

The X axis represents the business line and the Y axis represents the number of overdue actions.

Each of the bars in the report represents the total number of overdue actions and the total number of open actions created for each business line linked to incidents.

This report displays all the actions linked to incidents.

Click on each of the business lines in the X axis to view the number of overdue actions created for each of the business line and its child levels.

Click on the overdue actions bar in the report to view the overdue action details.

| Action | Action Description | Created Date | Target Completion Date | Percentage Completion | Due Days | Estimated Cost | Actual Cost | Owner | Line of Business | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Action 123 | sfdsfdsf | 1/3/2014 | 1/3/2014 | | 49 | 44444.00 | | Charles Philip | ABC USA | All | 1 |
| | | | | | | 44444.00 | | | | NA | 1 |
| | | | | | | 44444.00 | | | | New York City | 1 |
| | | | | | | 44444.00 | | | | United States | 1 |
| KI new | dfd | 12/31/2013 | 1/30/2014 | | 22 | 410414.00 | | Tom Harley | ABC USA | All | 1 |
| | | | | | | 410414.00 | | | | NA | 1 |
| | | | | | | 410414.00 | | | | New York City | 1 |
| | | | | | | 410414.00 | | | | United States | 1 |

**Figure 580. Overdue Actions By Business Line**

Click on the count of actions bar in the report to view the action details. The action details table displays all the details of the actions created for incidents.

*Issues Exceeding Estimated Cost for Business Line*

This report displays the total number of Issues linked to incidents where the actual issue cost is more than the estimated cost by Business Line. Only issues in open status are considered in this report.

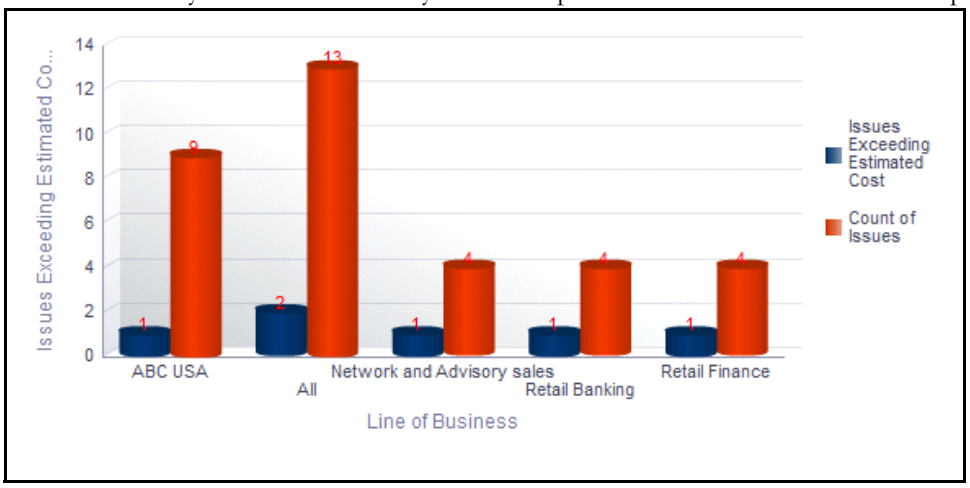



**Figure 581. Issues Exceeding Estimated Costfor Business Line**

The X axis represents the business line and the Y axis represents the number of issues.

Each of the bars in the report represents the total number of issues exceeding estimated cost and the total number of issues created for incidents.

Click on each of the business lines in the X axis to view the issues exceeding estimated cost and the number of open issues for each of the business line and its child levels.

Click on the issues exceeding estimated cost bar in the report to view the issue details.

| Issue | Criticality | Created Date | Target Completion Date | Issue Estimated Cost | Issue Actual Cost | Difference Amount | Owner | Line of Business | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Issue Exceeding - Process | High | 1/28/2014 | 1/28/2014 | 15000.00 | 25000.00 | 10000.00 | Charles Philip | All | All | 20 |
| | | | | | | | | | NA | 20 |
| | | | | | | | | | New York City | 20 |
| | | | | | | | | | United States | 20 |
| Issue from Incident | Medium | 12/31/2013 | 12/31/2013 | 3333.00 | | | Incident Owner | All | All | 6 |
| | | | | | | | | | NA | 6 |
| | | | | | | | | | New York City | 6 |
| | | | | | | | | | United States | 6 |
| Issue from Incident2 29-01 | Medium | 1/29/2014 | 1/29/2014 | 55555.00 | | | Incident Owner | All | All | 1 |
| | | | | | | | | | NA | 1 |
| | | | | | | | | | New York City | 1 |
| | | | | | | | | | United States | 1 |
| Issue30.01 | High | 1/30/2014 | 1/30/2014 | 33333.00 | | | Incident Owner | All | All | 3 |
| | | | | | | | | | NA | 3 |
| | | | | | | | | | New York City | 3 |
| | | | | | | | | | United States | 3 |
| asdsa | Medium | 12/31/2013 | 1/30/2014 | 2234234.00 | 0.00 | -2234234.00 | Tom Harley | All | All | 12 |
| | | | | | | | | | NA | 12 |
| | | | | | | | | | New York City | 12 |
| | | | | | | | | | United States | 12 |
| dfbdfbdfbdf | Medium | 1/30/2014 | 1/31/2014 | 456.00 | | | Obligation Owner | All | All | 3 |
| | | | | | | | | | EMEA | 3 |
| | | | | | | | | | London | 3 |
| | | | | | | | | | United Kingdom | 3 |
| inc newpatch issue | Medium | 2/5/2014 | 3/31/2014 | 222.00 | 0.00 | -222.00 | Charles Philip | All | All | 1 |

**Figure 582. Issues Exceeding Estimated Cost**

Click on the number of issues bar in the report to view the issue details. The issue details table displays all the details of the issues created for the incidents.

| Issue | Criticality | Created Date | Target Completion Date | Issue Estimated Cost | Issue Actual Cost | Difference Amount | Owner | Line of Business | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Issue Exceeding - Process | High | 1/28/2014 | 1/28/2014 | 15000.00 | 25000.00 | 10000.00 | Charles Philip | All | All | 20 |
| | | | | | | | | | NA | 20 |
| | | | | | | | | | New York City | 20 |
| | | | | | | | | | United States | 20 |
| Issue from Incident | Medium | 12/31/2013 | 12/31/2013 | 3333.00 | | | Incident Owner | All | All | 6 |
| | | | | | | | | | NA | 6 |
| | | | | | | | | | New York City | 6 |
| | | | | | | | | | United States | 6 |
| Issue from Incident2 29-01 | Medium | 1/29/2014 | 1/29/2014 | 55555.00 | | | Incident Owner | All | All | 1 |
| | | | | | | | | | NA | 1 |
| | | | | | | | | | New York City | 1 |
| | | | | | | | | | United States | 1 |
| Issue30.01 | High | 1/30/2014 | 1/30/2014 | 33333.00 | | | Incident Owner | All | All | 3 |
| | | | | | | | | | NA | 3 |
| | | | | | | | | | New York City | 3 |
| | | | | | | | | | United States | 3 |
| asdsa | Medium | 12/31/2013 | 1/30/2014 | 2234234.00 | 0.00 | -2234234.00 | Tom Harley | All | All | 12 |
| | | | | | | | | | NA | 12 |
| | | | | | | | | | New York City | 12 |
| | | | | | | | | | United States | 12 |
| dfbdfbdfbdf | Medium | 1/30/2014 | 1/31/2014 | 456.00 | | | Obligation Owner | All | All | 3 |
| | | | | | | | | | EMEA | 3 |
| | | | | | | | | | London | 3 |
| | | | | | | | | | United Kingdom | 3 |
| inc newpatch issue | Medium | 2/5/2014 | 3/31/2014 | 222.00 | 0.00 | -222.00 | Charles Philip | All | All | 1 |

**Figure 583. Issue Details**

*Actions Exceeding Estimated Cost for Incidents By Business Line*

This report displays the total number of actions linked to incidents where the actual cost is more than the estimated cost by Business Line. Only actions in open status are considered in this report.

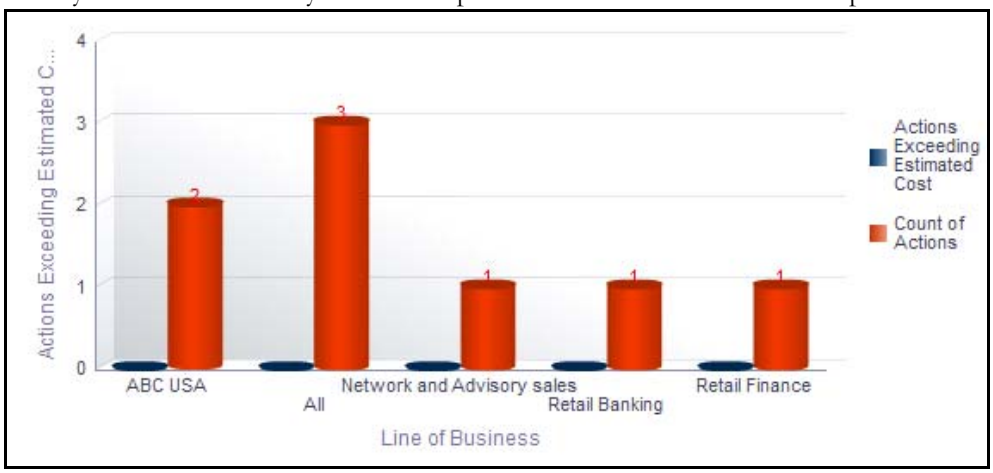



**Figure 584. Actions Exceeding Estimated Cost for Incidents**

The X axis represents the business line and the Y axis represents the number of actions.

Each of the bars in the report represents the total number of actions exceeding estimated cost and the total number of actions created for each business line linked to incidents.

Click on each of the business lines in the X axis to view the actions exceeding estimated cost and the number of open actions for each of the business line and its child levels.

Click on the actions exceeding estimated cost bar in the report to view the action details.

| Action | Action Description | Created Date | Target Completion Date | Percentage Completion | Estimated Cost | Actual Cost | Difference | Owner | Line of Business | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Action 123 | sfdsfdsf | 1/3/2014 | 1/3/2014 | | 44444.00 | | | Charles Philip | ABC USA | All | 1 |
| | | | | | 44444.00 | | | | | NA | 1 |
| | | | | | 44444.00 | | | | | New York City | 1 |
| | | | | | 44444.00 | | | | | United States | 1 |
| KI new | dfd | 12/31/2013 | 1/30/2014 | | 410414.00 | | | Tom Harley | ABC USA | All | 1 |
| | | | | | 410414.00 | | | | | NA | 1 |
| | | | | | 410414.00 | | | | | New York City | 1 |
| | | | | | 410414.00 | | | | | United States | 1 |

**Figure 585. Actions Exceeding Estimated Cost**

Click on the number of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

| Action | Action Description | Created Date | Target Completion Date | Percentage Completion | Estimated Cost | Actual Cost | Difference | Owner | Line of Business | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Action 123 | sfdsfdsf | 1/3/2014 | 1/3/2014 | | 44444.00 | | | Charles Philip | ABC USA | All | 1 |
| | | | | | 44444.00 | | | | | NA | 1 |
| | | | | | 44444.00 | | | | | New York City | 1 |
| | | | | | 44444.00 | | | | | United States | 1 |
| KI new | dfd | 12/31/2013 | 1/30/2014 | | 410414.00 | | | Tom Harley | ABC USA | All | 1 |
| | | | | | 410414.00 | | | | | NA | 1 |
| | | | | | 410414.00 | | | | | New York City | 1 |
| | | | | | 410414.00 | | | | | United States | 1 |

**Figure 586. Action Details**

### *Incidents by Status*

This report displays the count of incidents by their statuses.

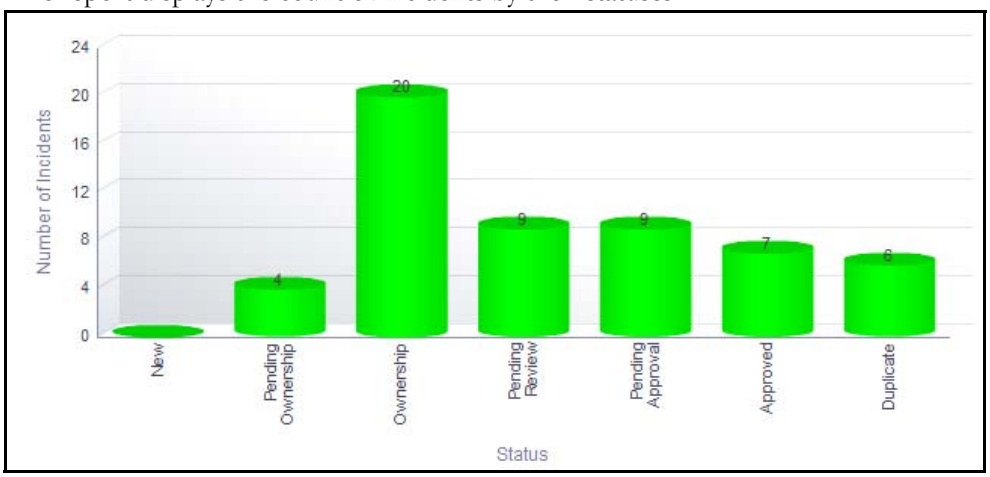



**Figure 587. Incidents by Status**

The X axis represents the status and the Y axis represents the number of incidents.

Each of the bars in the report represent the number of incidents in a particular status.

Click on any of the bars in the report to view the incident details.

### *Incident Details*

This report displays the incident details such as incident name, incident ID, risk event type, identification date, status, net loss amount, gross loss amount, and so on.

Incidents in all statuses except closed are considered in this report.

| Incident Name | Incident ID | Risk Event Type | Compliance Incident | Legal Incident | Identification Date | Occurrence Date | Currency | Gross Loss Amount | Net Loss Amount | Status | Impacted Business Line | Impacted Location | Date of Recognition | Impact Type | Impact Amount | Business Line | Location | Risk Category | Process | Risk Inventory |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Compliance Legal Incident from ormuser | 14333 | Clients, Products and Business Practices | Yes | Yes | 31/12/2013 | 31/12/2013 | EUR | | | Pending Approval | ABC USA | New York City | | | | ABC USA | New York City | | | Life Insurance Risk |
| KI | 14296 | Business Disruption and System Failures | Yes | Yes | 31/12/2013 | 29/12/2013 | EUR | | | Ownership | ABC USA | New York City | | | | ABC USA | New York City | | | Operational Risk |
| confidentall1 | 63090 | Business Disruption and System Failures | No | No | 26/03/2013 | 31/01/2013 | EUR | 0.00 | 0.00 | Pending Approval | ABC USA | New York City | 13/05/2013 | Actual Loss | 200.00 | ABC USA | New York City | | | Regulatory & Compliance Risk |
| inc1 | 10111 | Systems | No | No | 31/12/2013 | 31/12/2013 | EUR | | -25,000.00 | Ownership | ABC USA | New York City | 05/01/2014 | Recovery | | ABC USA | New York City | | | Non-traded Market Risk |
| | | | | | | | | | | | | | 16/01/2014 | Near Mas | | ABC USA | New York City | | | Non-traded Market Risk |
| | | | | | | | | | | | | | 17/01/2014 | Near Mas | | ABC USA | New York City | | | Non-traded Market Risk |
| incident1 | 10710 | Systems | No | No | 31/12/2013 | 31/12/2013 | EUR | 100,000.00 | 100,000.00 | Approved | ABC USA | New York City | 31/12/2013 | Actual Loss | 100,000.00 | ABC USA | New York City | | | Life Insurance Risk |
| legal incident2013 | 62551 | Internal Fraud | No | Yes | 29/01/2013 | 29/01/2013 | EUR | 5,100.00 | 5,100.00 | Pending Approval | ABC USA | New York City | 17/01/2014 | Actual Loss | 5,100.00 | ABC USA | New York City | | process-linked | Life Insurance Risk |
| legal1 | 63067 | Employment Practice and Workplace Safety | No | Yes | 08/01/2013 | 07/01/2013 | EUR | 300,000.00 | 150,000.00 | Pending Review | ABC USA | New York City | 22/01/2014 | Gains | 3,000.00 | ABC USA | New York City | | | Regulatory & Compliance Risk |
| | | | | | | | | | | | | | 29/01/2014 | Actual Loss | 300,000.00 | ABC USA | New York City | | | Regulatory & Compliance Risk |

**Figure 588. Incident Details**

## Information Library

The Information library in Oracle Financial Services Operational Risk acts as a repository of information which helps an organization to manage their information assets. They help in analyzing and planning further actions. There are various types of information libraries, such as financial models, regulatory bodies, and so on. For example, any changes in the government regulations that are to be followed by an organization can be captured in the regulatory bodies information library. Similarly, any changes or modifications to any of the available libraries can be tracked and managed in appropriate information libraries. You can link an information library with other components such as risks, controls, and so on.

You can create various types of information libraries. For more information on module, refer to *Chapter 14, Managing Information Library*.

This dashboard displays the reports based on the information library data available in the application. It can be filtered based on the type of information library.

The Information library Dashboard displays the following tabs:

- *Information Libraries*

### Information Libraries

This tab displays the following reports:

- *Information Libraries by Type*
- *Associated Risks*
- *Associated Controls*
- *Associated Scenarios*

The following report is an additional report:

- *Information Libraries Detail*

#### *Information Libraries by Type*

This report displays the number of information libraries for each type of information library. Only information libraries in open status are considered in this report.

You can choose to view the report either as bar graph or pie chart using the views drop-down option provided. By default, the report is displayed in the form of bar graph.

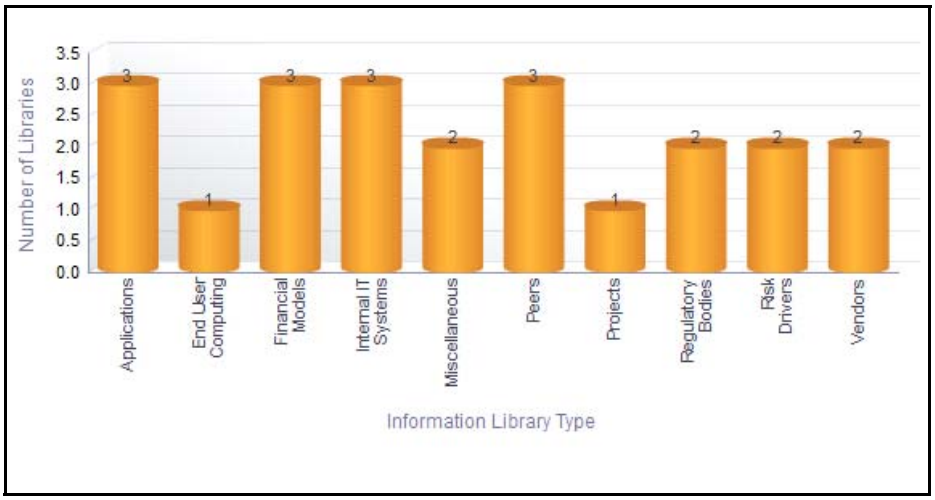



**Figure 589. Information Libraries by Type (Bar Chart)**

In the bar graph, the X axis represents the information library type and the Y axis represents the number of information libraries.

In the pie chart, each of the sectors represent the number of information libraries created for the particular information library type.

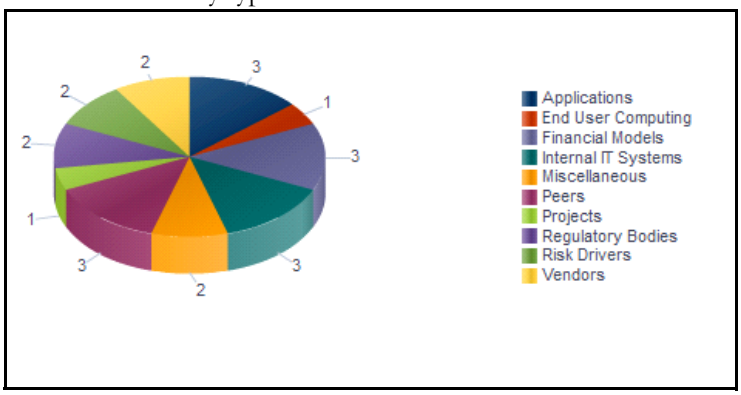



**Figure 590. Information Libraries by Type (Pie Chart)**

Click on any of the sectors in the pie chart or the bars in the bar graph to view all the information library details for the selected library type.

| Library Type | Name | ID | Description | Owner | Approver | Approved On | Risks | Controls | Scenarios |
|---|---|---|---|---|---|---|---|---|---|
| Applications | ILApplications | 16465 | ILApplications | Tom Harley | Tom Harley | 03/01/2014 | 1 | 1 | 0 |
| | ILApplications2 | 16707 | ILApplications2 | Tom Harley | Tom Harley | 24/01/2014 | 0 | 0 | 1 |
| | aef | 29723 | egf | Tom Harley | Tom Harley | 24/01/2014 | 0 | 0 | 1 |

**Figure 591. Information Library Details**

Click on any of the entities like risks, controls, scenarios, and business continuity plans in the Information Library Details table to view the entity details associated to the information library record.

*Associated Risks*

This report displays the count of risks rated as high, medium, and low for each type of Information Library.Only information libraries in open status and the latest completed residual risk assessment ratings are considered in this report.

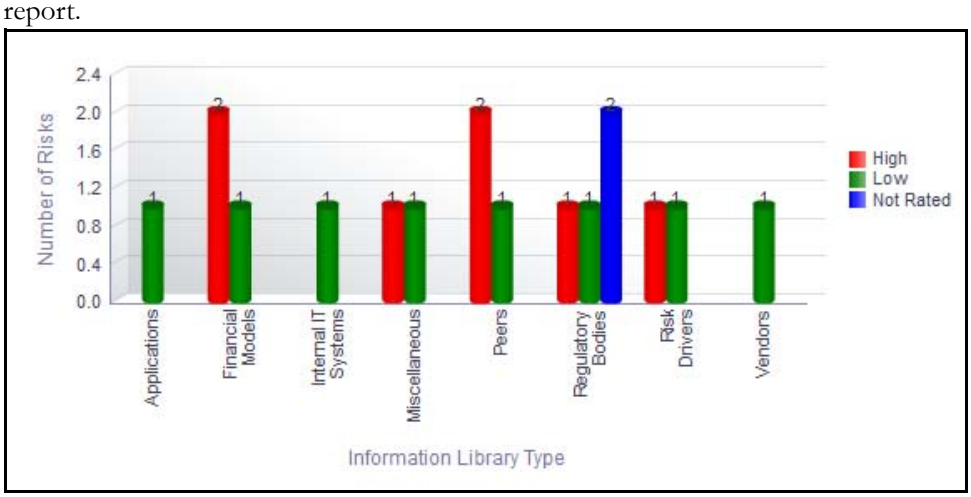



**Figure 592. Associated Risks**

The X axis represents Information library Type and the Y axis of the report represents the number of risks.

Following is the color convention followed in each of the bars in the report.

The red color bar represents risks rated as *high*.

The amber color bar represents risks rated as *medium*.

The green color bar represents risks rated as *low*.

The blue color bar represents the risks that were *not assessed*.

Click on any of the colored bars in the report to view the selected risk details.

### *Associated Controls*

This report displays the count of controls rated as effective, qualified, and requires improvement for each type of Information Library. This report is based on the latest submitted assessment rating. Only information libraries in open status are considered in this report.

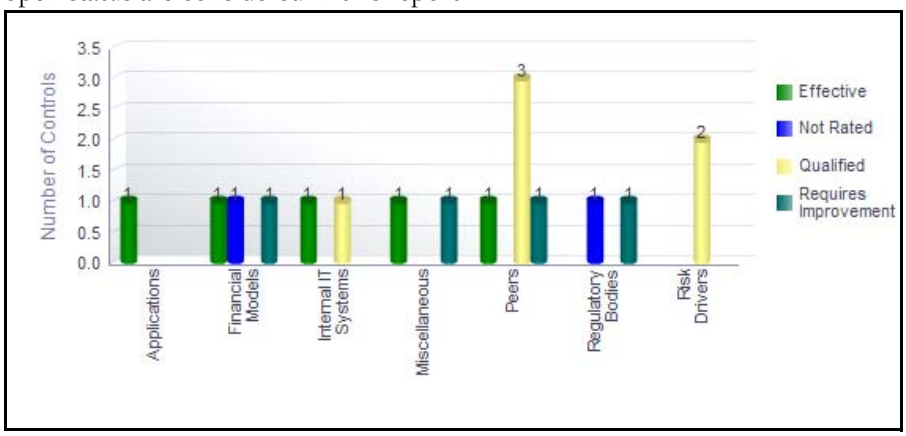



**Figure 593. Associated Controls**

The X axis represents Information library Type and the Y axis of the report represents the number of controls.

Following is the color convention followed in each of the bars in the report.

The green color bar represents the controls with assessment rating as *Effective*.

The blue color bar represents the controls with assessment rating as *Requires Improvement*.

The amber color bar represents the controls with assessment rating as *Qualified*.

The purple color bar represents the controls that were *Not rated*.

Click on any of the colored bars in the report to view the selected control details.

### *Associated Scenarios*

This report displays the count of scenarios linked to the information library. Only information libraries in open status and scenarios in open/in review status are considered in this report.

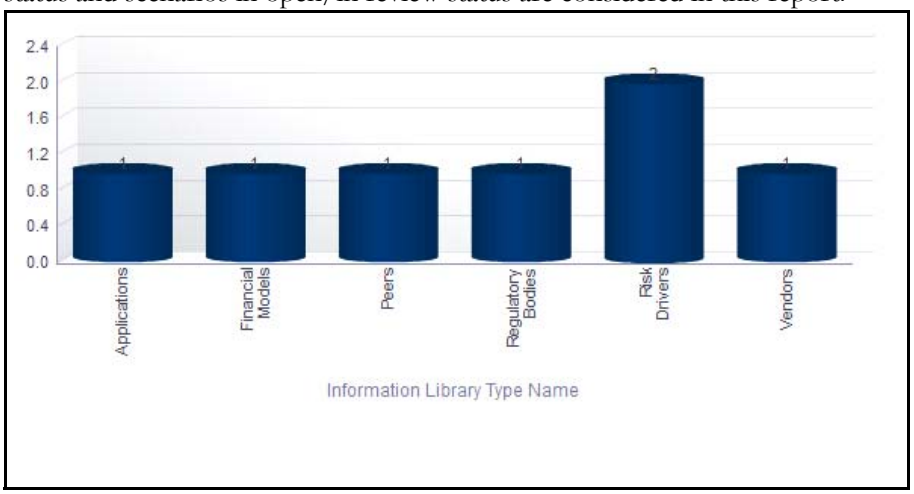



**Figure 594. Associated Scenarios**

The X axis represents the information library type and the Y axis represents the number of scenarios.

Each of the bars in the report represent the number of scenarios linked to the information library type. Click on any of the bars in the report to view the details of the scenarios associated with the selected library type.

### *Information Libraries Detail*

This report displays the details of the information library and the entities like risks, controls, and scenarios, linked to the information library. Click on any of the entities to view additional information about them.

| Library Type | Name | ID | Description | Owner | Approver | Approved On | Risks | Controls | Scenarios |
|---|---|---|---|---|---|---|---|---|---|
| Applications | ILApplications | 16465 | ILApplications | Tom Harley | Tom Harley | 03/01/2014 | 1 | 1 | 0 |
| | ILApplications2 | 16707 | ILApplications2 | Tom Harley | Tom Harley | 24/01/2014 | 0 | 0 | 1 |
| | aef | 29723 | egf | Tom Harley | Tom Harley | 24/01/2014 | 0 | 0 | 1 |
| End User Computing | adad | 19505 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 0 |
| Financial Models | orm | 18679 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 0 |
| | test | 13765 | sd | Tom Harley | Library Approver | 31/12/2013 | 3 | 2 | 1 |
| | test flow | 50419 | | Tom Harley | Library Approver | 08/01/2014 | 0 | 2 | 0 |
| Internal IT Systems | dfgsdgsdgs | 77521 | AS | Tom Harley | Library Approver | 18/02/2014 | 0 | 0 | 0 |
| | no linkage int it sys | 77325 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 0 |
| | sdsadadadsf | 19107 | asdad | Tom Harley | Library Approver | 02/01/2014 | 1 | 2 | 0 |
| Miscellaneous | Misc Details | 15740 | desc | Tom Harley | Tom Harley | 02/01/2014 | 2 | 2 | 0 |
| | no link misc | 77451 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 0 |
| Peers | asas | 93612 | asdasddADAD | Tom Harley | Library Approver | 05/02/2014 | 0 | 0 | 0 |
| | no link peers | 77378 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 1 | 0 |
| | test mail flow | 32012 | | Tom Harley | Library Approver | 03/01/2014 | 3 | 4 | 1 |
| Projects | no link project | 77431 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 0 |
| Regulatory Bodies | Regulator1 | 11846 | Regulator1 | Library Approver | Library Approver | 31/12/2013 | 4 | 2 | 0 |
| | no link reg bodies | 77401 | | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 0 |
| Risk Drivers | Risk Drivers | 18643 | Risk Drivers | Tom Harley | Library Approver | 24/01/2014 | 0 | 0 | 1 |
| | approver and creator | 18933 | approver and creator | Tom Harley | Library Approver | 02/01/2014 | 2 | 2 | 0 |
| Vendors | Regulations | 15151 | Regulations | Tom Harley | Tom Harley | 24/01/2014 | 0 | 0 | 1 |
| | test ormuser | 32732 | | Tom Harley | Library Approver | 03/01/2014 | 1 | 0 | 0 |

**Figure 595. Information Libraries Detail**

## Insurance

An Insurance Policy and basic risk mitigation forms an integral part of any financial organization. Organizations have numerous insurance policies to cover risks and future losses which may arise from such risks.

The Oracle Financial Services Operational Risk Insurance module helps to capture the different types of policies such as Fidelity Guarantee Insurance, Third Party Liability, and so on and stores them in a central repository called the Insurance Policy Library. Insurance Policy module details name, validity, premium amount, cover amount, reminder date, and so on. The policies are mapped to specific business lines and locations. It allows to renew the policies which are closed.

Insurance Policy can be linked to incidents which arise during the operations of an organization or risks already identified in the organization. The Insurance module helps to monitor policies and generate further insights based on historical data stored in the central repository. It helps to close and renew the policies on time. An Insurance Owner is the sole user of this module who manages entire activities.

For more information on module, refer to *Chapter 12, Managing Insurance Policies*.

This dashboard displays the reports based on the Insurance data available in the application. It can be filtered based on the Business Line and Location.

The Insurance Dashboard displays the following reports.

- *Insurance Policies by Business Line*
- *Insurance Policies By Location*
- *Insurance Policies By Risk Event Type*
- *Insurance Policies Due for Renewal*
- *Insurance Policies vs. Claims*

Following reports are additional reports

- *Insurance Policy Coverage by Risks*
- *Insurance Policy Coverage by Scenarios*
- *List of Insurance Policies*

### Insurance Policies by Business Line

The Insurance policy by Business Line displays two types of reports.

Report based on amount, that is premium amount and cover amount of insurance policy by business line.

Report based on the number of insurance policies, that is the number of insurance policies by business line.

#### *Report Based on Insurance Policy Amount*

This report displays the cover amount and the total premium amount of all insurance policies by business line. Only insurance policies in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level business line.

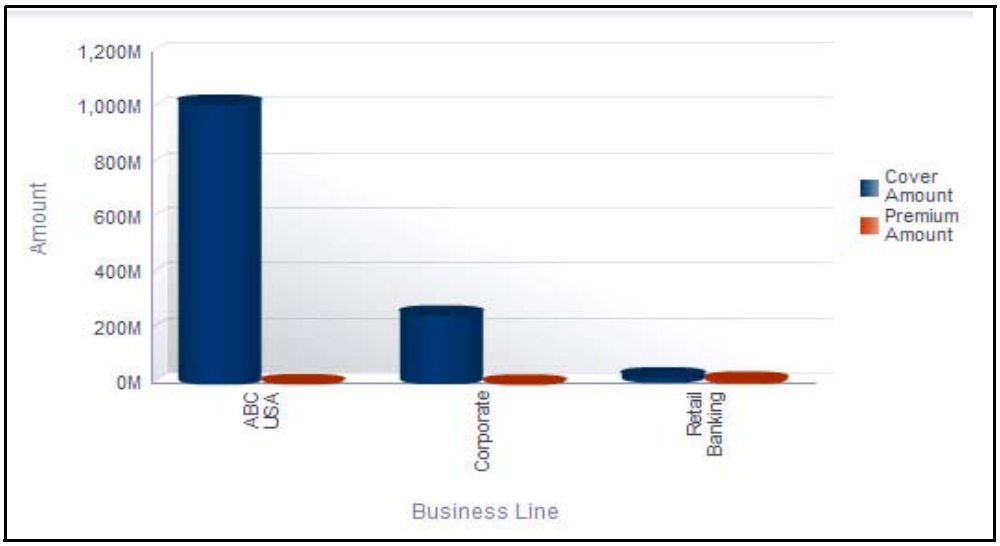



**Figure 596. Insurance Policies By Business Line (Amount)**

The X axis represents the first level business line and the Y axis represents the premium amount and cover amount.

The bars in the report represent the cover amount and the total premium amount of all the policies created for that particular business line including its child levels.

By default, the base currency is USD. This report displays all the amount details in base currency. Irrespective of the currency of the individual policy, all amounts are converted to base currency.

Click on the first level business line in the X axis to view the total premium amount and cover amount details of all the child business lines.

Click on the cover amount bar in the report to view the policy details. This table displays details of all insurance policies in open status for that business line.

Click on the premium amount bar to view the policy details.

| Policy ID | Policy Name | Policy Number | Policy Type | Risk Event Type | Start Date | Expiry Date | Renewal Date | Currency | Premium Amount | Cover Amount | Deductible | Probability of Payout | Issuer | Broker | Owner | Business Line | Location | Converted Premium Amount | Converted Cover Amount |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 19123 | Test2 | | Professional Indemnity Insurance | External Fraud | 14/01/2014 | 28/01/2015 | | EUR | 30,000 | 600,000 | | | | | Insurance Owner | Network and Advisory sales | London | 30000.00 | 600000.00 |
| 66685 | Auto_Machinery Breackdown Insurance5 | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | Network and Advisory sales | London | 10000000.00 | 25000000.00 |

**Figure 597. Insurance Details**

*Report Based on the Number of Insurance Policies*

This report displays the total number of insurance policies by business line. Only insurance policies in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level of business line.

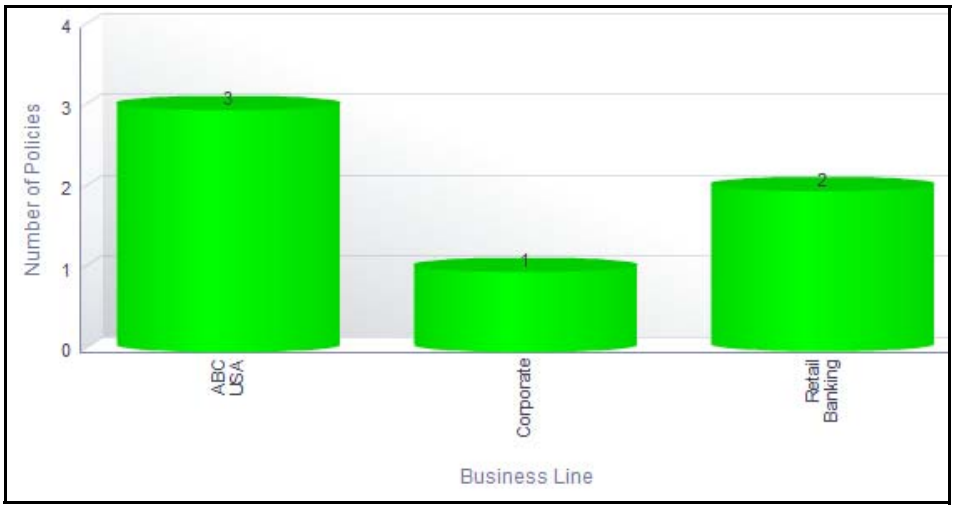



**Figure 598. Insurance Policies By Business Line (Number)**

The X axis represents the first level business line and the Y axis represents the number of policies and the number of claims made.

The bars in the report displays the total number of insurance policies that were created for that particular business line.

Click on the first level business line in the X axis to view the number of policies of all the child business lines.

Click on any of the bars in the report to view the Insurance details. The Insurance Details table displays all the details of the insurance policies created for the selected business line.

### Insurance Policies By Location

The Insurance policy by Location displays two types of reports.

Report based on amount, that is premium amount and cover amount of insurance policies by location.

Report based on the number of insurance policies, that is the number of insurance policies by location.

#### *Report Based on Insurance Policy Amount*

This report displays the cover amount and the total premium amount of all insurance policies by location. Only insurance policies in open status are considered in this report.

By default, this report displays the first level location. If required, you can drill down to the last level.

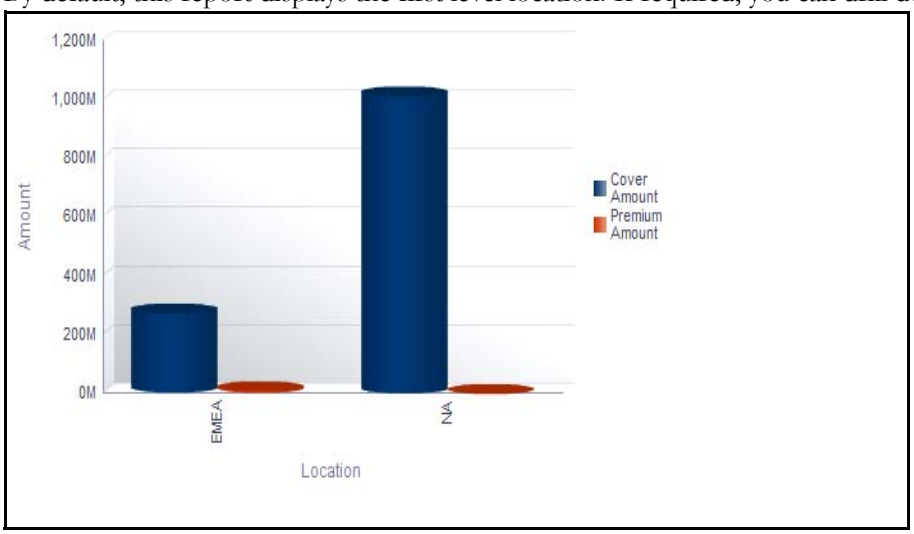



**Figure 599. Insurance Policies By Location (Amount)**

The X axis represents the first level location and the Y axis represents the premium amount and cover amount.

The bars in the report represent the total premium amount and cover amount of all the policies created for that particular location.

By default, the base currency is USD. This report displays all the amount details in base currency. Irrespective of the currency of the individual policy, all amounts are converted to base currency.

Click on the first level location in the X axis to view the total premium amount and cover amount details of all the child business lines.

Click on the cover amount bar in the report to view the policy details. This table displays details of all insurance policies in open status for that business line.

Click on the premium amount bar to view the policy details.

#### *Report Based on the Number of Insurance Policies*

This report displays the total number of insurance policies by location. Only insurance policies in open status are considered in this report.

By default, this report displays the first level location. If required, you can drill down to the last level.

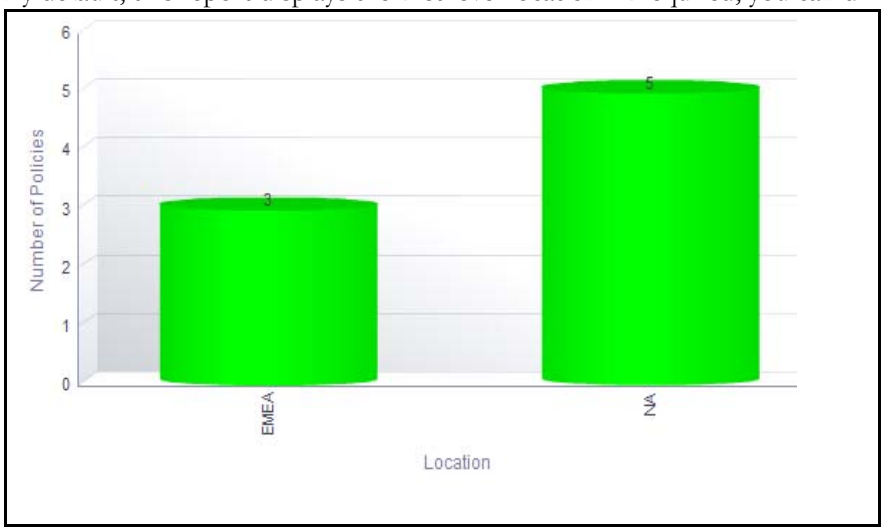



**Figure 600. Insurance Policies By Location (Number)**

The X axis represents the first level location and the Y axis represents the number of policies and the number of claims made.

The bars in the report displays the total number of insurance policies created for that particular location.

Click on the first level location in the X axis to view the details of insurance policies for the parent and child levels.

Click on any of the bars in the report to view the Insurance details. The Insurance Details table displays all the details of the insurance policies created for the selected location.

### Insurance Policies By Risk Event Type

The Insurance policy by risk event type displays two types of reports.

Report based on amount, that is premium amount and cover amount of insurance policy by risk event type.

Report based on the number of insurance policies, that is the number of insurance policies by risk event type.

#### *Report Based on Amount*

This report displays the total premium amount and cover amount of all insurance policies by risk event type. Only insurance policies in open status are considered in this report.

By default, this report displays the first level risk event type. If required, you can drill down to the last level..

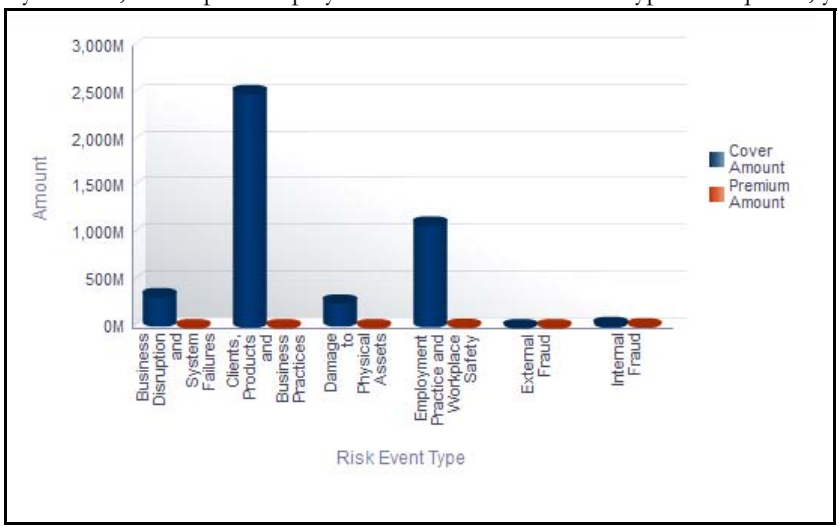



**Figure 601. Insurance Policies By Risk Event Type (Amount)**

The X axis represents the first level RET and the Y axis represents the premium amount and cover amount.

The bars in the report displays the total premium amount and cover amount of all the policies created for that particular RET.

By default, the base currency is USD. This report displays all the amount details in base currency. Irrespective of the currency of the individual policy, all amounts are converted to base currency.

Click on the first level RET in the X axis to view the total premium amount and cover amount details of all the child business lines.

Click on the cover amount bar in the report to view the policy details. This table displays details of all insurance policies in open status for that business line.

Click on the premium amount bar to view the policy details.

#### *Report Based on Number*

This report displays the count of total number of insurance policies by RET. Only insurance policies in open status are considered in this report.

By default, this report displays the first level of RET. If required, you can drill down to the last level.

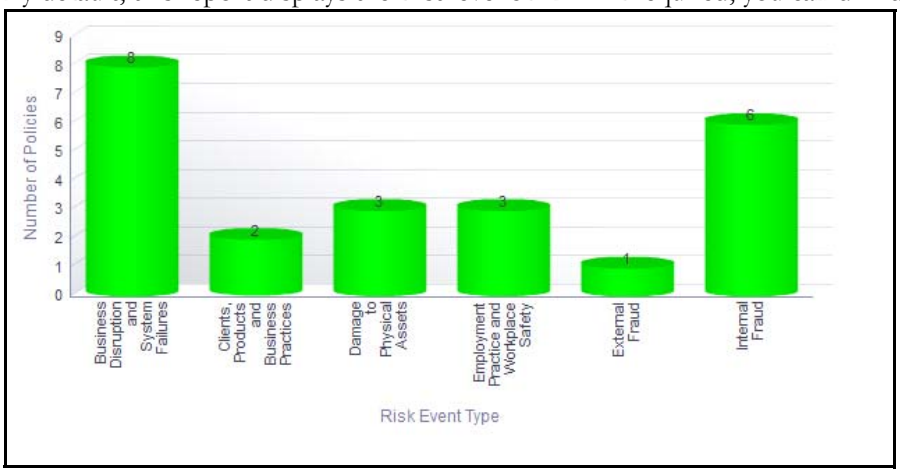



**Figure 602. Insurance Policies By RET (Number)**

The X axis represents the first level RET and the Y axis represents the number of policies and the number of claims made.

The bars in the report represent the total number of insurance policies that were created for that particular RET.

Click on the first level RET in the X axis to view the details of all child RETs.

Click on any of the bars in the report to view the Insurance details. The Insurance Details table displays all the details of the insurance policies created for the selected RET.

### Insurance Policies Due for Renewal

This report displays the list of all the insurance policies within the expiry date as specified.

The *Policies Expiring Within* drop-down option allows you to choose the period during which the policies expire.

The *Policies Expiring Within* drop-down option displays the following filters:

- 1 Month
- 2 Months
- 3 Months
- 6 months
- Greater than 6 months
- Expired

By default, this report displays all the expired policies and the policies with the nearest expiry date are displayed first in the report.


Polices expiring within Expired Apply Reset

| Policy ID | Policy Name | Policy Number | Policy Type | Risk Event Type | Start Date | Expiry Date | Renewal Date | Currency | Premium Amount | Cover Amount | Deductible | Probability of Payout | Issuer | Broker | Owner | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 14246 | sdfsadf | | Directors and Officers Liability Insurance | Business Disruption and System Failures | 31/12/2013 | 21/01/2014 | | INR | 10,000 | 100,000 | | | Arnan | srikant | Tom Harley | ABC USA | New York City |
| | | | | | | | | | | | | | | | | Network and Advisory sales | London |
| 79655 | Sce4 | | Bankers Blanket Insurance | Improper Business or Market Practices | 28/01/2014 | 29/01/2014 | 28/01/2014 | INR | 2,000 | 2,000,000 | 200 | 20% | | | Tom Harley | | |
| 19079 | test1 | | Fidelity Guarantee Insurance | Execution, Delivery and Process Management | 01/01/2014 | 31/01/2014 | | INR | 15,000 | 250,000 | | 12% | | ww | Insurance Owner | ABC USA | New York City |
| 52709 | testttttt | 242 | Fidelity Guarantee Insurance | Employment Practice and Workplace Safety | 01/01/2014 | | | EUR | 15,000 | 500,000 | 3,333 | 22% | sdfs | vzf | Insurance Owner | ABC USA | New York City |

**Figure 603. Insurance Policies Due For Renewal**

Click on the Insurance ID hyperlink to view the policy details.

### Insurance Policies vs. Claims

This report displays all the Insurance Policies in open status with details of the claims made for the policy within the date specified. The claim details are derived from incidents with impact type as *Recovery*.

Only insurance policies in open status and incidents in all statuses except closed are considered in this report.

The *Claims Made Within* drop-down option allows you to choose the period during which the insurance policies were claimed.

The *Claims Made Within* drop-down option displays the following filters:

- Never Claimed
- less than 3 Months
- less than 6 Months
- less than 1 Year
- less than 2 Years
- less than 3 Years
- more than 3 Years




| Policy Name | Policy ID | Policy Number | Policy Type | Risk Event Type | Currency | Cover Amount | Premium Amount | Incident Name | Incident ID | Claim Date | Claim Amount | Amount Recovered | Incident Business Line | Incident Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Test2 | 19123 | | Professional Indemnity Insurance | External Fraud | EUR | 600,000 | 30,000 | Incident duplicate 2 | 75374 | 18/02/2014 | 7000.00 | 7000.00 | ABC USA | New York City |

**Figure 604. Insurance Policies vs. Claims**

Click on the policy ID and the incidents ID in the report to view the insurance policy and the incidents details.

### Insurance Policy Coverage by Risks

This report displays the count of risks linked to insurance policy.

Only insurance policies and risks in open status are considered in this report.

| Policy Name | Policy ID | Policy Number | Policy Type | Currency | Cover Amount | Premium Amount | Risk Event Type | Start Date | Expiry Date | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|
| Auto_Machinery Breackdown Insurance5 | 66685 | 12345 | Bankers Blanket Insurance | INR | 500,000 | 200,000 | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 1 |
| Sce3 | 79607 | 111 | Directors and Officers Liability Insurance | INR | 20,000,000 | 2,000 | Employment Practice and Workplace Safety | 30/01/2015 | 30/01/2015 | 2 |
| WF001 | 80870 | | Directors and Officers Liability Insurance | INR | 5,000,000 | 5,000 | Damage to Physical Assets | 30/01/2014 | 30/01/2014 | 1 |
| kjbk | 14256 | | Machinery Breakdown Insurance | USD | 200,000 | 20,000 | Business Disruption and System Failures | 31/12/2013 | 31/12/2014 | 2 |
| testttttt | 52709 | 242 | Fidelity Guarantee Insurance | EUR | 500,000 | 15,000 | Employment Practice and Workplace Safety | 01/01/2014 | 28/02/2014 | 2 |

**Figure 605. Insurance Policy Coverage By Risks**

Click on the policy ID and the risk ID in the report to view the insurance policy and the risk details.

### Insurance Policy Coverage by Scenarios

This report displays the count of scenarios linked to the insurance policy. Only insurance policies and scenarios in open status are considered in this report.

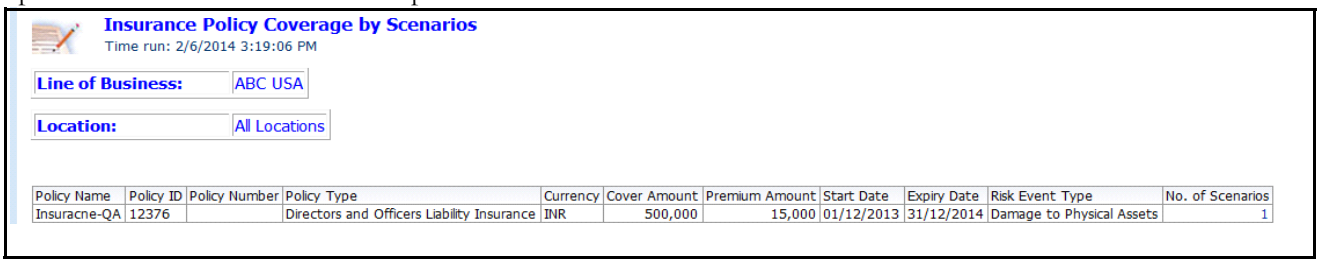



**Figure 606. Insurance Policy Coverage By Scenario**

Click on the policy ID and the scenario ID in the report to view the insurance policy and the scenario details.

## List of Insurance Policies

This report displays the details of insurance policies such as policy name, currency, premium amount, cover amount, start date, end date, expiry date, renewal date, and so on. Only policies in open status are displayed.

| Policy ID | Policy Name | Policy Number | Policy Type | Risk Event Type | Start Date | Expiry Date | Renewal Date | Currency | Premium Amount | Cover Amount | Deductible | Probablity of Payout | Issuer | Broker | Owner | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12376 | Insuracne-QA | | Directors and Officers Liability Insurance | Damage to Physical Assets | 01/12/2013 | 31/12/2014 | | INR | 15,000 | 500,000 | | | | | Insurance Owner | ABC USA | New York City |
| 14256 | kjbk | | Machinery Breakdown Insurance | Business Disruption and System Failures | 31/12/2013 | 31/12/2014 | | USD | 20,000 | 200,000 | | 33% | aman | SRIKANT | Tom Harley | ABC USA | New York City |
| 19123 | Test2 | | Professional Indemnity Insurance | External Fraud | 14/01/2014 | 28/01/2015 | | EUR | 30,000 | 600,000 | | | | | Insurance Owner | Network and Advisory sales | London |
| 52709 | testttttt | 242 | Fidelity Guarantee Insurance | Employment Practice and Workplace Safety | 01/01/2014 | 28/02/2014 | | EUR | 15,000 | 500,000 | 3,333 | 22% | sdfs | vzf | Insurance Owner | ABC USA | New York City |
| 58232 | auto_01 | 543 | Bankers Blanket Insurance | Advisory Activity | 31/05/2014 | 30/04/2023 | 26/03/2018 | INR | 12,000 | 120,000 | 3,467 | 10% | test | broker | Tom Harley | | |
| 60433 | Auto_Machinery Breackdown Insurance | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 63014 | Auto_Machinery Breackdown Insurance1 | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 63029 | Auto_Machinery Breackdown Insurance2 | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 63060 | Auto_Machinery Breackdown Insurance3 | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 63111 | Auto_Machinery Breackdown Insurance4 | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 66685 | Auto_Machinery Breackdown Insurance5 | 12345 | Bankers Blanket Insurance | Theft or Extortion or Embezzlement or Robbery | 12/03/2014 | 16/04/2026 | 18/03/2017 | INR | 200,000 | 500,000 | 23,000 | 10% | TestIssuer | TestBroker | Tom Harley | Network and Advisory sales | London |
| 66915 | Auto_Machinery Breackdown Insurance6 | 925 | Local Feasibility Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 650,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 66959 | Auto_Machinery Breackdown Insurance7 | 925 | Bankers Blanket Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 250,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 69256 | Auto_Machinery Breackdown Insurance8 | 925 | Bankers Blanket Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 650,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 78246 | Auto_Machinery Breackdown Insurance9 | 925 | Bankers Blanket Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 65,000,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 78288 | Auto_Machinery Breackdown Insurance10 | 925 | Bankers Blanket Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 65,000,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 78770 | Auto_Machinery Breackdown Insurance11 | 925 | Bankers Blanket Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 65,000,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 79562 | SCe1 | | Fidelity Guarantee Insurance | Employment Practice and Workplace Safety | 28/01/2014 | 29/01/2015 | | INR | 55,000 | 2,000,000 | 2,000 | 10% | | | Tom Harley | | |
| 79607 | Sce3 | 111 | Directors and Officers Liability Insurance | Employment Practice and Workplace Safety | 30/01/2015 | 30/01/2015 | 30/01/2015 | INR | 2,000 | 20,000,000 | 200 | 20% | | | Tom Harley | ABC USA | New York City |
| 79879 | Auto_Machinery Breackdown Insurance12 | 925 | Bankers Blanket Insurance | Business Disruption and System Failures | 12/03/2014 | 16/04/2026 | 18/03/2017 | USD | 15,000 | 65,000,000 | 3,000 | 10% | TestIssuer | TestBroker | Tom Harley | | |
| 80870 | WF001 | | Directors and Officers Liability Insurance | Damage to Physical Assets | 30/01/2014 | 30/01/2014 | 30/01/2014 | INR | 5,000 | 5,000,000 | 500 | 50% | | | Tom Harley | Corporate | London |

**Figure 607. List of Insurance Policies**

## Issues and Actions

The Issues and Actions module is an integral part of the OFSOR/GCM 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 OFSOR/GCM such as RCSA, Incident Management, Key Indicators 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 *Chapter 8, Managing Issues and Actions*.

Actions can also be directly created from different modules of OFSOR/GCM. 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 *Chapter 8, Managing Issues and Actions*.

This dashboard displays the reports based on the Issues and Actions data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Risk Category
- Process
- Criticality
- Priority
- Creation Date
- Status

The Issues and Actions Dashboard displays the following Tabs:

- *Issues*
- *Actions*

## Issues

The Issues Tab displays the following reports:

- *Issues Across Business Line*
- *Issues Across Location*
- *Overdue Issues by Business Line*
- *Issues By Criticality*
- *Issues By Priority*
- *Issues Across Issue Source*
- *Issues Across Risk Event Type*
- *Issues Across Issue Category*
- *Issues Across Risk Categories*
- *Issues Across Products*
- *Aging of Issues*

  The following report is an additional report

- *Issue Details*

### *Issues Across Business Line*

This report displays the actual cost of issues and the number of issues by business line. Only issues in open status are considered in this report.

By default, this report displays the first level business lines. If required, you can drill down to the last level.

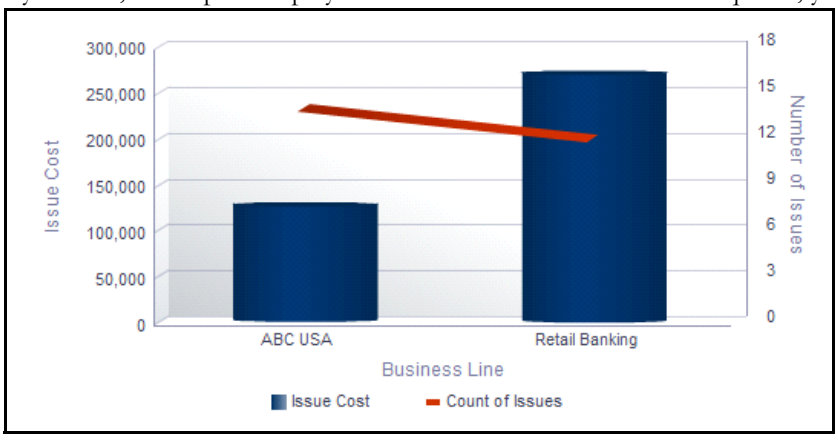



**Figure 608. Issues Across Business line**

The X axis represents the first level business line, Y axis represents the actual cost of an issue, and the Y1 axis represents the number of issues.

Each of the bars in the report represent the total cost of all the issues created for a business line including its child levels.

The Issue cost is captured in base currency and irrespective of the currency of the individual issue cost, all the Issue costs are converted into Base Currency.

Total Issue Cost for a Business Line is the sum of all the Actual Costs of the Issues created for the parent and its child business lines.

The total number of issues for a business line is the sum of Issues created for the parent and its child business lines.

Click on each of the business lines in the X axis to view the number of issues and the actual cost of all the issues for each of the child business lines.

Click on any of the bars in the graph to view the issue details. The issue details table displays all the details of the issues created for the parent and its child business lines.

| Issue | Issue Id | Owner | Source | Catagory | Criticality | Priority | Created Date | Target Completion Date | Currency | Issue Estimated Cost | Actual cost | Count of Actions | Completed Actions | Line of Business | Location | Risk Event Type | Risk Category | Risk Inventory | Status | Component |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue CCY CONVERSION | 17959 | Charles Philip | Questionaire risk 16384 | Others | Low | Not Rated | 03/01/2014 | 31/01/2014 | EUR | 43 | 850 | 3 | 0 | Network and Advisory sales | London | | | | Open | Risk Definition |
| Overdue Issues - Process | 36262 | Process Owner | Process -Overdue Issues | Non Compliance | Medium | Medium | 03/01/2014 | 04/01/2014 | EUR | 18,000 | 18,500 | 1 | 0 | Network and Advisory sales | London | | | | Open | Process |
| dfbdfbdfbdf | 83044 | Obligation Owner | obligation for the new questionnaire | Others | Medium | High | 30/01/2014 | 31/01/2014 | INR | 456 | | 0 | 0 | Network and Advisory sales | London | | | | Open | Obligation |
| Draft isue | 17489 | Charles Philip | | Others | Low | Not Rated | 02/01/2014 | 31/01/2014 | INR | 36 | 0 | 1 | 0 | Network and Advisory sales | London | | | | Open | Risk Definition |
| Issue for test | 76521 | Charles Philip | Questionaire risk 16384 | Human Resources | High | High | 17/02/2014 | 17/02/2014 | INR | 124 | 250,000 | 1 | 0 | Network and Advisory sales | London | | | | Open | Risk Definition |
| Issue from control | 20309 | Joe Lee | test plans | Design Deficiency | Medium | Low | 02/01/2014 | 31/01/2014 | INR | 1,000 | | 0 | 0 | Network and Advisory sales | London | | | | Open | Control Definition |

**Figure 609. Issue Details**

### *Issues Across Location*

This report displays the actual cost of issues and the number of issues by location. Only issues in open status are considered in this report.

By default, this report displays the first level location. If required, you can drill down to the last level.

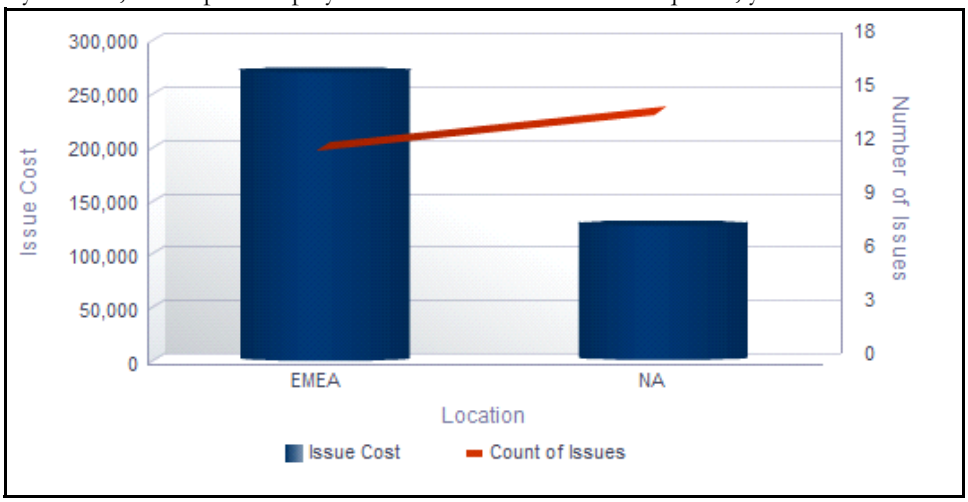



**Figure 610. Issues Across Location**

The X axis represents the first level location, the Y axis represents the actual cost of an issue, and the Y1 axis represents the number of issues.

Each of the bars in the report represent the total cost of all the issues created for a location.

The Issue cost is captured in base currency and irrespective of the currency of the individual issue cost, all the Issue costs are converted into Base Currency.

Total Issue Cost for a location is the sum of all the Actual Costs of the Issues created for the parent and its child locations.

The total number of issues for a location is the sum of Issues created for the parent and its child locations.

Click on each of the locations in the X axis to view the number of issues and the actual cost of all the issues for each of the child levels.

Click on any of the bars in the report to view the issue details. The issue details table displays all the details of the issues created for the parent location and its child levels.

### *Overdue Issues by Business Line*

This report displays the total number of overdue issues and open issues by business line. Only issues in open status are considered in this report.

An Issue is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the issue.




**Figure 611. Overdue Issues by Business Line**

The X axis represents the first level business lines and the Y axis represents the number of issues.

Each of the bars in the report represent the total number of overdue issues and open issues created for each of the business lines.

The total number of overdue issues for a business line includes all the overdue Issues created for a business line and all its children.

The Overdue issue filter in the report allows you to view the issues overdue for the specified time period. By default, this report displays all the overdue issues.

The total number of open issues for a business line includes all the open Issues created for the parent and its child business lines.

Click on each of the business line in the X axis to view the number of overdue issues and open issues for each of the child levels.

Click on the open issues bar in the report to view the Issues Details. This table displays details of all the Issues accounted for the calculation of total number of open Issues for the parent and its child business lines.

Click on the overdue issues bar in the report to view the Issues Details. This table displays details of all the Issues accounted for the calculation of total number of overdue Issues for the parent and its child business lines.

### *Issues By Criticality*

This report displays the total number of issues by their criticality. Only issues in open and closed status are considered in this report.

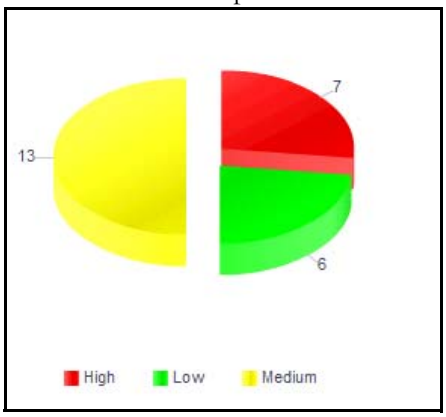



**Figure 612. Issues By Criticality**

Click on any of the sectors in the report to view all the issues with specific criticality.

### *Issues By Priority*

This report displays the total number of issues by their priority. Only issues in open and closed status are considered in this report.

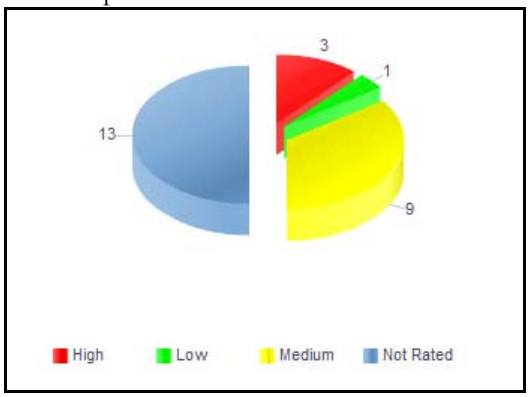



**Figure 613. Issues By Priority**

Click on any of the sectors in the report to view all the issues for the specific priority.

### *Issues Across Issue Source*

This report displays the issue cost by issue source.

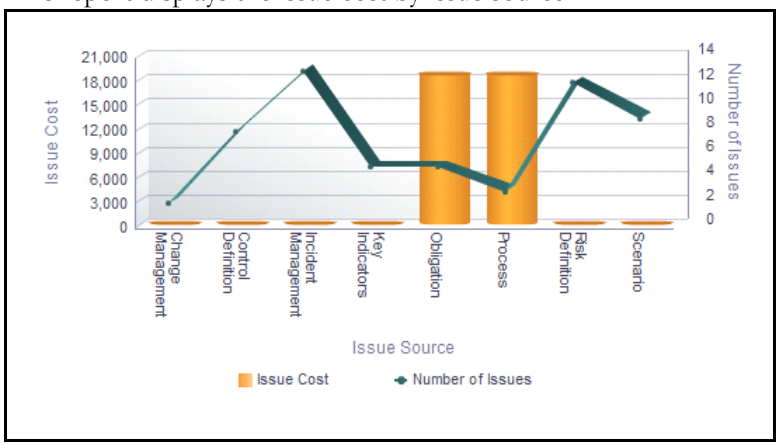



**Figure 614. Issues Across Issue Source**

The X axis represents the issue source, the Y axis represents the issue cost, and the Y1 axis represents the number of open issues.

Each of the bars in the report represent the total cost of all the issues created for an issue source.

The Issue cost is captured in base currency and irrespective of the currency of the individual issue costs, all the Issue costs are converted into Base Currency.

Total Issue Cost is the sum of all the Actual Costs of the Issues created for a component.

The total number of issues is the sum of all the issues created for each component.

Click on any of the bars in the graph to view the issue details. The issue details table displays all the details of the issues created for the issue source.

### *Issues Across Risk Event Type*

This report displays the actual cost of issues and the number of issues by risk event type. By default, this report displays the first level risk event type. If required, you can drill down to the last level.

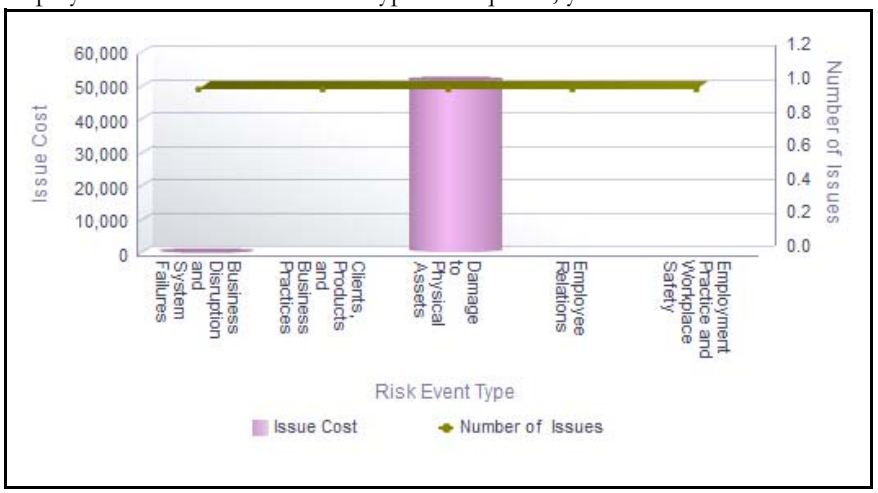



**Figure 615. Issues Across Risk Event Type**

The X axis represents the first level risk event type, the Y axis represents the actual cost of an issue, and the Y1 axis represents the number of issues.

Each of the bars in the report represent the total cost of all the issues created for a risk event type including its child levels.

The Issue cost is captured in base currency and irrespective of the currency of the individual issue costs, all the Issue costs are converted into Base Currency.

Total Issue Cost for a risk event type is the sum of all the Actual Costs of the Issues created for a risk event type and all its children.

The total number of issues for a risk event type includes all the Issues created for a risk event type and all its children.

Click on each of the risk event type in the X axis to view the number of issues and the actual cost of all the issues created for each of the child levels.

Click on any of the bars in the report to view the issue details. The issue details table displays all the details of the issues created for the parent risk event type and the child levels.

### *Issues Across Issue Category*

This report displays the actual cost of issues and the number of issues for an issue category.

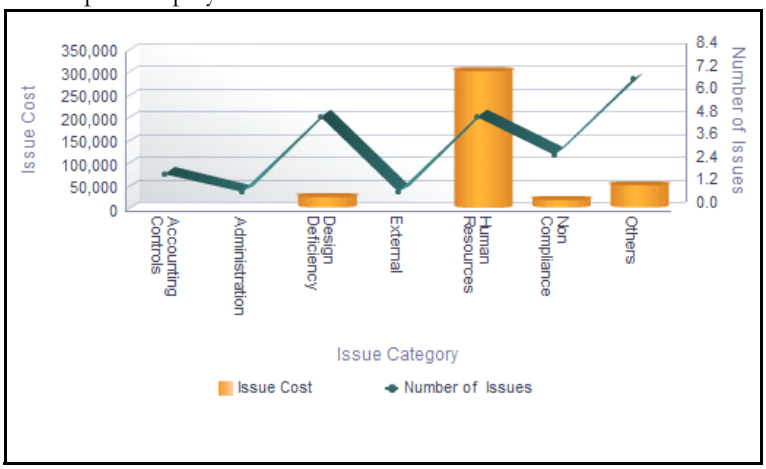



**Figure 616. Issues Across Issue Category**

The X axis represents the issue category, the Y axis represents the actual cost of an issue, and the Y1 axis represents the number of issues.

Each of the bars in the report represent the total cost of all the issues created for an issue category.

The Issue cost is captured in base currency and irrespective of the currency of the individual issue costs, all the Issue costs are converted into Base Currency.

Click on the bars in the report to view the issue details. The issue details table displays all the details of the issues created for the issue category.

### *Issues Across Risk Categories*

This report displays the actual cost of issues and criticality for a risk category. Only issues in open and closed status are considered in this report.

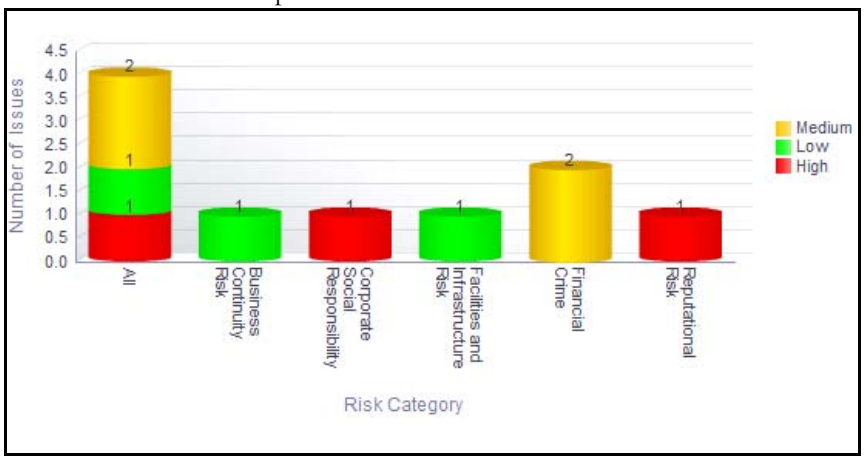



**Figure 617. Issues Across Risk Category**

The X axis represents the risk category and the Y axis represents the number of issues.

Each of the bars in the report represent the total number of issues created for each risk category.

Click on any of the bars in the graph to view the issue details. The issue details table displays all the details of the issues created for the risk category.

### *Issues Across Products*

This report displays the total number of issues by product. Only issues in open and closed status are considered in this report.

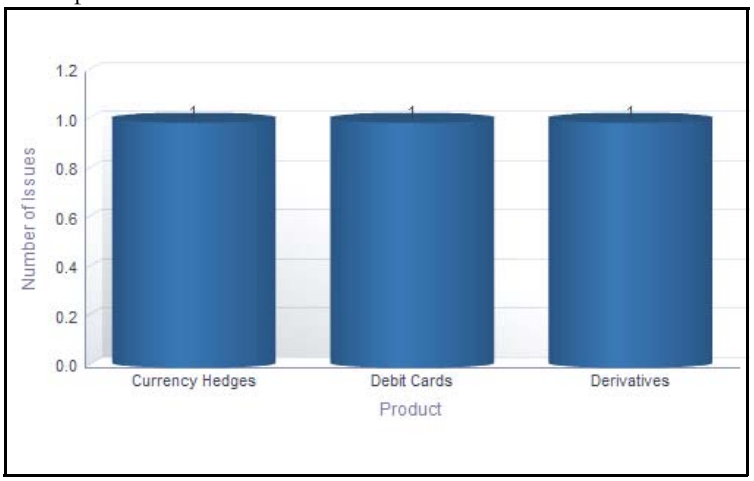



**Figure 618. Issues Across Products**

The X axis represents the first level product and the Y axis represents the number of issues.

Each of the bars in the report represent the total number of issues created for a product

The total number of issues for a product includes all the Issues created for the parent product and its child levels.

Click on each of the product in the X axis to view the number of issues for a product including its child levels.

Click on any of the bars in the report to view the issue details. The issue details table displays all the details of the issues created for the parent product and its child levels.

### *Aging of Issues*

This report displays the total number of issues, their status, and the time taken to resolve these issues for a period. Only issues in open and closed status are considered in this report.

You can choose to view the report either as bar graph or tabular report using the drop-down option provided.

Table

| Source | Total Issues | Within Time | Beyond Time | Delayed by 1-15 days | Delayed by 16-30 days | Delayed by 31-60 days | Delayed by > 60 days | < Target Date |
|---|---|---|---|---|---|---|---|---|
| Change Management | 2 | 0 | 0 | 0 | 2 | 0 | 0 | 0 |
| Control Definition | 8 | 0 | 0 | 1 | 4 | 2 | 0 | 1 |
| Incident Management | 13 | 0 | 0 | 1 | 9 | 2 | 0 | 1 |
| Key Indicators | 5 | 0 | 0 | 1 | 1 | 3 | 0 | 0 |
| Obligation | 5 | 0 | 0 | 0 | 3 | 2 | 0 | 0 |
| Process | 3 | 0 | 0 | 0 | 2 | 1 | 0 | 0 |
| Risk Definition | 12 | 0 | 0 | 1 | 8 | 3 | 0 | 0 |
| Scenario | 9 | 0 | 0 | 1 | 4 | 4 | 0 | 0 |
| | 4 | 0 | 0 | 0 | 3 | 0 | 0 | 1 |

**Figure 619. Aging of Issues (Tabular Report)**

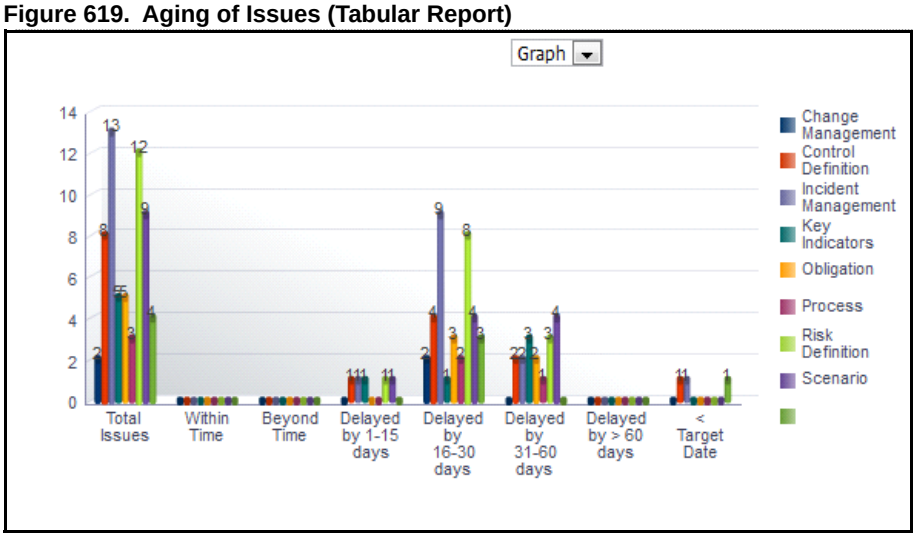



**Figure 620. Aging of Issues (Bar Chart)**

The X axis represents the time taken to address the issue and the Y axis represents the total number of issues.

Click on any of the bars in the bar graph or click on the count in the tabular report to view the issue details. The issue details table displays all the details of the issues along with the details of the source.

### *Issue Details*

This report displays the issues in a tabular format. Only issues created during the time specified in the filter are considered in this report.

| Issue | Issue Id | Owner | Source | Catagory | Criticality | Priority | Created Date | Target Completion Date | Currency | Issue Estimated Cost | Actual cost | Count of Actions | Completed Actions | Line of Business | Location | Risk Event Type | Risk Category | Risk Inventory | Status | Component |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue | 19248 | Francis Philp | 10009 | Others | Medium | Medium | 02/01/2014 | 31/01/2014 | CAD | 10,000 | | 0 | 0 | ABC USA | New York City | | Financial Crime | | Open | Risk Definition |
| Issue CCY CONVERSION | 17959 | Charles Philp | Questionaire risk 16384 | Others | Low | Not Rated | 03/01/2014 | 31/01/2014 | EUR | 43 | 850 | 3 | 0 | Network and Advisory sales | London | | | | Open | Risk Definition |
| Issue Exceeding - Process | 36233 | Charles Philp | Process - Issues Exceeding estimated cost | Design Deficiency | High | Medium | 28/01/2014 | 28/01/2014 | EUR | 15,000 | 25,000 | 1 | 0 | ABC USA | New York City | | | | Open | Process |
| Issue from Incident | 14008 | Incident Owner | legal, compliance incident | Non Compliance | Medium | Not Rated | 31/12/2013 | 31/12/2013 | EUR | 3,333 | | 1 | 0 | ABC USA | New York City | | | Defined Benefit Pension Risk | Open | Incident Management |
| Issue from Incident2 29-01 | 80543 | Incident Owner | Incident duplicate | Non Compliance | Medium | Not Rated | 29/01/2014 | 29/01/2014 | EUR | 55,555 | | 0 | 0 | ABC USA | New York City | Clients, Products and Business Practices | Financial Crime | Regulatory & Compliance Risk | Open | Incident Management |
| Issue30.01 | 81288 | Incident Owner | Incident issue link check | Accounting Controls | High | Not Rated | 30/01/2014 | 30/01/2014 | EUR | 33,333 | | 0 | 0 | ABC USA | New York City | | | | Open | Incident Management |
| Overdue Issues - Process | 36262 | Process Owner | Process -Overdue Issues | Non Compliance | Medium | Medium | 03/01/2014 | 04/01/2014 | EUR | 18,000 | 18,500 | 1 | 0 | Network and Advisory sales | London | | | | Open | Process |
| Test old issue | 24169 | Tom Harley | | Others | Medium | Not Rated | 02/01/2014 | 04/01/2014 | INR | 10,000 | | 2 | 0 | ABC USA | New York City | | | | Open | Control Definition |
| asdsa | 14517 | Tom Harley | | Design Deficiency | Medium | Medium | 31/12/2013 | 30/01/2014 | INR | 2,234,234 | 0 | 2 | 0 | ABC USA | New York City | Business Disruption and System Failures | | Operational Risk | Open | Incident Management |
| dfbdfbdfbdf | 83044 | Obligation Owner | obligation for the new questionnaire | Others | Medium | High | 30/01/2014 | 31/01/2014 | INR | 456 | | 0 | 0 | Network and Advisory sales | London | | | | Open | Obligation |

**Figure 621. Issue Details**

The following columns are highlighted in red in the report:

- Criticality column, if Issue criticality is *High*
- Priority column, if Issue criticality is *High*
- Actual costs column, if the estimated cost is less than the actual cost

The Issue cost is captured in base currency and irrespective of the currency of the individual issue costs, all the Issue costs are converted into Base Currency.

Click on the number of actions and completed actions count in the Issue Details table to view the action details.

### Actions

This tab displays the following reports:

- *Actions Across Business Lines*
- *Actions Across Location*
- *Overdue Actions By Business Line*
- *Actions by Priority*
- *Actions by Source*
- *Actions by Risk Event Type*
- *Ageing of Actions*

Following report is an additional report:

- *Action Plan Details*

#### *Actions Across Business Lines*

This report displays the actual cost of actions and the number of actions by business line.

By default, this report displays the first level business lines. If required, you can drill down to the last level.

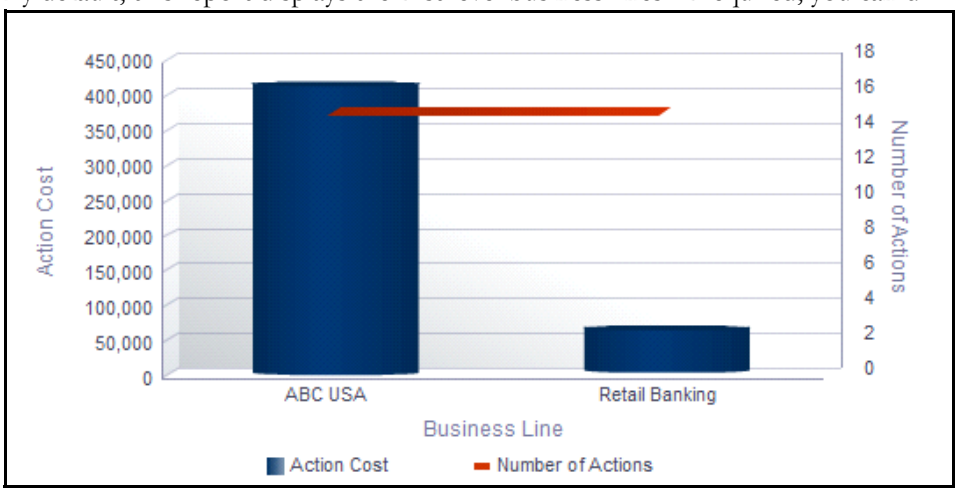



**Figure 622. Actions Across Business line**

The X axis represents the first level business line, the Y axis represents the actual cost of an action, and the Y1 axis represents the number of actions.

Each of the bars in the report represent the total cost of all the actions created for a business line.

The actions cost is captured in base currency and irrespective of the currency of the individual actions costs, all the actions costs are converted into Base Currency.

Total Action Cost for a Business Line is the sum of all the Actual Costs of the actions created for the parent and its child business lines.

The total number of actions for a business line includes all the actions created for the parent and child business lines.

Click on each of the business lines in the X axis to view the number of actions and the actual cost of all the actions created for each of the child business lines.

Click on any of the bars in the report to view the actions details. The actions details table displays all the details of the actions created for the parent business line and the child levels.

### *Actions Across Location*

This report displays the actual cost of actions and the number of actions by location. By default, this report displays the first level location. If required, you can drill down to the last level.

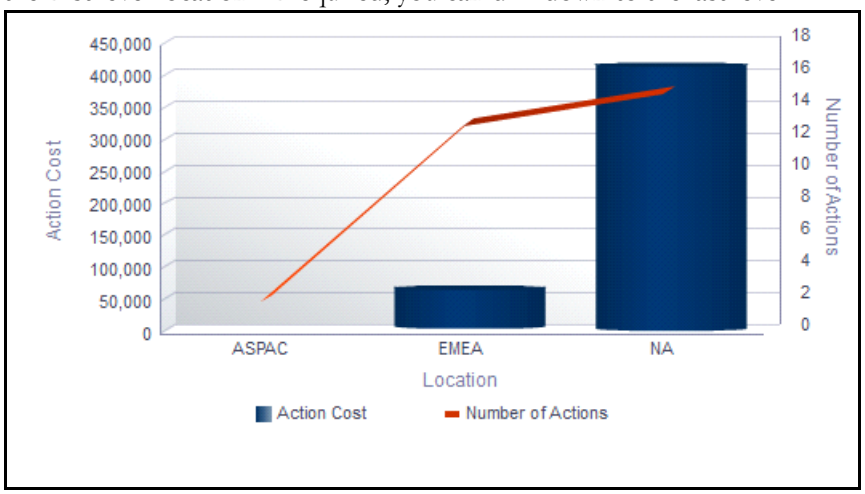



**Figure 623. Actions Across Location**

The X axis represents the first level location, the Y axis represents the actual cost of an action, and the Y1 axis represents the number of actions.

Each of the bars in the report represent the total cost of all the actions created for a location.

The action cost is captured in base currency and irrespective of the currency of the individual action costs, all the action costs are converted into Base Currency.

Total Action Cost for a location is the sum of all the Actual Costs of the actions created for a location and all its children.

The total number of actions for a location includes all the actions created for a location and all its children.

Click on each of the locations in the X axis to view the number of actions and the actual cost of all the actions created for the parent and child levels.

Click on any of the bars in the graph to view the action details. The action details table displays all the details of the actions created for the parent location and the child levels.

### *Overdue Actions By Business Line*

This report displays the total number of overdue actions and open actions by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.

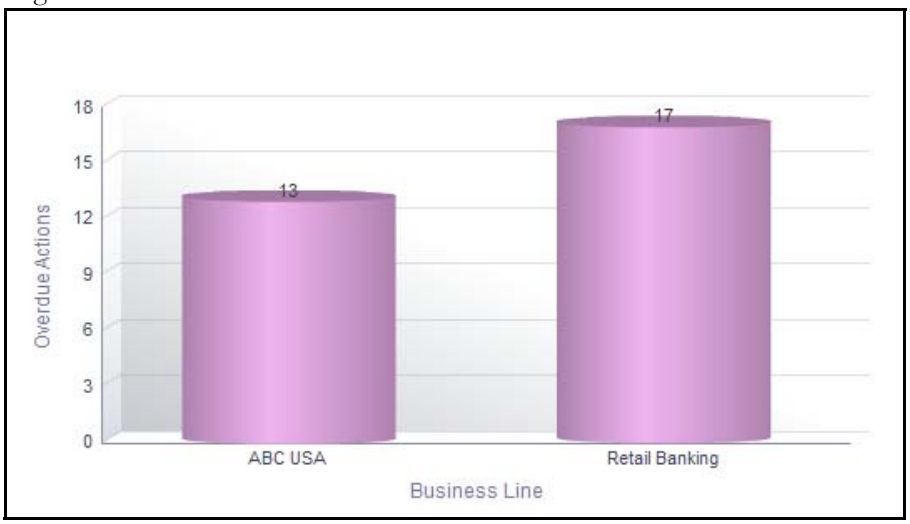



**Figure 624. Overdue Actions by Business Line**

The X axis represents the first level business lines and the Y axis represents the number of actions.

Each of the bars in the report represent the total number of overdue actions and open actions created for each business line.

The total number of overdue actions for a business line includes all the overdue actions created for a business line and all its children. The Overdue actions filter in the report allows you to view the actions overdue for the specified time period. By default, this report displays all the overdue actions.

The total number of open actions for a business line includes all the open actions created for the parent business line and all its child levels.

Click on the open actions bar in the report to view the action details. This table displays all the actions in open status for each business line.

Click on the overdue actions bar in the report to view the action details. This table displays all the actions that are overdue for each business line.

### *Actions by Priority*

This report displays the total number of actions by their priority. Only actions in open and closed status are considered in this report.

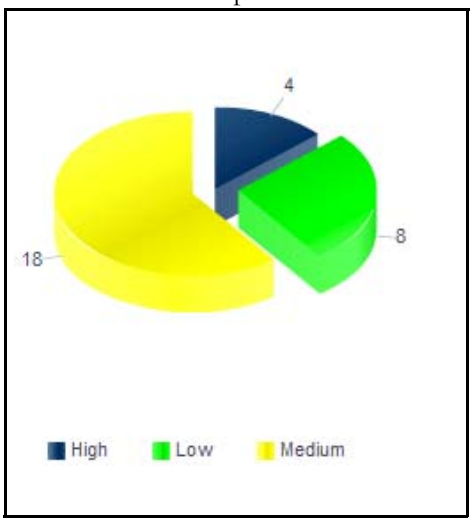



**Figure 625. Actions by Priority**

Click on any of the sectors in the report to view all the actions for the specific priority.

### *Actions by Source*

This report displays the action cost by source.

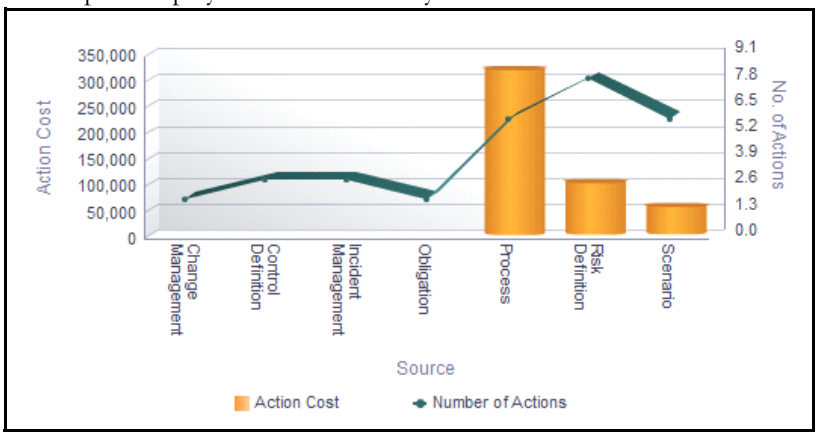



**Figure 626. Actions Across Source**

The X axis represents the action source, the Y axis represents the action cost, and the Y1 axis represents the number of open actions.

Each of the bars in the report represent the total cost of all the actions created for an action source.

The action cost is captured in base currency and irrespective of the currency of the individual action costs, all the action costs are converted into Base Currency.

Total Action Cost is the sum of all the Actual Costs of the actions created for a component.

The total number of actions includes all the actions created for a component.

Click on any of the bars in the report to view the action details. The action details table displays all the details of the action created for the action source.

### *Actions by Risk Event Type*

This report displays the actual cost of actions and the number of actions by risk event type.

By default, this report displays the first level risk event type. If required, you can drill down to the last level of risk event type.




**Figure 627. Actions by Risk Event Type**

The X axis represents the first level risk event type, the Y axis represents the actual cost of an action, and the Y1 secondary axis represents the number of actions.

Each of the bars in the report represent the total cost of all the actions created for a risk event type.

The action cost is captured in base currency and irrespective of the currency of the individual action costs, all the action costs are converted into Base Currency.

Total Action Cost for a risk event type is the sum of all the Actual Costs of the actions created for a risk event type and all its children.

The total number of actions for a risk event type is the sum of all the actions created for a risk event type and all its children.

Click on each of the risk event type in the X axis to view the number of actions and the actual cost of all the actions created for each of the child levels.

Click on any of the bars in the report to view the action details. The action details table displays all the details of the actions created for the parent risk event type and the child levels.

### *Ageing of Actions*

This report displays the total number of actions and the time taken to resolve these actions created during a period. Only actions in open and closed status are considered in this report. This report displays the number of actions created for different sources.

You can choose to view the report either as bar graph or tabular report using the drop-down option provided.

Table

| Source | Total Actions | Within Time | Beyond Time | Delayed by 1-15 days | Delayed by 16-30 days | Delayed by 31-60 days | Delayed by > 60 days | < Target Date |
|---|---|---|---|---|---|---|---|---|
| Change Management | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Control Definition | 3 | 0 | 0 | 1 | 0 | 0 | 0 | 1 |
| Incident Management | 3 | 0 | 0 | 0 | 0 | 0 | 0 | 1 |
| Obligation | 2 | 0 | 0 | 1 | 0 | 0 | 0 | 0 |
| Process | 6 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Risk Definition | 8 | 0 | 0 | 0 | 0 | 0 | 0 | 1 |
| Scenario | 6 | 0 | 0 | 1 | 0 | 0 | 0 | 0 |

**Figure 628. Aging of Actions (Tabular Report)**

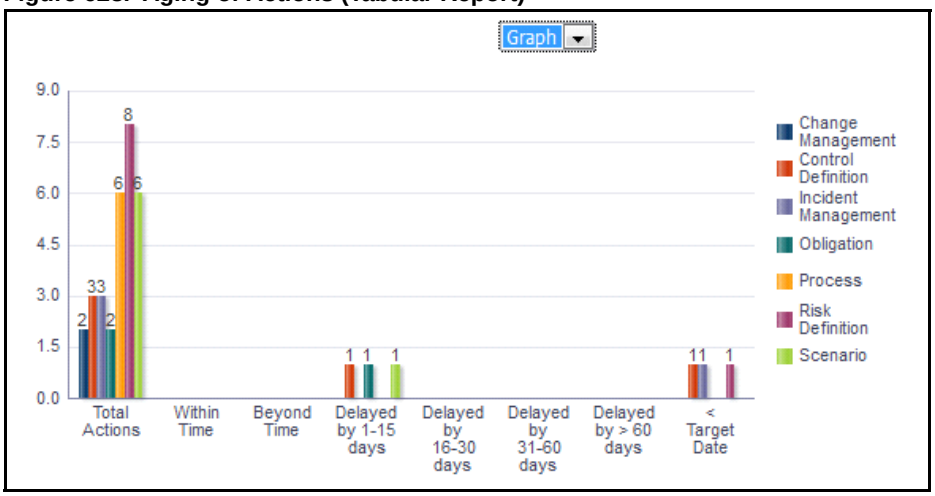



**Figure 629. Aging of Actions (Bar Chart)**

The X axis represents the time taken to address the action and the Y axis represents the total number of actions.

Click on any of the bars in the bar graph or click on the count in the tabular report to view the action details. The action details table displays all the details of the actions along with the details of their source.

### *Action Plan Details*

This report displays the action details in a tabular format. Only actions created during the time specified in the filter are considered in this report.

The following columns are highlighted in red in the report:

- Criticality column, if Issue criticality is *High*
- Priority column, if Issue priority is *High*
- Actual costs column, if the estimated cost is less than the actual cost

The action cost is captured in base currency and irrespective of the currency of the individual action costs, all the action costs are converted into Base Currency.

Click on the number of activities count in the Action Details table to view the details of the activities created for an action.

Click on the number of linked issues count in the Action Details table to view the details of the issues linked to the action.

## Key Indicators

The Key Indicator Component gives the flexibility to capture Key Indicators which can either be Risk Indicators, Control Indicators, Performance Indicators or BEICF Indicators. Key Indicators are metrics, often financial, which provide insight into a bank's or organization's risk position. These indicators are reviewed on a periodic basis to alert banks to changes that may be indicative of risk concerns. Such indicators may include the number of unsuccessful and failed trades, staff turnover rates and the frequency or severity of errors and omissions.

OFSOR Key Indicators module provides an early-warning system to identify potential costly operational hazards including fraud, legal, and technology risks. The use of Key Indicators is one of the BIS (Bank of International Settlements) recommendations for sound Operational Risk Management, and thus an essential component of Basel II and Sarbanes-Oxley laws.

For more information on module, refer to *Chapter 7, Managing Key Indicator Library and Key Indicators*.

This dashboard displays the reports based on the Key Indicators data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Risk Category
- Process

The KI Dashboard displays the following Tabs:

- *Key Indicator Details*
- *Associated Entities*

### Key Indicator Details

This tab displays the following reports:

- *Key Indicators by Business Line*
- *Key Indicators by Location*
- *Key Indicators By Risk Inventory*
- *Key Indicators by Risk Event Type*
- *Key Indicators by Source*
- *Key Indicators by Nature*

Following reports are additional reports:

- *Key Indicators by Frequency Key Indicators By Type*
- *Key Indicators in Development*
- *Overdue Actions for Key Indicators by Business Line*
- *Actions Exceeding Estimated Cost for Key Indicator by Business Line*
- *Overdue Issues for Key Indicator by Business Line*
- *Issues Exceeding Estimated Cost for Key Indicator*
- *KI Details*

#### *Key Indicators by Business Line*

This report displays the count of all Key indicators created for a business line. Only KIs in open status and first level business lines are displayed by default. If required, you can drill down to last level.

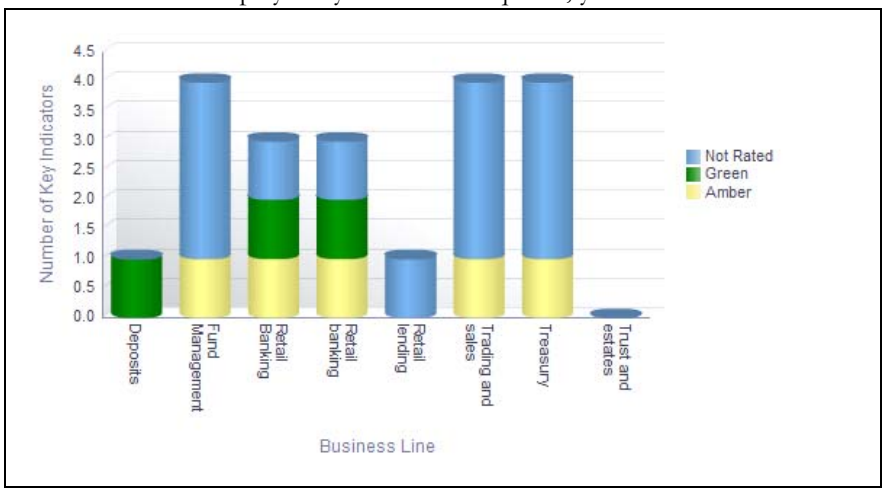



**Figure 630. Key Indicators by Business Line**

The X axis represents the business line and the Y axis represents the number of key indicators.

Each of the bars in the report represent the key indicators created for a business line.

Click on each of the business lines in the X axis to view the KI details for each of the child levels.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the selected business line.

### *Key Indicators by Location*

This report displays the count of all KIs created for a location.

Only KIs in open status and first level location are displayed by default. If required, you can drill down to last level.

The X axis represents the location and the Y axis represents the number of key indicators.

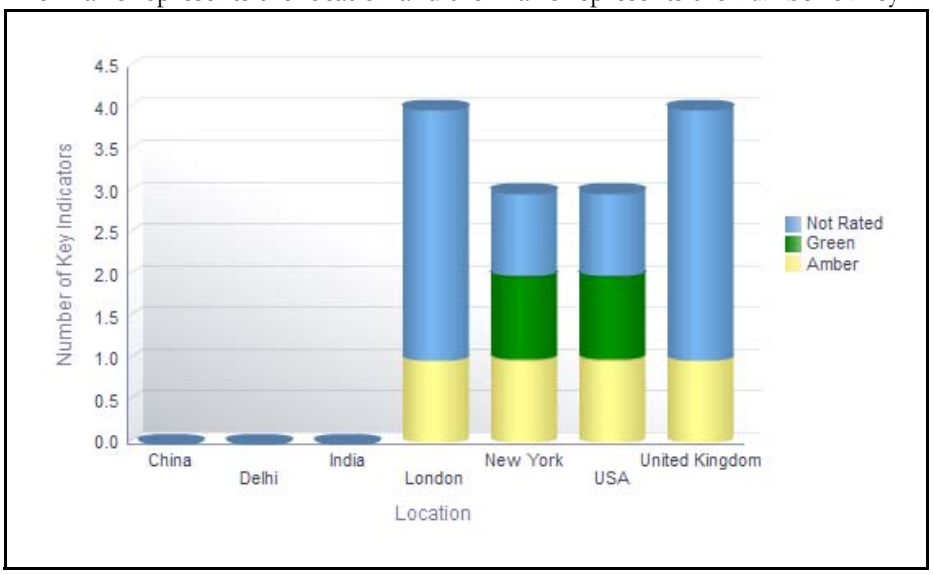



**Figure 631. Key Indicators by Location**

Each of the bars in the report represent the key indicators created for a location.

Click on each of the location in the X axis to view the KI details for each of the child levels.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the selected location.

*Key Indicators By Risk Inventory*

This report displays the count of key indicators created for a risk inventory.

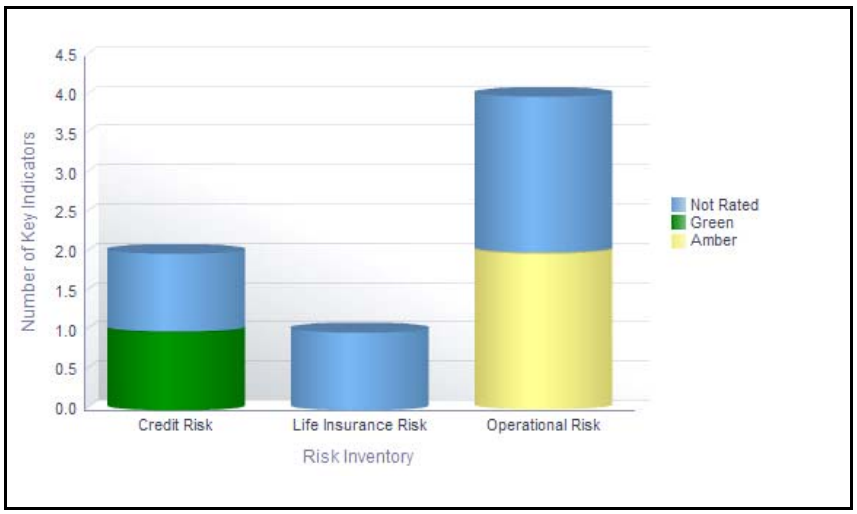



**Figure 632. Key Indicators By Risk Inventory**

The X axis represents risk inventory and the Y axis represents the number of key indicators. Each of the bars in the graph represent the number of Key Indicators created for a Risk Inventory.

Each of the bars in the report represent the key indicators created for a risk inventory.

Click on each of the risk inventory in the X axis to view the KI details for each of the child levels.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the selected risk inventory.

*Key Indicators by Risk Event Type*

This report displays the count of key indicators created for a risk event type.

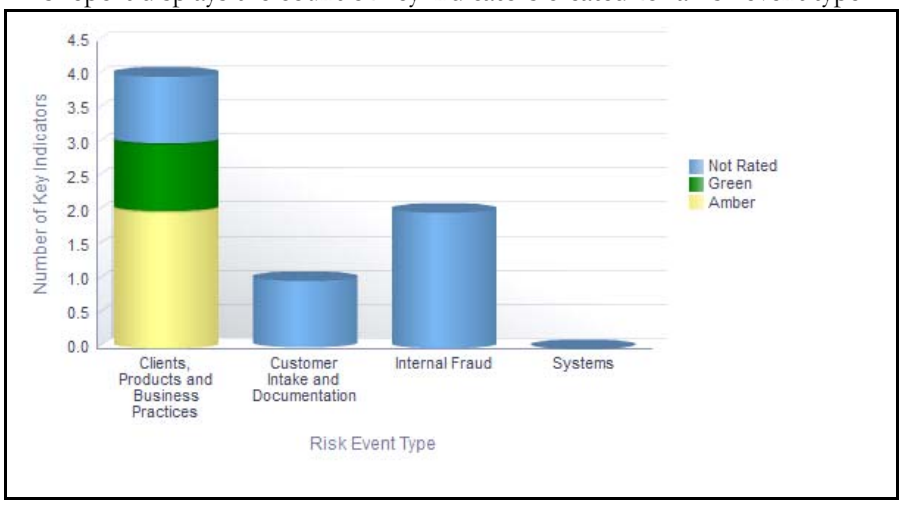



**Figure 633. Key Indicators by Risk Event Type**

The X axis represents the first level risk inventory and the Y axis represents the number of key indicators. Each of the bars in the graph represents the number of Key Indicators created for each Risk Event Type.

Each of the bars in the report represent the key indicators created for a risk event type.

Click on each of the risk event type in the X axis to view the KI details for each of the child levels.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the selected risk event type.

*Key Indicators by Source*

This report displays the count of key indicators created for a source. Only KIs in open status are considered in this report.

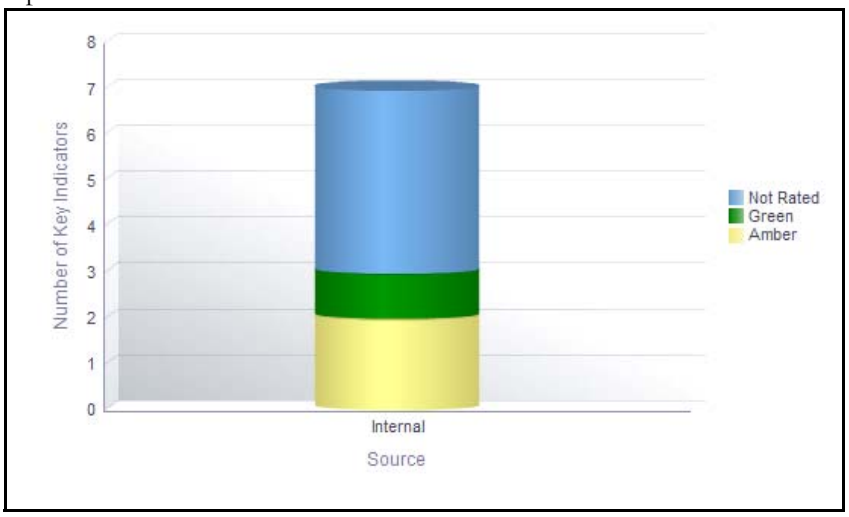



**Figure 634. Key Indicators by Source**

The X axis represents the source and the Y axis represents the number of key indicators.

Each of the bars in the report represent the key indicators created for a source.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the selected source.

*Key Indicators by Nature*

This report displays the count of key indicators in open status for a KI nature.

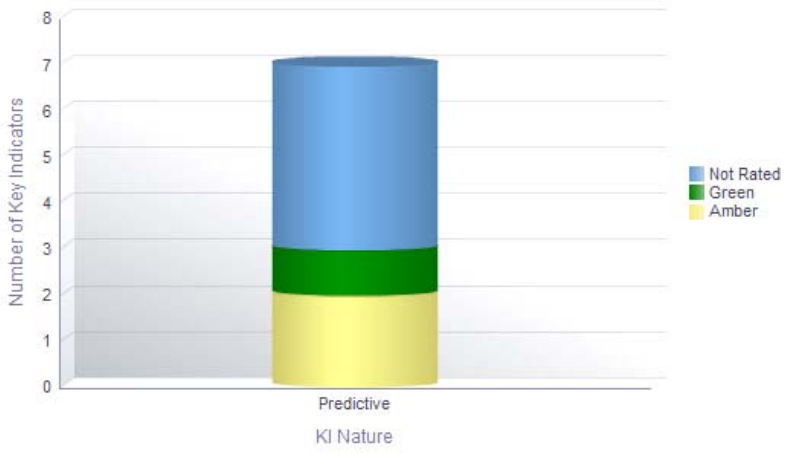



**Figure 635. Key Indicators by Nature**

The X axis represents the nature of the key indicator and the Y axis represents the number of key indicators.

Each of the bars in the report represent the key indicators created for a KI nature.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the selected nature.

### *Key Indicators by Frequency*

This report displays the count of key indicators created during a specific frequency.

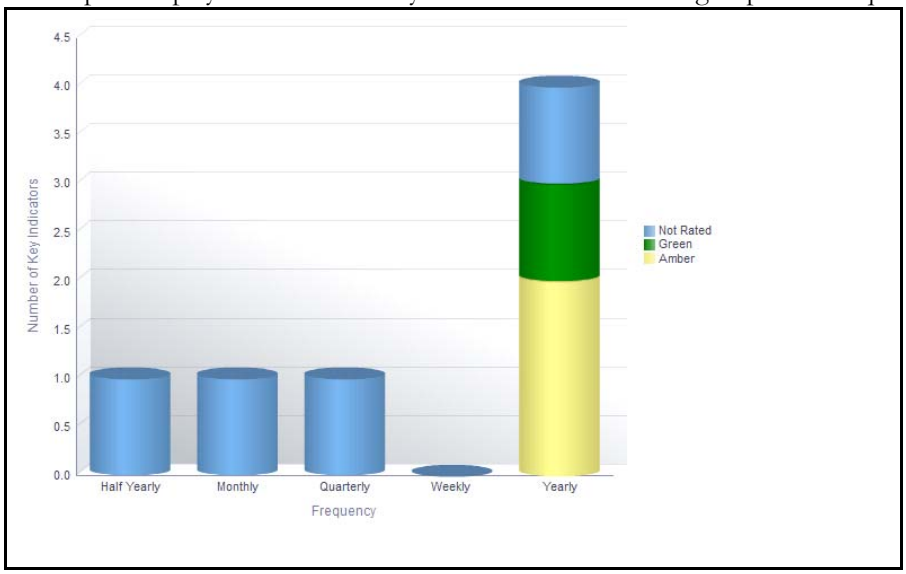



**Figure 636. Key Indicators by Frequency**

The X axis represents the frequency and the Y axis represents the number of key indicators.

Each of the bars in the graph represents the number of Key Indicators created during the specific frequency.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created during the specified frequency.

### *Key Indicators By Type*

This report displays the count of key indicators in open status by key indicator type.

The X axis represents the type and the Y axis represents the number of key indicators.

Each of the bars in the graph represents the number of Key Indicators created for a specific type.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on each of the sections in the bar to view the underlying Key Indicator details. The KI Details table displays all the details of the KIs created for the specific type.

### *Key Indicators in Development*

This tabular report displays all the key indicators that require development. Only KIs in open status and KIs for which the field KI in Development is marked as Yes are considered in this report.

### *Overdue Actions for Key Indicators by Business Line*

This report displays the total number of overdue actions and the total number of open actions linked to key indicators by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.

The X axis represents the business line and the Y axis represent the number of overdue actions.

Each of the bars in the report represents the total number of overdue actions and the total number of open actions created for each business line linked to key indicators.

Click on each of the business lines in the X axis to view the number of overdue actions created for each of the business line and its child levels.

Click on the overdue actions bar in the report to view the overdue action details.

Click on the count of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

### *Actions Exceeding Estimated Cost for Key Indicator by Business Line*

This report displays the total number of actions linked to key indicators where the actual cost is more than the estimated cost by Business Line. Only actions in open status are considered in this report.

The X axis represents the business line and the Y axis represents the number of actions.

Each of the bars in the report represents the total number of actions exceeding estimated cost and the total number of actions created for each business line linked to key indicators.

Click on each of the business lines in the X axis to view the actions exceeding estimated cost and the number of open actions for each of the business line and its child levels.

Click on the actions exceeding estimated cost bar in the report to view the action details.

Click on the number of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

### *Overdue Issues for Key Indicator by Business Line*

This report displays the total number of overdue issues and total number of open issues linked to key indicators by business line.

The X axis represents the business line and the Y axis represent the number of overdue issues.

Each of the bars in the report represents the total number of overdue issues and the total number of open issues created for each business line linked to key indicators.

Click on each of the business lines in the X axis to view the number of overdue issues created for each of the business line and its child levels.

Click on the overdue issues bar in the report to view the overdue issue details.

Click on the count of issues bar in the report to view the open issue details. The issue details table displays all the details of open issues created for the parent business line and all its child levels.

### *Issues Exceeding Estimated Cost for Key Indicator*

This report displays the total number of Issues linked to key indicators where the actual issue cost is more than the estimated cost by Business Line. Only issues in open status are considered in this report.

The X axis represents the business line and the Y axis represents the number of issues.

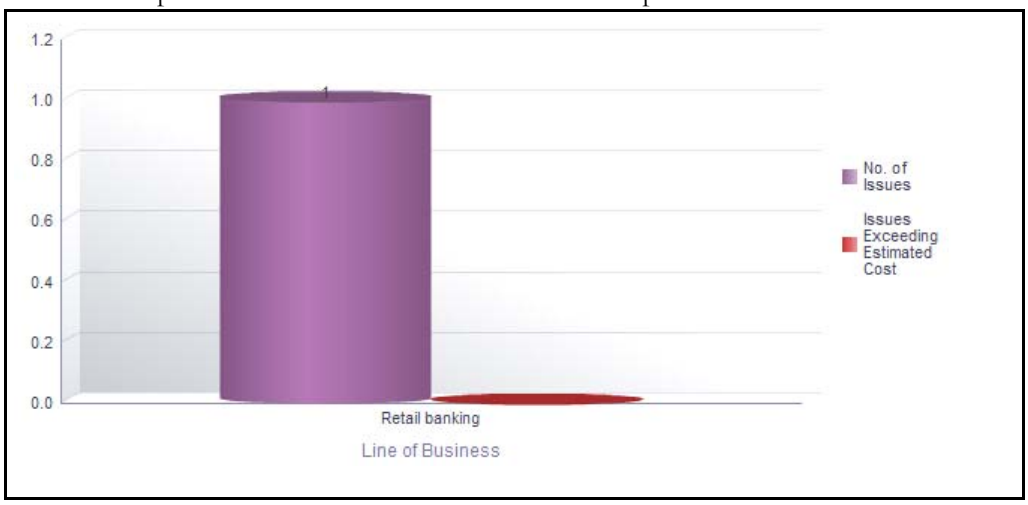



**Figure 637. Issues Exceeding Estimated Cost for Key Indicator**

Each of the bars in the report represents the total number of issues exceeding estimated cost and the total number of issues created for each business line linked to key indicators.

Click on each of the business lines in the X axis to view the issues exceeding estimated cost and the number of open issues for each of the business line and its child levels.

Click on the issues exceeding estimated cost bar in the report to view the issue details.

Click on the number of issues bar in the report to view the issue details. The issue details table displays all the details of the issues created for the parent business line and all its child levels.

### *KI Details*

This report displays the details of all the key indicators in open status along with their latest assessment ratings.

| ID | Name | Type | Nature | Library Reference | Source | KI in Development | Enterprise KI | Risk Inventory | Risk Event Type | Cause Category | Frequency | Measure scale | Rating | Status | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 17761 | KI Test | KRI | Predictive | KI Test | Internal | No | No | Credit Risk | Clients, Products and Business Practices | Technology | Yearly | Number | Green | Open | Deposits | New York |
| 18034 | Enterprise KI | KCI | Predictive | Enterprise KI | Internal | No | Yes | Operational Risk | Clients, Products and Business Practices | Technology | Yearly | Amount | Amber | Open | Fund Management | London |
| 29464 | test test KCI | KRI | Predictive | Test | Internal | No | No | Operational Risk | Internal Fraud | Technology | Monthly | Percentage | Not Rated | Open | Retail lending | New York |
| 34575 | new KCI from control | KRI | Predictive | Test | Internal | No | No | Operational Risk | Internal Fraud | Technology | Quarterly | Percentage | Not Rated | Open | Fund Management | London |
| 58529 | TestingTestingTesting | KRI | Predictive | TestingTestingTesting | Internal | No | No | Credit Risk | Clients, Products and Business Practices | External Environment | Half Yearly | Percentage | Not Rated | Open | Fund Management | London |
| 65097 | Enterprise KI | KCI | Predictive | Enterprise KI | Internal | No | Yes | Operational Risk | Clients, Products and Business Practices | Technology | Yearly | Amount | Amber | Open | Retail Banking | New York |
| 65340 | Test KI Report | KRI | Predictive | Test KI Report | Internal | No | No | Life Insurance Risk | Customer Intake and Documentation | Systems Development | Yearly | Number | Not Rated | Open | Fund Management | London |

**Figure 638. KI Details**

## Associated Entities

This tab displays the following reports:

- *Key Indicator High Risks and Total Losses*
- *Key Indicators Associated with Incidents*
- *Key Indicators and Risks*
- *Key Indicators and Controls*
- *Key Indicators Associated with Scenarios*

Following report is an additional report:

- *KI Metrics*

### *Key Indicator High Risks and Total Losses*

This report displays the count of risks and incidents linked to key indicators. Only key indicators and risks in open status, and Incidents that have occurred in the past 3 years from the current system date are considered n this report. However, this time period is configurable by the administrator.

| Key Indicator ID | Key Indicator Name | Cause Category | Enterprise KI | Frequency | KI Rating | KI Assessment Date | High Risks | Aggregate Gross Loss Amount |
|---|---|---|---|---|---|---|---|---|
| 17761 | KI Test | Technology | No | Yearly | Green | 12/03/2014 | 0 | |
| 18034 | Enterprise KI | Technology | Yes | Yearly | Amber | 24/03/2014 | 0 | |
| 29464 | test test KCI | Technology | No | Monthly | Not Rated | | 0 | |
| 34575 | new KCI from control | Technology | No | Quarterly | Not Rated | | 0 | |
| 58529 | TestingTestingTesting | External Environment | No | Half Yearly | Not Rated | | 0 | |
| 65097 | Enterprise KI | Technology | Yes | Yearly | Amber | 24/03/2014 | 0 | |
| 65340 | Test KI Report | Systems Development | No | Yearly | Not Rated | | 0 | |

**Figure 639. Key Indicator High Risks and Total Losses**

Click on the Key Indicator ID in the report to view the KI details.

The KI Rating is derived from the latest submitted KI metrics.

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

Click on the High Risk hyperlink to view the details of the risks that are assessed as *High*.

The Aggregate Gross Loss Amount column in the report displays the aggregated *Gross Loss Amount* of all the Incidents (except incidents in *Closed* status) which are linked to the Key Indicator. Click on this hyperlink to view the details of the incidents associated with the key indicator.

### *Key Indicators Associated with Incidents*

This report displays the count of incidents in all statuses except closed linked to a key indicator. Only key indicators in open status and Incidents that have occurred in the past 3 years from the current system date are considered in this report. However, this time period is configurable by the administrator.

The KI Rating is derived from the latest submitted KI metrics.

Click on Incident ID of the report to view the details of the incidents associated with the key indicator.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents key indicators with overall assessment rating as High

The amber color bar represents key indicators with overall assessment rating as Medium

The green color bar represents key indicators with overall assessment rating as Low

The blue color bar represents key indicators that are Not assessed.

### *Key Indicators and Risks*

This report displays the count of risks in open status linked to key indicators. Only key indicators in open status are considered for this report.

| Key Indicator ID | Key Indicator Name | Cause Category | Enterprise KI | Frequency | KI Rating | KI Assessment Date | Risk Name | Risk ID | Risk Event Type | Reputational Risk | Inherent Risk Rating | Residual Risk Rating | Status | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 17761 | KI Test | Technology | No | Yearly | Green | 12/03/2014 | risk for completeness check | 61142 | Account churning | High | Not Rated | Not Rated | Open | Retail Banking | London |
| 18034 | Enterprise KI | Technology | Yes | Yearly | Amber | 24/03/2014 | risk for completeness check | 61142 | Account churning | High | Not Rated | Not Rated | Open | Retail Banking | London |
| 58529 | TestingTestingTesting | External Environment | No | Half Yearly | Not Rated | | risk for completeness check | 61142 | Account churning | High | Not Rated | Not Rated | Open | Retail Banking | London |

**Figure 640. Key Indicators and Risks**

Click on the Risk ID and the Key Indicator ID in the report to view the risk and KI details.

### *Key Indicators and Controls*

This report displays the count of controls in open status linked to key indicators. Only key indicators in open status are considered for this report.

| Key Indicator ID | Key Indicator Name | Cause Category | Enterprise KI | Frequency | KI Rating | KI Assessment Date | Control Name | Control ID | Risk Event Type | DE Rating | OE Rating | Overall Rating | Control Assessment Date | Status | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 17761 | KI Test | Technology | No | Yearly | Green | 12/03/2014 | jkjkjkads | 23106 | | Qualified | Requires Improvement | Requires Improvement | 13/03/2014 | Open | Consultancy Services / Research / Development (to include training given to outsiders) | London |
| 18034 | Enterprise KI | Technology | Yes | Yearly | Amber | 24/03/2014 | TP# | 18754 | | Not Rated | Not Rated | Not Rated | | Open | Retail Banking | New York |
| | | | | | | | jkjkjkads | 23106 | | Qualified | Requires Improvement | Requires Improvement | 13/03/2014 | Open | Consultancy Services / Research / Development (to include training given to outsiders) | London |
| 34575 | new KCI from control | Technology | No | Quarterly | Not Rated | | PS CT Functionality | 29930 | | Requires Improvement | Effective | Qualified | 14/03/2014 | Open | Deposits | New York |

**Figure 641. Key Indicators and Controls**

Click on the Control ID and the Key Indicator ID in the report to view the control and KI details.

### *Key Indicators Associated with Scenarios*

This report displays the count of scenarios in open, submitted for approval, and In review status linked to key indicators. Only key indicators in open status are considered for this report.

| Key Indicator ID | Key Indicator Name | Cause Category | Enterprise KI | Frequency | KI Rating | KI Assessment Date | Scenario Name | Scenario ID | Risk Event Type | Risk Inventory | Product | Process | Status |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 18034 | Enterprise KI | Technology | Yes | Yearly | Amber | 24/03/2014 | sdfsd | 40016 | Bribes or kickbacks | | | | Draft |
| 29464 | test test KCI | Technology | No | Monthly | Not Rated | | sdfsd | 40016 | Bribes or kickbacks | | | | Draft |
| 34575 | new KCI from control | Technology | No | Quarterly | Not Rated | | MC1 | 46473 | Theft or Extortion or Embezzlement or Robbery | Operational Risk | | | Open |
| | | | | | | | sdfsd | 40016 | Bribes or kickbacks | | | | Draft |

**Figure 642. Key Indicators Associated with Scenarios**

Click on the Scenario ID and the Key Indicator ID in the report to view the scenario details and KI details, respectively.

### *KI Metrics*

This report displays the count of key indicators in open status as well as the count of entities like risks, controls, internal incidents, scenarios, obligations, change initiatives, and so on associated to the key indicators.

| Key Indicator ID | Key Indicator Name | Risks | Controls | Scenarios | Incidents | Obligations | Change Initiatives | Issues | Actions |
|---|---|---|---|---|---|---|---|---|---|
| 17761 | KI Test | 1 | 1 | 0 | 0 | 1 | 0 | 0 | 0 |
| 18034 | Enterprise KI | 1 | 2 | 1 | 0 | 1 | 1 | 0 | 0 |
| 29464 | test test KCI | 0 | 0 | 1 | 0 | 2 | 0 | 0 | 0 |
| 34575 | new KCI from control | 0 | 1 | 2 | 0 | 2 | 0 | 0 | 0 |
| 58529 | TestingTestingTesting | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 65097 | Enterprise KI | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 |
| 65340 | Test KI Report | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

**Figure 643. KI Metrics**

The following table displays the status of the entities linked to the key indicators.

**Table 275. KI Metrics**

| Entity | Status |
|---|---|
| Risks | Open |
| Controls | Open |
| Internal Incidents | All |
| Scenarios | Open |
| Obligations | Open |
| Change Initiatives | All |
| Business Continuity Plans | All other than closed |
| Issues | All |
| Actions | All |

### *Key Indicators By Type*

This report displays the count of all Key indicators in open status by Key Indicator Type.

The X axis represents the type and the Y axis represents the number of key indicators with latest assessment rating. Each of the bars in the report displays the number of Key Indicators created for the selected type.

Following is the color convention followed in each of the stacks of the bar graph:

The red color bar represents overall risk assessment rating High.

The Amber color bar represents overall risk assessment rating Medium.

The Green color bar represents overall risk assessment rating Low.

Click on any of the bars in the report to view the Key Indicator details. The KI Details table displays all the details of the KIs created for the selected type.

## 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.

This dashboard displays the reports based on the Planning and Scoping data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Status

The Planning and Scoping dashboard displays the following tabs:

- *Plan Summary*

### Plan Summary

This tab displays the following reports:

- *Entities by Plan Purpose*
- *Type of Plans based on Frequency*
- *Plans Summary Status*
- *Assessment Plan Summary*
- *Entities with No Assessment Plans*
- *Entities with No Attestation Plans*
- *Plan Details*

#### *Entities by Plan Purpose*

This report displays the number of Plans for each Plan Purpose which is in open status. On drilling down on each Purpose, the report displays the number of Plans for each Plan Type. This allows the admin user to analyze the number of active plans for various entities like Risks, Controls, and so on.

Only plans in open status are considered in this report.

The X axis represents the plan purpose and the Y axis represents the number of plans.

Each of the bars in the report represents the number of plans created for a plan purpose.

Click on any of the bars in the plan type to view the respective plan and entity details.

### *Type of Plans based on Frequency*

This report displays the count o plans by different frequencies. Only plans in open status are considered in this report.

The views drop-down option allows you to view the report either in the form of bar chart or table.

The X axis represents the frequency and the Y axis represents the number of plans.

The Plan type report filter allows you to view the type of plan you want to view.

Following are the report filters:

- Assessment
- Attestation
- SOX Certification
- Questionnaire

By default, the report displays all the plan types.

Click on any of the bars in the report to view the plan and entity details.

Click on the count in the report to view the respective entity details.

### *Plans Summary Status*

This report displays the count of all plans by different statuses.

The X axis represents the status of the plan (open, closed, and draft) and the Y axis represents the number of plans.

Each of the bars in the report represent the count of plans in different status.

Click on any of the bars in the report to view the plan details.

### *Assessment Plan Summary*

This report displays the plan details in the form of Grantt chart.

Only the reports in open and closed status are considered in this report. By default, the report displays a default period of 12 months.

### *Entities with No Assessment Plans*

This report displays the count of entities such as risks, controls, process, obligations, regulations, and questionnaire that are not a part of any open plan. Only entities in open status and plans of *Assessment* type are considered in this report.

Click on the entity ID in the report to view the entity details.

### *Entities with No Attestation Plans*

This report displays the count of entities such as compliance plans, controls, process, business line and location that are not a part of any open plan. Only entities in open status and plans of *Attestation* type are considered in this report.

Click on the entity ID in the report to view the entity details.

### *Plan Details*

This report displays all the details of the plan. By default, this report displays only plans in open status.

The report displays the count of entities like risks, controls, processes, obligations, regulations, compliance plans, and questionnaires associated with the plan. Click on the entity count to view additional information about them.

## Process

Processes are the procedures, programs, and practices that impose order on the bank's pursuit of its objectives.

Processes are one of the main causes of operational risk that are closely monitored by the management. These Processes may differ from one financial institution to other but they are closely monitored to identify risks and suitable controls to mitigate the evolved risks.

OFSOR application provides a complete solution for Processes related activities. It allows to set up a library of Processes associates with different business lines and locations. This attests and assesses Processes and also generates Processes reports.

In financial institutions, broader business objectives are achieved through a set of Processes or a series of actions. These Process(es) expose banks to different types of risks. Risk identification and categorization of the risk is a pre-requisite for close monitoring of the risk and for arriving at an appropriate control measure.

Process defines how the activities are carried out in a bank or financial institution

For more information on module, refer to *Chapter 13, Managing Processes*.

This dashboard displays the reports based on the Process data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Process

The Process Dashboard displays the following reports:

- *Critical Processes*
- *Attestation Processes*
- *Process with High Assessment Rating*
- *Process Metrics*
- *Process Risk Heat Map*
- *Process Control Heat Map*
- *Losses Associated with Processes*
- *Processes Associated with Scenarios*
- *Process Assertions*

The following reports are additional reports:

- *Overdue Actions for Processes by Business Line*
- *Actions Exceeding Estimated Cost for Processes by Business Line*
- *Overdue Issues for Processes by Business Line*
- *Issues Exceeding Estimated Cost for Processes*
- *Process Tree*
- *Process Details*

### Critical Processes

This report displays the count of critical processes and their latest *Overall Risk Assessment* rating.

Only processes in open status are considered in this report.

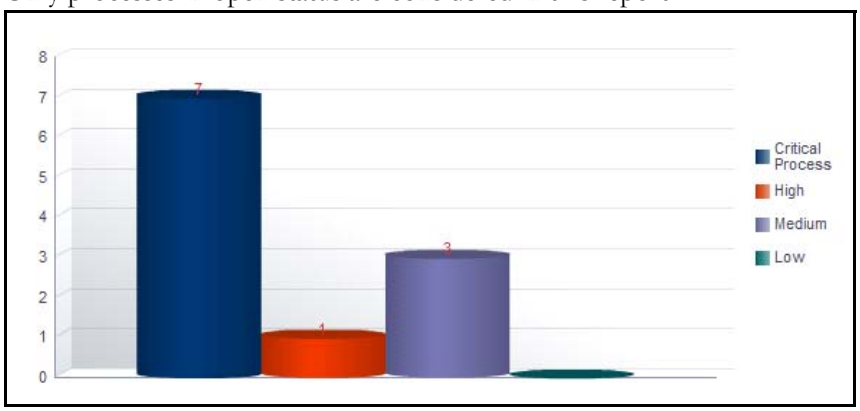



**Figure 644. Critical Processes**

The X axis represents the critical processes as well as their latest assessment rating and the Y axis represents the number of critical processes.

The report displays the following bars:

- **Critical Processes**: This bar represents the count of processes which are marked as critical.
- **High**: This bar represents the count of processes for which the latest submitted *Overall Risk Assessment* rating is *High*.
- **Medium**: This bar represents the count of processes for which the latest submitted *Overall Risk Assessment* rating is *Medium*.
- **Low**: This bar represents the count of processes for which the latest submitted Overall Risk Assessment rating is *Low*.

Click on any of the bars in the report to view the underlying process details along with their overall risk assessment rating.

| Process ID | Process Name | Parent Process | Critical | Owner | Assessment Date | Valid From | Valid To | Complexity | Volume of Transaction | Dependency on IT Systems | Dependency on Third Party / Outsourcing | Susceptibility to Internal Fraud | Inherent Risk | Control Effectiveness | Risk Assessment | Requires Attestation | Assessed by | Applicable Business Units |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 10890 | Process-QA | | Yes | Process Owner | 17-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | Medium | Medium | Medium | Medium | Medium | Medium | Qualified | Medium | Yes | Process Owner | 1 |
| 19182 | Test2 | Test1 | Yes | Process Owner | 02-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | Medium | Medium | Medium | Medium | Medium | Medium | Qualified | Medium | No | Process Owner | 1 |
| 19192 | Test3 | Test2 | Yes | Process Owner | 02-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | High | High | High | High | High | High | Requires Improvement | High | Yes | Process Owner | 2 |
| 33274 | Process - Overdue Actions | Process-QA | Yes | Process Owner | 03-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | Medium | Medium | Medium | Medium | Medium | Medium | Qualified | Medium | Yes | Tom Harley | 1 |
| 33419 | Process -Actions Exceeding estimated cost | Process-QA | Yes | Process Owner | | | | | | | | | | | | Yes | | 1 |
| 33473 | Process -Overdue Issues | Process-QA | Yes | Process Owner | | | | | | | | | | | | Yes | | 1 |
| 33496 | Process - Issues Exceeding estimated cost | process for plan | Yes | Process Owner | | | | | | | | | | | | Yes | | 1 |

**Figure 645. Process Details**

### Attestation Processes

This report displays the count of processes which require attestation (that is, the processes that are marked as *Yes* in the requires attestation field) and their latest *Overall Risk Assessment* ratings.

Only processes in open status are considered in this report.

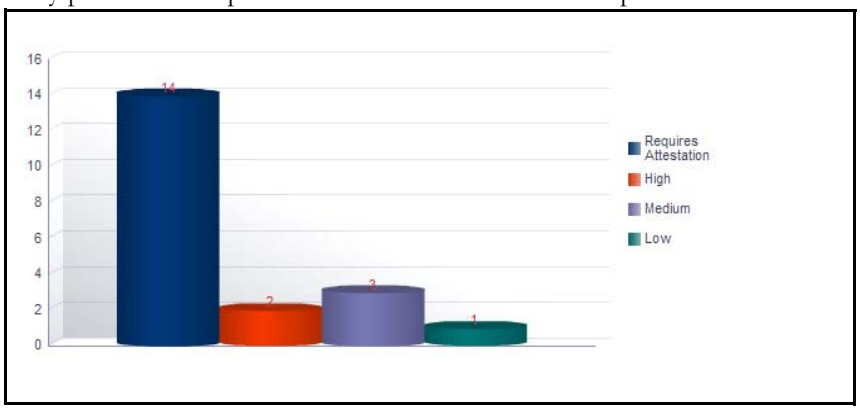



**Figure 646. Attestation Processes**

The X axis represents the processes that are marked for attestation as well as their latest assessment rating and the Y axis represents the number of processes:

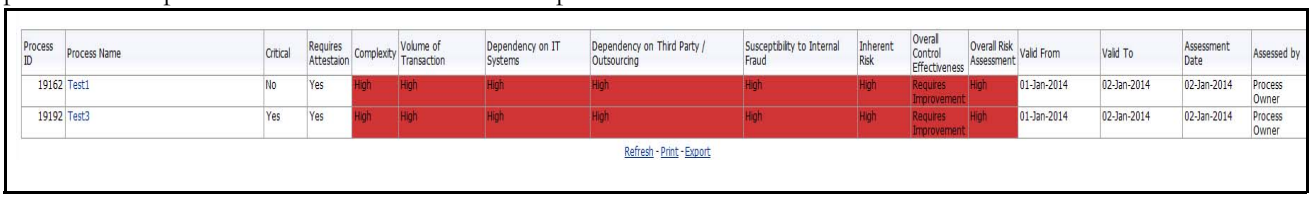
The report displays the following bars:

- **Processes**: This bar represents the count of processes which require attestation (that is the processes that are marked as *Yes* in the requires attestation field). Click on this bar to view the details about the processes that require attestation.
- **High**: This bar represents the count of attested processes for which the latest submitted *Overall Risk Assessment* rating is *High*.
- **Medium**: This bar represents the count of attested processes for which the latest submitted *Overall Risk Assessment* rating is *Medium*.
- **Low**: This bar represents the count of attested processes for which the latest submitted Overall Risk Assessment rating is *Low*.

Click on any of the bars in the report to view the underlying process details along with their overall risk assessment rating.

### Process with High Assessment Rating

This tabular report displays processes for which the latest submitted overall risk assessment rating is high. Only processes in open status are considered in this report.



| Process ID | Process Name | Critical | Requires Attestaion | Complexity | Volume of Transaction | Dependency on IT Systems | Dependency on Third Party / Outsourcing | Susceptibilty to Internal Fraud | Inherent Risk | Overall Control Effectiveness | Overall Risk Assessment | Valid From | Valid To | Assessment Date | Assessed by |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 19162 | Test1 | No | Yes | High | High | High | High | High | High | Requires Improvement | High | 01-Jan-2014 | 02-Jan-2014 | 02-Jan-2014 | Process Owner |
| 19192 | Test3 | Yes | Yes | High | High | High | High | High | High | Requires Improvement | High | 01-Jan-2014 | 02-Jan-2014 | 02-Jan-2014 | Process Owner |

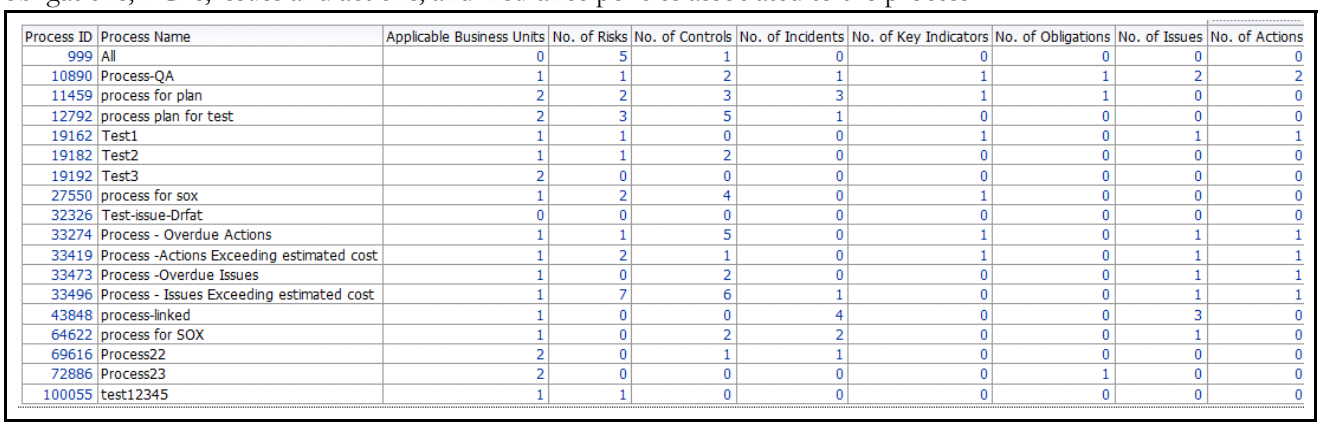
Refresh - Print - Export

**Figure 647. Process With High Assessment Rating**

Click on the process name to view the process details.

### Process Metrics

This report displays the count of entities like applicable business units, risks, controls, incidents, key indicators, obligations, BCPs, issues and actions, and insurance policies associated to the process.



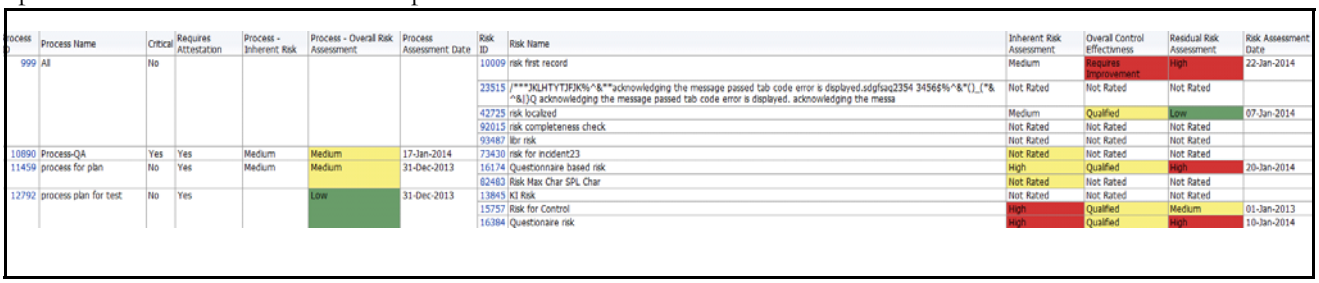
| Process ID | Process Name | Applicable Business Units | No. of Risks | No. of Controls | No. of Incidents | No. of Key Indicators | No. of Obligations | No. of Issues | No. of Actions |
|---|---|---|---|---|---|---|---|---|---|
| 999 | All | 0 | 5 | 1 | 0 | 0 | 0 | 0 | 0 |
| 10890 | Process-QA | 1 | 1 | 2 | 1 | 1 | 1 | 2 | 2 |
| 11459 | process for plan | 2 | 2 | 3 | 3 | 1 | 1 | 0 | 0 |
| 12792 | process plan for test | 2 | 3 | 5 | 1 | 0 | 0 | 0 | 0 |
| 19162 | Test1 | 1 | 1 | 0 | 0 | 1 | 0 | 1 | 1 |
| 19182 | Test2 | 1 | 1 | 2 | 0 | 0 | 0 | 0 | 0 |
| 19192 | Test3 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 27550 | process for sox | 1 | 2 | 4 | 0 | 1 | 0 | 0 | 0 |
| 32326 | Test-issue-Drfat | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 33274 | Process - Overdue Actions | 1 | 1 | 5 | 0 | 1 | 0 | 1 | 1 |
| 33419 | Process -Actions Exceeding estimated cost | 1 | 2 | 1 | 0 | 1 | 0 | 1 | 1 |
| 33473 | Process -Overdue Issues | 1 | 0 | 2 | 0 | 0 | 0 | 1 | 1 |
| 33496 | Process - Issues Exceeding estimated cost | 1 | 7 | 6 | 1 | 0 | 0 | 1 | 1 |
| 43848 | process-linked | 1 | 0 | 0 | 4 | 0 | 0 | 3 | 0 |
| 64622 | process for SOX | 1 | 0 | 2 | 2 | 0 | 0 | 1 | 0 |
| 69616 | Process22 | 2 | 0 | 1 | 1 | 0 | 0 | 0 | 0 |
| 72886 | Process23 | 2 | 0 | 0 | 0 | 0 | 1 | 0 | 0 |
| 100055 | test12345 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |

**Figure 648. Process Metrics**

Click on the process ID to view the process details. Click on the number of entities hyperlink in the report to view the entity details linked to the process.

### Process Risk Heat Map

This report displays all the risks linked to the Process with their latest assessment rating at all KBDs. Only risks in open status are considered in this report.



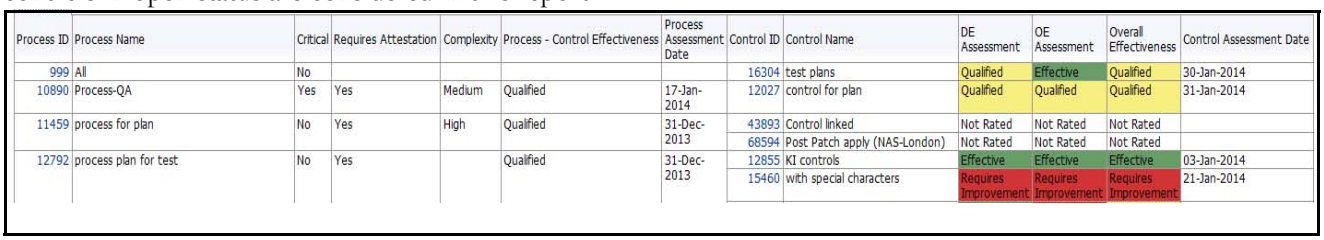
| Process ID | Process Name | Critical | Requires Attestation | Process - Inherent Risk | Process - Overall Risk Assessment | Process Assessment Date | Risk ID | Risk Name | Inherent Risk Assessment | Overall Control Effectivness | Residual Risk Assessment | Risk Assessment Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 999 | All | No | | | | | 10009 | risk first record | Medium | Requires Improvement | High | 22-Jan-2014 |
| | | | | | | | 23515 | /***)KLHTYTJFJK%^&**acknowledging the message passed tab code error is displayed.sdgfsaq2354 34565%^&*()_(*& ^&!]Q acknowledging the message passed tab code error is displayed. acknowledging the messa | Not Rated | Not Rated | Not Rated | |
| | | | | | | | 42725 | risk localized | Medium | Qualified | Low | 07-Jan-2014 |
| | | | | | | | 92015 | risk completeness check | Not Rated | Not Rated | Not Rated | |
| | | | | | | | 93487 | lbr risk | Not Rated | Not Rated | Not Rated | |
| 10890 | Process-QA | Yes | Yes | Medium | Medium | 17-Jan-2014 | 73430 | risk for incident23 | Not Rated | Not Rated | Not Rated | |
| 11459 | process for plan | No | Yes | Medium | Medium | 31-Dec-2013 | 16174 | Questionnaire based risk | High | Qualified | High | 20-Jan-2014 |
| | | | | | | | 82483 | Risk Max Char SPL Char | Not Rated | Not Rated | Not Rated | |
| 12792 | process plan for test | No | Yes | | Low | 31-Dec-2013 | 13845 | KI Risk | Not Rated | Not Rated | Not Rated | |
| | | | | | | | 15757 | Risk for Control | High | Qualified | Medium | 01-Jan-2013 |
| | | | | | | | 16384 | Questionaire risk | High | Qualified | High | 10-Jan-2014 |

**Figure 649. Process Risk Heat Map**

Click on the process ID or risk ID to view the process details or the risk details.

### Process Control Heat Map

This report displays all the controls linked to the Process with their latest assessment rating at all KBDs. Only controls in open status are considered in this report.



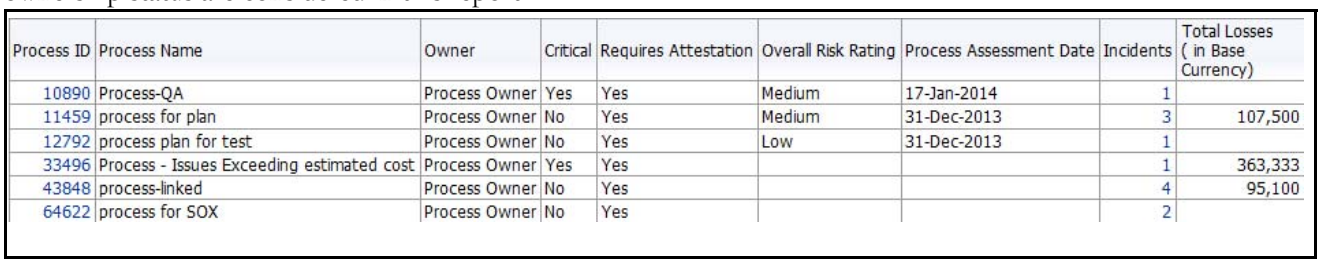
| Process ID | Process Name | Critical | Requires Attestation | Complexity | Process - Control Effectiveness | Process Assessment Date | Control ID | Control Name | DE Assessment | OE Assessment | Overall Effectiveness | Control Assessment Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 999 | All | No | | | | | 16304 | test plans | Qualified | Effective | Qualified | 30-Jan-2014 |
| 10890 | Process-QA | Yes | Yes | Medium | Qualified | 17-Jan-2014 | 12027 | control for plan | Qualified | Qualified | Qualified | 31-Jan-2014 |
| 11459 | process for plan | No | Yes | High | Qualified | 31-Dec-2013 | 43893 | Control linked | Not Rated | Not Rated | Not Rated | |
| | | | | | | | 68594 | Post Patch apply (NAS-London) | Not Rated | Not Rated | Not Rated | |
| 12792 | process plan for test | No | Yes | | Qualified | 31-Dec-2013 | 12855 | KI controls | Effective | Effective | Effective | 03-Jan-2014 |
| | | | | | | | 15460 | with special characters | Requires Improvement | Requires Improvement | Requires Improvement | 21-Jan-2014 |

**Figure 650. Process Control Heat Map**

Click on the process ID or control ID to view the process details or the control details.

### Losses Associated with Processes

This report displays the count of incidents linked to a process. Only processes in open status and incidents in ownership status are considered in this report.



| Process ID | Process Name | Owner | Critical | Requires Attestation | Overall Risk Rating | Process Assessment Date | Incidents | Total Losses ( in Base Currency) |
|---|---|---|---|---|---|---|---|---|
| 10890 | Process-QA | Process Owner | Yes | Yes | Medium | 17-Jan-2014 | 1 | |
| 11459 | process for plan | Process Owner | No | Yes | Medium | 31-Dec-2013 | 3 | 107,500 |
| 12792 | process plan for test | Process Owner | No | Yes | Low | 31-Dec-2013 | 1 | |
| 33496 | Process - Issues Exceeding estimated cost | Process Owner | Yes | Yes | | | 1 | 363,333 |
| 43848 | process-linked | Process Owner | No | Yes | | | 4 | 95,100 |
| 64622 | process for SOX | Process Owner | No | Yes | | | 2 | |

**Figure 651. Losses Associated with Processes**

The total loss amount is the sum of the net loss amount of all the incidents linked to process.

Click on the number of incidents hyperlink to view all the incidents details linked to the selected process.

### Processes Associated with Scenarios

This report displays all the processes linked to scenarios. Only scenarios and processes in open status are considered in this report.

| Process ID | Process Name | Owner | Critical | Requires Attestation | Process - Overall Risk Assessment | Scenario ID | Scenario Name | Owner | Business Line | Location | Risk Inventory | Risk Event Type |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 999 | All | | No | | | 10064 | testd | Scenario Admin | Network and Advisory sales | London | Non-traded Market Risk | Unauthorized Activity |
| | | | | | | 15252 | TestJan1 | Tom Harley | ABC USA | New York City | Operational Risk | Customer _ Client Account Management |
| 10890 | Process-QA | Process Owner | Yes | Yes | Medium | 52635 | Bug 17992191 | Scenario Admin | ABC USA | New York City | | Misappropriation of assets |

**Figure 652. Processes Associated With Scenarios**

Click on the scenario ID and process ID hyperlink in the report to view the scenario details and the process details.

### Process Assertions

This report displays all the processes which require attestation. Only processes in open status are considered in this report.

When a KBD combination is selected in the report level filter, it should list all the processes mapped to that KBD.

The answer column in the report is colored Red, if the attestation answer is NO.

### Overdue Actions for Processes by Business Line

This report displays the total number of overdue actions and the total number of open actions linked to process by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.

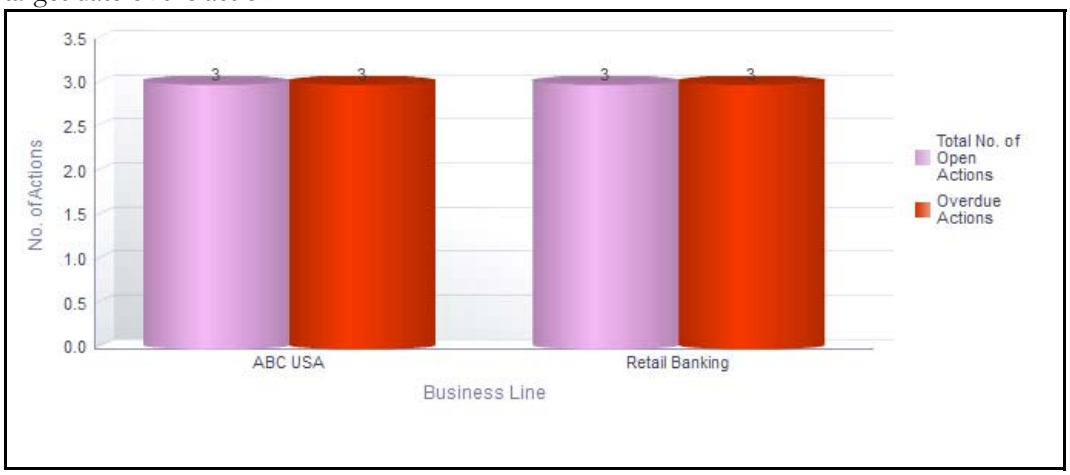



**Figure 653. Overdue Actions for Process by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue actions.

Each of the bars in the report represents the total number of open and overdue actions and the total number of open actions created for each business line linked to process

This report displays all the actions linked to process irrespective of whether the issue is created manually or automatically.

Click on each of the business lines in the X axis to view the number of overdue actions created for each of the business line and its child levels.

Click on the overdue actions bar in the report to view the overdue action details.

| Action | Action Description | Created Date | Target Completion Date | Percentage Completion | Due Days | Estimated Cost | Actual Cost | Owner | Business Line | Location | Process Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Overdue Actions for Processs by ABC USA -2 | dfgfbhdh | 1/3/2014 | 1/4/2014 | | 33 | 15,000.00 | | Tom Harley | ABC USA | New York City | 1 |
| Process-test-Action | | 1/3/2014 | 1/31/2014 | | 6 | 250,000.00 | 240,000.00 | Process Creator | ABC USA | New York City | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 33 | 15,000.00 | 16,000.00 | Process Owner | ABC USA | New York City | 1 |

**Figure 654. Overdue Actions By Business Line**

Click on the count of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage complete | Actual Cost | Owner | Business Line | Location | Status | Process Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Overdue Actions for Processs by ABC USA -2 | dfgfbhdh | 1/3/2014 | 1/4/2014 | | | Tom Harley | ABC USA | New York City | Open | 1 |
| Process-test-Action | | 1/3/2014 | 1/31/2014 | | 240,000.00 | Process Creator | ABC USA | New York City | Open | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 16,000.00 | Process Owner | ABC USA | New York City | Open | 1 |

**Figure 655. Action Details**

### Actions Exceeding Estimated Cost for Processes by Business Line

This report displays the total number of actions linked to process where the actual cost is more than the estimated cost by Business Line. Only actions in open status are considered in this report.

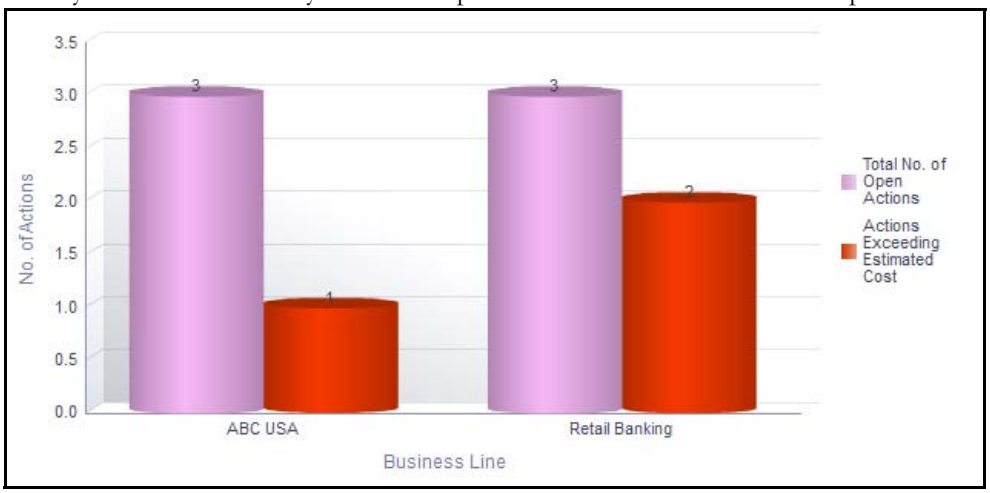



**Figure 656. Actions Exceeding Estimated Cost for Processes**

The X axis represents the business line and the Y axis represents the number of actions.

Each of the bars in the report represents the total number of open actions and actions exceeding estimated cost and the total number of actions created for each business line linked to process.

Click on each of the business lines in the X axis to view the count of actions exceeding estimated cost and the number of open actions for each of the business line and its child levels.

Click on the actions exceeding estimated cost bar in the report to view the action details.

| Action | Action Description | Created Date | Target Completion Date | Percentage Completion | Estimated Cost | Actual Cost | Difference | Owner | Business Line | Location | Process Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 15,000.00 | 16,000.00 | 1,000.00 | Process Owner | ABC USA | New York City | 1 |

**Figure 657. Actions Exceeding Estimated Cost**

Click on the number of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage complete | Actual Cost | Owner | Business Line | Location | Status | Process Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Overdue Actions for Processs by ABC USA -2 | dfgfbhdh | 1/3/2014 | 1/4/2014 | | | Tom Harley | ABC USA | New York City | Open | 1 |
| Process-test-Action | | 1/3/2014 | 1/31/2014 | | 240,000.00 | Process Creator | ABC USA | New York City | Open | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 16,000.00 | Process Owner | ABC USA | New York City | Open | 1 |

**Figure 658. Action Details**

### Overdue Issues for Processes by Business Line

This report displays details of all the manually created issues linked to process. This report displays the total number of overdue issues and total number of open issues linked to process by business line.

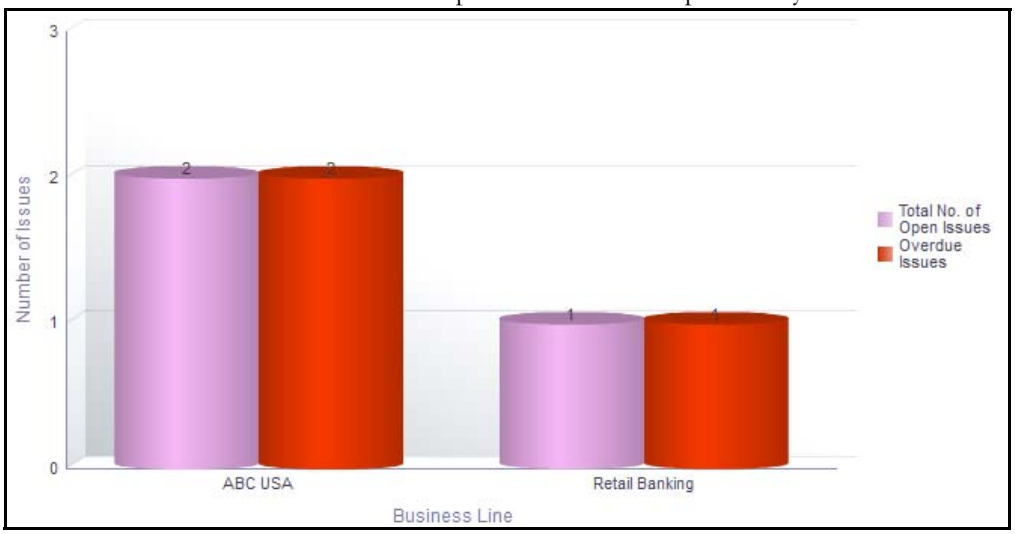



**Figure 659. Overdue Issues for Processes by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue issues.

Each of the bars in the report represents the total number of open issues and the total number of overdue issues created for each business line linked to process.

Only manually generated issues are considered in this report. This report does not include auto-generated issues.

Click on each of the business lines in the X axis to view the number of overdue issues created for each of the business line and its child levels.

Click on the overdue issues bar in the report to view the overdue issue details.

| Issue Name | Description | Criticality | Created Date | Target Completion Date | Days Overdue | Currency | Issue Estimated Cost | Issue Actual Cost | Owner | Business Line | Location | Process Count |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue | | Medium | 1/2/2014 | 1/31/2014 | 6 | CAD | 10,000 | | Francis Philip | ABC USA | New York City | 1 |
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | 9 | EUR | 30,000 | 50,000 | Charles Philip | ABC USA | New York City | 2 |

**Figure 660. Overdue Issues Details**

Click on the count of issues bar in the report to view the open issue details. The issue details table displays all the details of open issues created for the parent business line and all its child levels.

| Issue Name | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Number of Actions | Completed Actions | Owner | Business Line | Location | No. of Processes |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue | | Medium | 1/2/2014 | 1/31/2014 | CAD | 10,000.00 | | | 0 | 0 | Francis Philip | ABC USA | New York City | 1 |
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | EUR | 30,000.00 | 50,000.00 | 20,000.00 | 1 | 0 | Charles Philip | ABC USA | New York City | 2 |

**Figure 661. Open Issue Details**

### Issues Exceeding Estimated Cost for Processes

This report displays the total number of Issues linked to process where the actual issue cost is more than the estimated cost by Business Line. Only issues in open status are considered in this report.

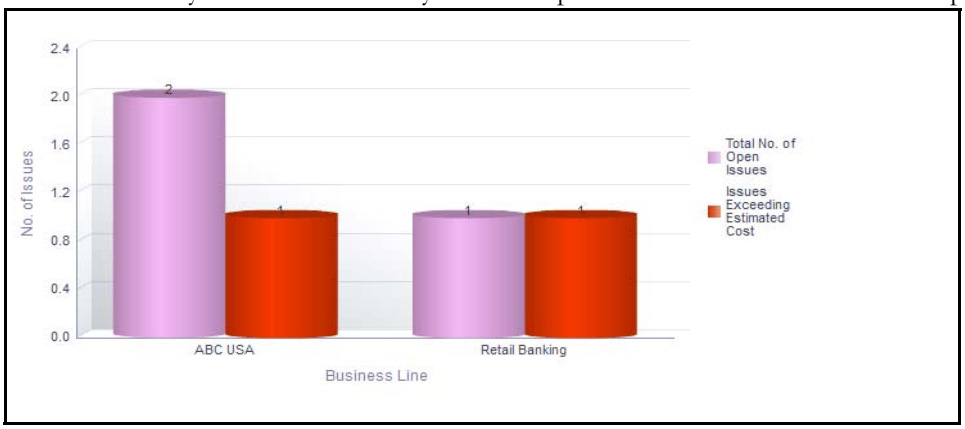



**Figure 662. Issues Exceeding Estimated Cost for Process**

The X axis represents the business line and the Y axis represents the number of issues.

Each of the bars in the report represents the total number of issues exceeding estimated cost and the total number of issues created for each business line linked to process.

Click on each of the business lines in the X axis to view the number of issues exceeding estimated cost and the number of open issues for each of the business line and its child levels.

Click on the issues exceeding estimated cost bar in the report to view the issue details.

| Issue | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Owner | Business Line | Location | Process Count |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | EUR | 30,000.00 | 50,000.00 | 20,000.00 | Charles Philip | ABC USA | New York City | 2 |

**Figure 663. Issues Exceeding Estimated Cost**

Click on the number of issues bar in the report to view the issue details. The issue details table displays all the details of the issues created for the parent business line and all its child levels.

| Issue Name | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Number of Actions | Completed Actions | Owner | Business Line | Location | No. of Processes |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue | | Medium | 1/2/2014 | 1/31/2014 | CAD | 10,000.00 | | | 0 | 0 | Francis Philip | ABC USA | New York City | 1 |
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | EUR | 30,000.00 | 50,000.00 | 20,000.00 | 1 | 0 | Charles Philip | ABC USA | New York City | 2 |

**Figure 664. Issue Details**

## Process Tree

The process tree displays all the processes in open status. By default, the process tree displays the parent and all the child nodes. The nodes can be collapsed, if required.

Click on the process name hyperlink in the process tree, to view the details of the process and their child nodes.

| Process ID | Process Name | Parent Process | Critical | Requires Attestation | Owner | Assessment Date | Valid From | Valid To | Complexity | Volume of Transaction | Dependency on IT Systems | Dependency on Third Party / Outsourcing | Susceptibility to Internal Fraud | Inherent Risk | Overall Control Effectiveness | Overall Risk Assessment | Assessed by | Applicable Business Units |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 999 | All | | No | | | | | | | | | | | | | | | |
| 10890 | Process-QA | | Yes | Yes | Process Owner | 17-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | Medium | Medium | Medium | Medium | Medium | Medium | Qualified | Medium | Process Owner | 1 |
| 11459 | process for plan | Process-QA | No | Yes | Process Owner | 31-Dec-2013 | 01-Dec-2013 | 30-Dec-2013 | High | High | High | NA | High | Medium | Qualified | Medium | Process Owner | 2 |
| 12792 | process plan for test | | No | Yes | Process Owner | 31-Dec-2013 | 22-Dec-2013 | 30-Dec-2013 | | Medium | High | | | | Qualified | Low | Process Owner | 2 |

**Figure 665. Process Tree**

## Process Details

This report displays all the processes and their latest assessment ratings.

| Process ID | Process Name | Parent Process | Critical | Requires Attestation | Owner | Assessment Date | Valid From | Valid To | Complexity | Volume of Transaction | Dependency on IT Systems | Dependency on Third Party / Outsourcing | Susceptibility to Internal Fraud | Inherent Risk | Overall Control Effectiveness | Overall Risk Assessment | Assessed by | Applicable Business Units |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 999 | All | | No | | | | | | | | | | | | | | | |
| 10890 | Process-QA | | Yes | Yes | Process Owner | 17-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | Medium | Medium | Medium | Medium | Medium | Medium | Qualified | Medium | Process Owner | 1 |
| 11459 | process for plan | Process-QA | No | Yes | Process Owner | 31-Dec-2013 | 01-Dec-2013 | 30-Dec-2013 | High | High | High | NA | High | Medium | Qualified | Medium | Process Owner | 2 |
| 12792 | process plan for test | | No | Yes | Process Owner | 31-Dec-2013 | 22-Dec-2013 | 30-Dec-2013 | | Medium | High | | | | Qualified | Low | Process Owner | 2 |
| 19162 | Test1 | Process-QA | No | Yes | Tom Harley | 02-Jan-2014 | 01-Jan-2014 | 02-Jan-2014 | High | High | High | High | High | High | Requires Improvement | High | Process Owner | 1 |

**Figure 666. Process Details**

Click on the applicable business unit hyperlink to view the count of business line and location mapped to the process.

| Business Line | Location |
|---|---|
| ABC USA | New York City |
| Network and Advisory sales | London |

**Figure 667. Applicable Business Units**

## Risks and Controls

Risks are negative occurrences that may adversely affect the business of an organization. It is important for an organization to identify potential risks, assess their effects, and find control measures to mitigate them.

A Control is a measure taken to mitigate a risk. The Controls identified locally can be captured at a Business Line and Location and can be linked to a Library Control. Every organization tries to take control measures to avoid the risks which may otherwise hamper the business.

The Risks and Control Dashboard displays the reports based on the risks and control data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Risk Inventory
- Risk Event Type
- Risk Category
- Process

The Risks and Control Dashboard displays the following tabs:

- *Risk Summary*: consists of risk profile that displays the risk and control assessments and also includes some important risk related reports for the business unit.
- *Risks*: Displays risk reports based on different dimensions.
- *Controls*: Displays control reports based on different dimensions.
- *Impacted Entities*: Displays reports that show association of risks and controls with other entities.

### Risk Summary

This tab displays the following reports:

- *Inherent Risk Assessment*
- *Overall Control Effectiveness*
- *Residual Risk Assessment*
- *Inherent Risk Across Business Lines*
- *Controls Across Business Line*
- *Residual Risk Across Business Lines*
- *Residual Risk Assessment Heat Map*

Following are the additional reports:

- *Risk Threshold*
- *Top Risks*
- *Top Reputational Risks*

#### *Inherent Risk Assessment*

This report displays all the risks by their inherent risk rating. Only risks in open status and the latest completed assessments are considered in this report.

This report also shows the count of Not rated risks, that is, it displays the details of the risk records that are not assessed.

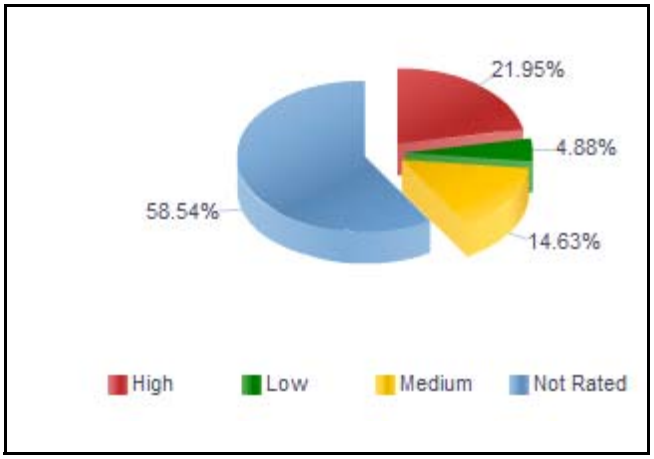



**Figure 668. Inherent Risk Assessment**

Click on any of the sectors in the report to view the risk details.

| Risk ID | Risk Name | Risk Inventory | Risk Event Type | Primary Cause | Sox | Reputation Risk | Owner | Assessor | Assessment Type | Inherent Rating | Control Effectivness | Residual Rating | Quantitative Inherent Impact | Residual Financial Impact | Reputational Impact | Staff Impact | Customer Impact | Regulatory Impact | Assessment Date | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 10009 | risk first record | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Della Chang | Manual | Medium | Requires Improvement | High | 500.00 | | | | | Medium Impact | 22-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | All |
| 50531 | doc risk for manual | Operational Risk | Theft and Fraud | Natural Disasters | No | High | Francis Philip | Della Chang | Manual | Medium | Qualified | High | 50.00 | | | | | Medium Impact | 22-Jan-14 | ABC USA | New York City | Environmental liability | Process - Overdue Actions |
| 87225 | risk for testing | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Della Chang | Manual | Medium | Effective | Medium | 30.00 | | | | | Medium Impact | 11-Feb-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process for sox |
| 42725 | risk localized | Credit Risk | Advisory Activity | Natural Disasters | No | High | Process Owner | Della Chang | Manual | Medium | Qualified | Low | 50.00 | 22.00 | Medium Impact | Low Impact | Medium Impact | High Impact | 19-Feb-14 | ABC USA | New York City | Environmental liability | All |
| 74237 | risk for test | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Della Chang | Manual | Medium | Requires Improvement | Medium | 40.00 | 4.00 | Medium Impact | Medium Impact | Medium Impact | Medium Impact | 18-Feb-14 | ABC USA | New York City | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |

**Figure 669. Risk Details**

Click on the residual financial impact hyperlink to view the residual financial impact details.

| Risk ID | Risk Name | Write Offs | Legal Fees | Compensation | Forgone Income | Residual Financial Impact | Assessment Date | Residual Rating | Process | Risk Event Type |
|---|---|---|---|---|---|---|---|---|---|---|
| 42725 | risk localized | 4.00 | 6 | 5 | 7 | 22 | 19-Feb-14 | Low | All | Advisory Activity |
| 100385 | risk completeness check | 4.00 | 6 | 5 | 7 | 22 | 04-Mar-14 | Low | test12345 | Account churning |

**Figure 670. Residual Financial Impact Details**

### *Overall Control Effectiveness*

This report displays the number of controls by their overall effectiveness rating. Only controls in open status and the latest completed assessments are considered in this report.




**Figure 671. Overall Control Effectiveness**

The X axis represents the overall control effectiveness, that is, the ratings: Effective, Qualified, and Requires Improvement are displayed as bars. This report also shows the count of Not rated controls, that is, it displays the details of the control records that are not assessed.

Click on any of the bars in the report to view the control details.

| Business Line | Location | Control ID | Control Name | Control Type | Control Category | RET | Control Owner | Control Cost | DE Rating | OE Rating | Overall Rating | Assessment Date | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ABC USA | New York City | 15460 | with special characters | Automated | Process | Transaction Capture, Execution and maintenance | Joe Lee | 3750.00 | Requires Improvement | Requires Improvement | Requires Improvement | 21-Jan-14 | Facilities and Infrastructure Risk | process plan for test |
| | | 17669 | questionnaire control de and de | | Financial | | Joe Lee | | Requires Improvement | Qualified | Requires Improvement | 10-Jan-14 | | process plan for test |
| | | 27361 | control for sox | Automated | Financial | | Joe Lee | | Requires Improvement | Requires Improvement | Requires Improvement | 22-Jan-14 | | process for sox |
| | | 42606 | TP# | | Regulation | | Joe Lee | 1555484984767450000.00 | Requires Improvement | Qualified | Requires Improvement | 31-Jan-14 | | process for sox |
| | | 73093 | Local Control NEW | Automated | Organization | Transaction Capture, Execution and maintenance | Joe Lee | 15000.00 | Requires Improvement | Requires Improvement | Requires Improvement | 24-Jan-14 | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |
| Network and Advisory sales | London | 57891 | New Control Patch applied | Automated | Process | Transaction Capture, Execution and maintenance | Joe Lee | 3751119969616370000.00 | Qualified | Requires Improvement | Requires Improvement | 16-Jan-14 | End User Computing Risks | Process - Overdue Actions |
| | | 58697 | New Questionnaire NN | Automated | Process | | Joe Lee | | Requires Improvement | Qualified | Requires Improvement | 17-Jan-14 | | Process - Issues Exceeding estimated cost |
| | | 64692 | control linked to process2 | Manual | Regulation | Employee Relations | Joe Lee | | Requires Improvement | Requires Improvement | Requires Improvement | 20-Jan-14 | | process for SOX |
| | | 86733 | new test planaaaaa | | Security | | Joe Lee | 4200000000000090000000.00 | Requires Improvement | Qualified | Requires Improvement | 21-Jan-14 | | Test2 |

**Figure 672. Control Details**

### *Residual Risk Assessment*

This report displays all the risks by their residual risk rating. Only risks in open status and the latest completed assessments are considered in this report.

The remaining risk after all the control measures have been applied can be termed as Residual Risk.

This report also shows the *Not rated* risks, that is, it displays the details of the risk records that are not assessed.

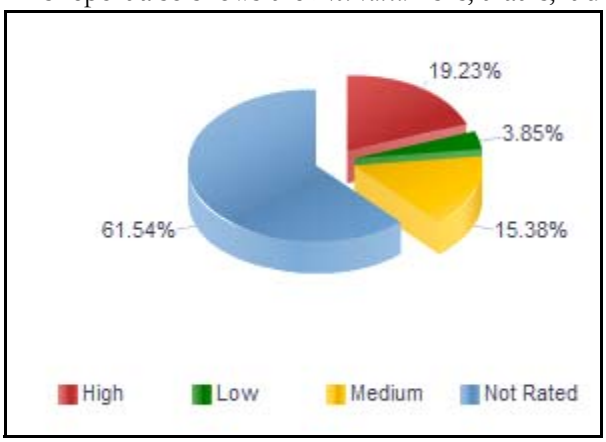



**Figure 673. Residual Risk Assessment**

Click on any of the sectors in the report to view the risk details.

### *Inherent Risk Across Business Lines*

This report displays the total number of risks and risks rated as high for each business line.

Only risks in open status and the latest completed assessments are considered in this report.

This report also displays the count of high risks for each business line. High Risk count is the count of risks rated as high in Inherent Risk Rating.

By default, this report displays the first level business line. If required, you can drill down to the last level of business line.

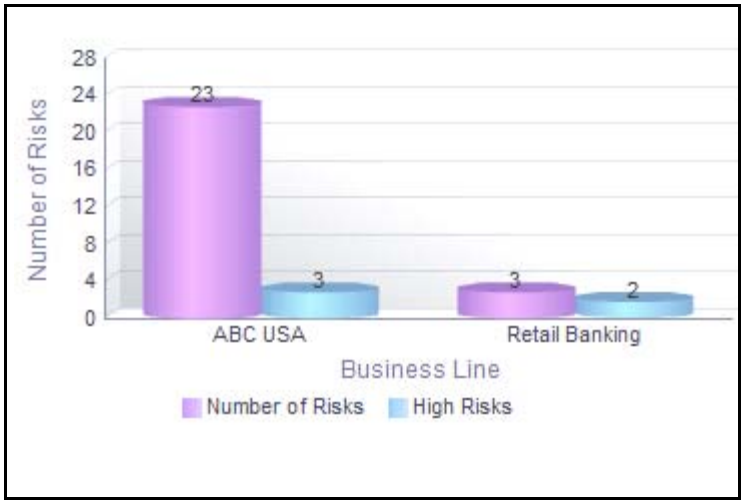



**Figure 674. Inherent Risk Across Business Lines**

The X axis represents the business line and the Y axis represents the total number of risks.

The bars in the report represent the total number of risks and the number of high risks for each business line.

Click on each of the business lines in the X axis to view the number of risks and the number of high risks for each of the child business lines.

Click on the number of risks bar in the report to view the details of all the risks for a business line.

Click on the high risks bar to view the details of risks rated as High for each business line.

### *Controls Across Business Line*

This report displays the count of all controls in open status by Business Line. Only controls in open status and their overall control effectiveness ratings are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

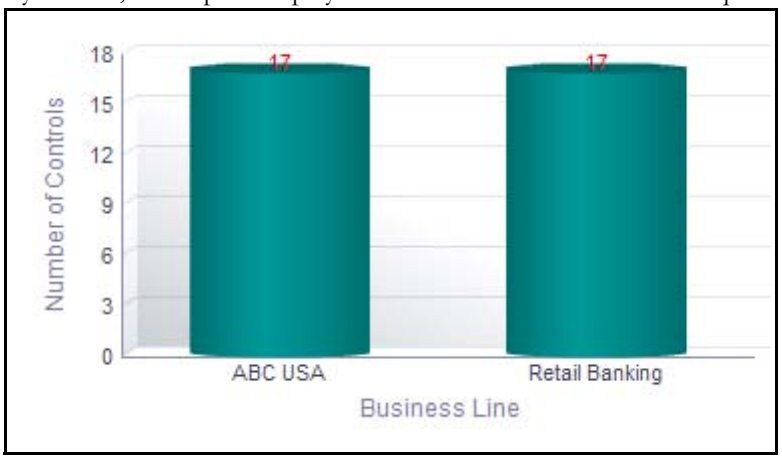



**Figure 675. Controls Across Business line (Bar Graph)**

The X axis represents the business lines and the Y axis represents the number of controls.

Following is the color convention followed in each of the stacks in the bar graph:

The Red color bar represents overall control effectiveness rating as Requires Improvement.

The Amber color bar represents overall control effectiveness rating as Qualified.

The Green color bar represents overall control effectiveness rating as Effective.

Click on each of the business lines in the X axis to view the control details for each of the child business lines.

Click on the controls count in the bars to view the control details..

### *Residual Risk Across Business Lines*

This report displays the total number of risks and risks rated as high for each business line. Only risks in open status and the latest completed assessments are considered in this report.

This report also displays the count of high risks for each business line. The assessment ratings are based on Residual Risk Rating.

By default, this report displays the first level business line. If required, you can drill down to the last level.

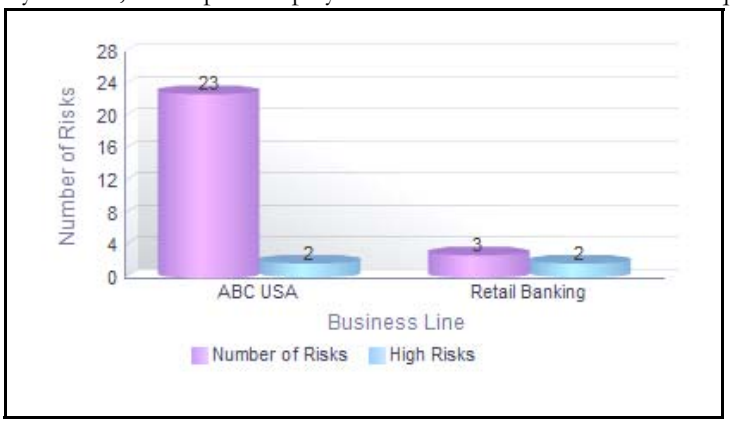



**Figure 676. Residual Risk Across Business Lines**

The X axis represents the business line and the Y axis represents the total number of risks.

The bars in the report represent the total number of risks and the number of high risks for each business line.

Click on each of the business lines in the X axis to view the number of risks and the number of high risks for each of the child business lines.

Click on the number of risks bar in the graph to view the details of all the risks for a business line.

Click on the high risks bar to view the details of risks rated as High based on residual risk assessment for each business line.

### *Residual Risk Assessment Heat Map*

This report displays the count of residual risk rating for each combination of impact and likelihood.

Only risks in open status are considered in this report.

The Risk heat map report displays the count of Risks in a 6*7 matrix that is derived based on the Impact and likelihood. The count of risk is displayed in different cells that signifies the number of risks for a specific impact and likelihood.

| Likelihood / Impact | Extremely Rare | Rare | Unlikely | Possible | Likely | Almost certain |
|---|---|---|---|---|---|---|
| Catastrophic 2 | 0 | 1 | 1 | 0 | 0 | 0 |
| Catastrophic 1 | 2 | 1 | 1 | 1 | 0 | 0 |
| Major | 1 | 0 | 0 | 0 | 0 | 0 |
| Moderate | 0 | 0 | 1 | 0 | 0 | 0 |
| Minor | 0 | 1 | 0 | 0 | 0 | 0 |

**Figure 677. Residual Risk Assessment Heat Map**

Click on the risk count in the table to view the risk details.

### *Risk Threshold*

This report displays the total number of risks in open status and the number of risks breaching their threshold.

Only risks in open status and the latest completed assessments are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

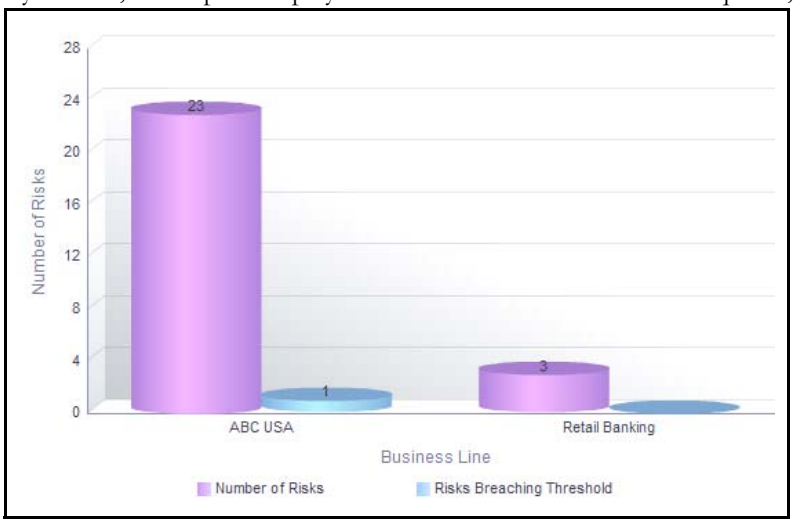



**Figure 678. Risk Threshold (Bar Graph)**

The X axis represents the business line and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status and the number of risks breaching their threshold for each business line.

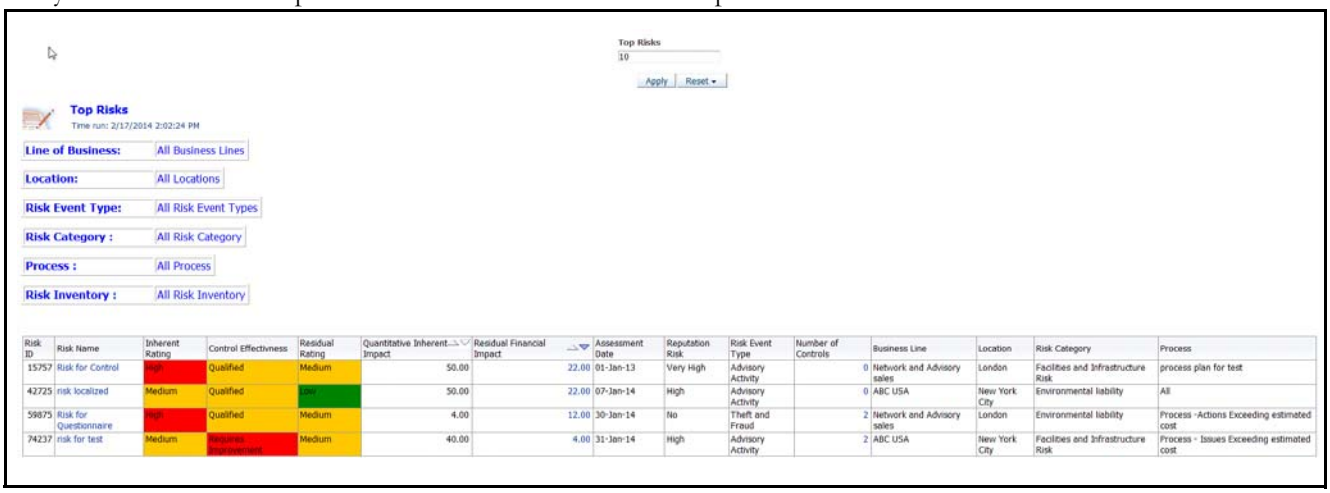
Click on each of the business lines in the X axis to view the number of risks in open status and the number of risks breaching their threshold for each of the child business lines.

Click on any of the bars in the report to view the risk details.

### *Top Risks*

This report displays all the risks in open status along with their assessment details. The reports are displayed in descending order of Residual Financial Impact amount.

Only assessments in completed status are considered in this report.




| Risk ID | Risk Name | Inherent Rating | Control Effectivness | Residual Rating | Quantitative Inherent Impact | Residual Financial Impact | Assessment Date | Reputation Risk | Risk Event Type | Number of Controls | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 15757 | Risk for Control | High | Qualified | Medium | 50.00 | 22.00 | 01-Jan-13 | Very High | Advisory Activity | 0 | Network and Advisory sales | London | Facilities and Infrastructure Risk | process plan for test |
| 42725 | risk localized | Medium | Qualified | Low | 50.00 | 22.00 | 07-Jan-14 | High | Advisory Activity | 0 | ABC USA | New York City | Environmental liability | All |
| 59875 | Risk for Questionnaire | High | Qualified | Medium | 4.00 | 12.00 | 30-Jan-14 | No | Theft and Fraud | 2 | Network and Advisory sales | London | Environmental liability | Process -Actions Exceeding estimated cost |
| 74237 | risk for test | Medium | Requires Improvement | Medium | 40.00 | 4.00 | 31-Jan-14 | High | Advisory Activity | 2 | ABC USA | New York City | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |

**Figure 679. Top Risks**

By default the report displays top 10 risks. However, you can choose the number of top risks you want to view by entering a value in the Top Risks number field.

Click on the risk name or number of controls hyperlink in the report to view the risk and control details.

Following is the color convention followed in each of the columns in the table:

If the risk rating is High, then the residual rating and the inherent rating column in the report is highlighted in Red.

If the risk rating is Medium, then the residual rating and the inherent rating column in the report is highlighted in Amber.

If the risk rating is Low, then the residual rating and the inherent rating column in the report is highlighted in Green.

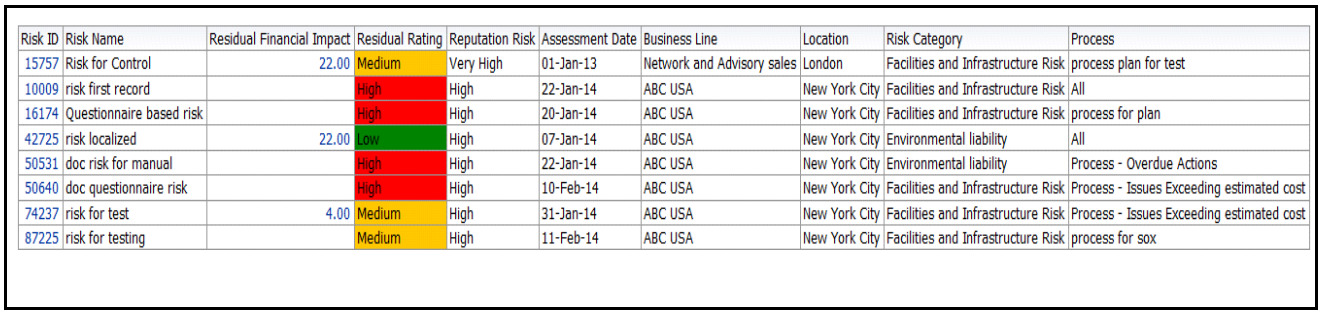
If the control assessment rating is Requires improvement (Ineffective), then the control effectiveness column in the report is highlighted in Red.

If the control assessment rating is Qualified, then the control effectiveness column in the report is highlighted in Amber.

If the control assessment rating is Effective, then the control effectiveness column in the report is highlighted in Green.

*Top Reputational Risks*

This report displays risks that are assessed as high reputational risks. Only risks in open status are considered in this report.



| Risk ID | Risk Name | Residual Financial Impact | Residual Rating | Reputation Risk | Assessment Date | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|
| 15757 | Risk for Control | 22.00 | Medium | Very High | 01-Jan-13 | Network and Advisory sales | London | Facilities and Infrastructure Risk | process plan for test |
| 10009 | risk first record | | High | High | 22-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | All |
| 16174 | Questionnaire based risk | | High | High | 20-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process for plan |
| 42725 | risk localized | 22.00 | Low | High | 07-Jan-14 | ABC USA | New York City | Environmental liability | All |
| 50531 | doc risk for manual | | High | High | 22-Jan-14 | ABC USA | New York City | Environmental liability | Process - Overdue Actions |
| 50640 | doc questionnaire risk | | High | High | 10-Feb-14 | ABC USA | New York City | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |
| 74237 | risk for test | 4.00 | Medium | High | 31-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |
| 87225 | risk for testing | | Medium | High | 11-Feb-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process for sox |

**Figure 680. Top Reputational Risks**

In the report, the risks are arranged based on their reputational risk rating. By default, the report displays 25 risk records and the risks are sorted in the following order: Very High, High, and Possible in the table.

Click on the risk ID hyperlink in the report to view the risk details.

### Risks

This tab displays the following reports:

- *Risks By Risk Inventory*
- *Risks By Risk Event Type*
- *Risks By Risk Category*
- *Risk By Product*
- *Risks by Causes*
- *Risk by Process*
- *Residual Risk Assessment*
- *Non Financial Impact Assessment*
- *Risk Not Assessed*
- *Risks without Controls*

Following reports are additional reports:

- *Top Reputational Risks*
- *Reputational Risk Across Business Line*
- *Risks With Single Control*
- *Risks with Open Issues*
- *Overdue Issues for Risks by Business Line*
- *Issues Exceeding estimated cost for Risk by Business Line*
- *Overdue Actions for Risks by Business Line*
- *Actions Exceeding Estimated cost for Risk by Business Line*
- *Risk Metrics*
- *Risk Details*

### *Risks By Risk Inventory*

This report displays the total number of risks for a risk inventory. Only risks in open status are considered in this report.

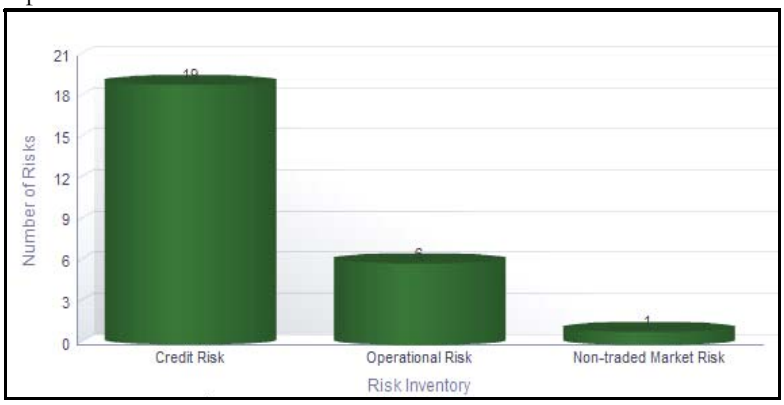



**Figure 681. Risk By Risk Inventory**

The X axis represents the risk inventory and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status for each risk inventory.

Click on any of the bars in the report to view the risk details. This table displays details of all the all the risks created for the risk inventory.

### *Risks By Risk Event Type*

This report displays the total number of risks for a risk event type. Only risks in open status are considered in this report.

By default, this report displays the first level risk event type. If required, you can drill down to the last level of risk event type.

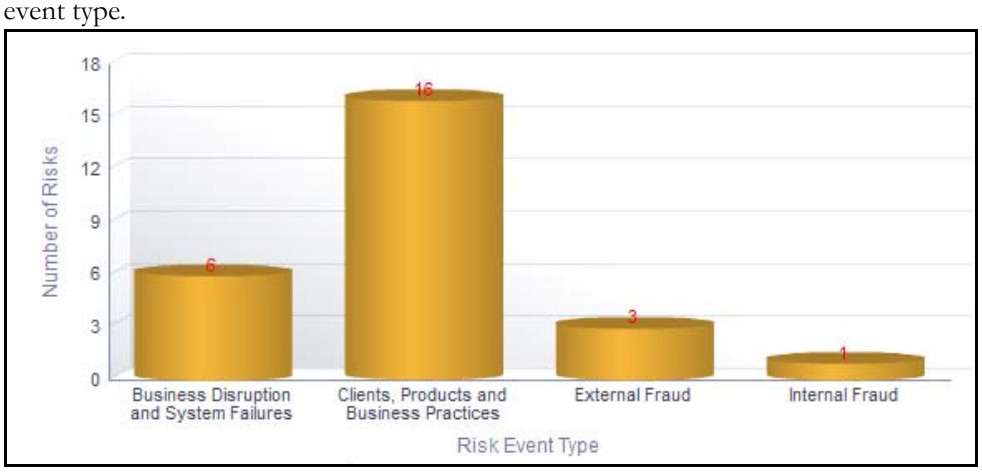



**Figure 682. Risk By Risk Event Type**

The X axis represents the risk event and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status for each risk event type.

Click on each of the risk event type in the X axis to view the number of risks for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the all the risks created for the parent risk event type and its children.

### *Risks By Risk Category*

This report displays the total number of risks for a risk category. Only risks in open status are considered in this report.

By default, this report displays the first level risk category. If required, you can drill down to the last level.

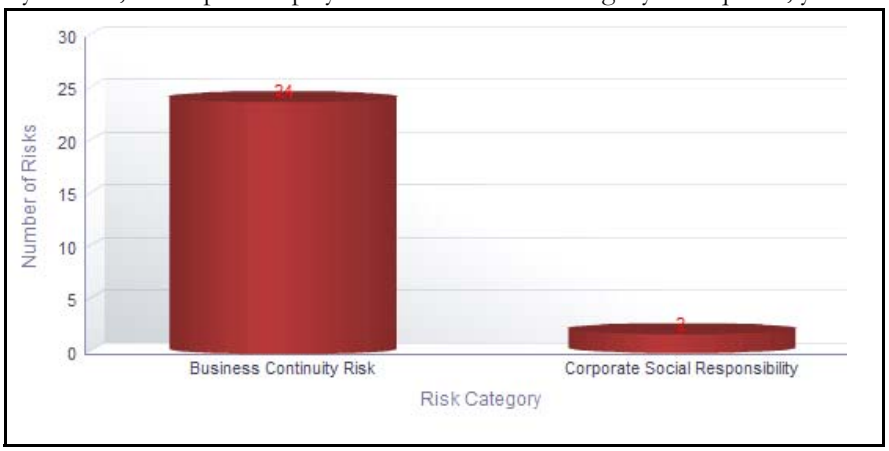



**Figure 683. Risk By Risk Category**

The X axis represents the risk category and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status for each risk category.

Click on each of the risk category in the X axis to view the number of risks for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the all the risks created for the parent risk category and its children.

### *Risk By Product*

This report displays the total number of risks created for a product. Only risks in open status are considered in this report.

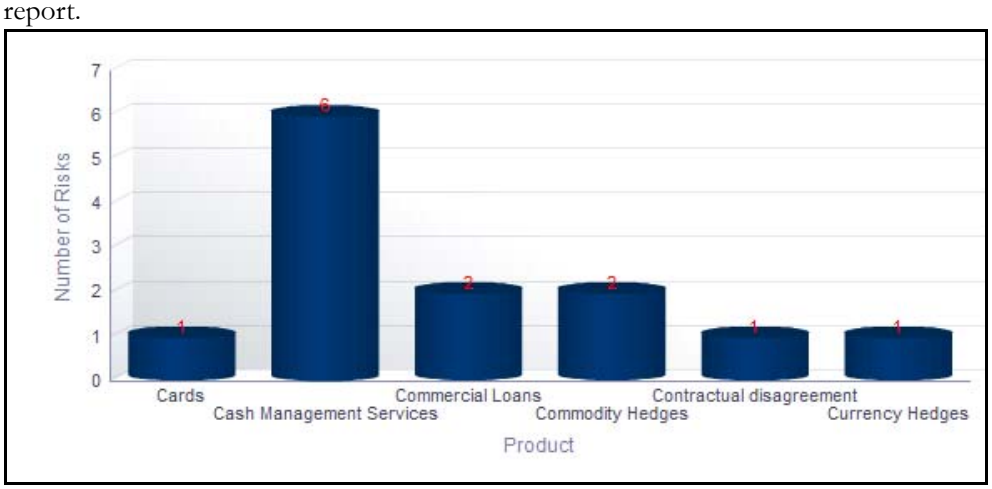



**Figure 684. Risk By Product**

The X axis represents the product and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status for each product.

Click on any of the bars in the report to view the risk details. This table displays details of all the all the risks created for the product.

### *Risks by Causes*

This report displays the total number of risks linked to a cause as the primary cause. Only risks in open status are considered in this report.

By default, this report displays the first level causes. If required, you can drill down to the last level.

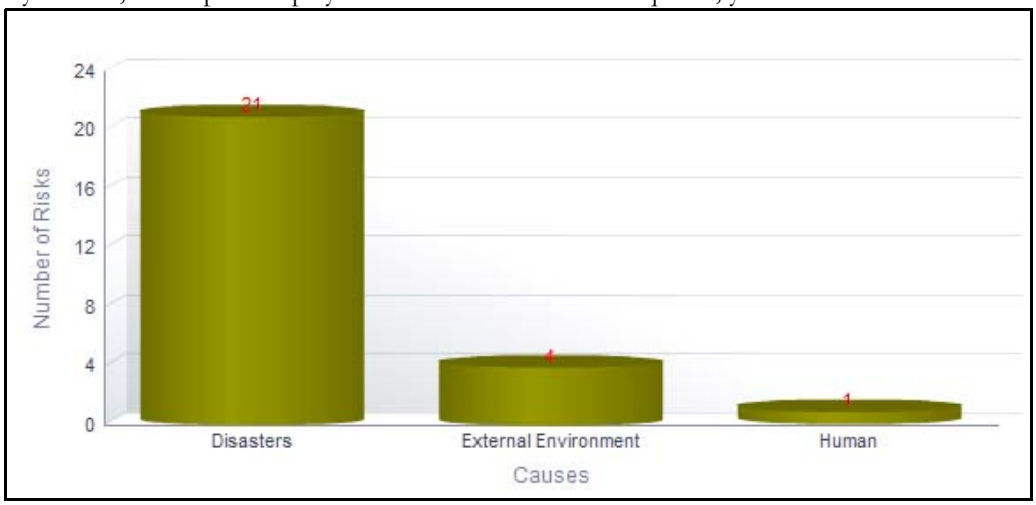



**Figure 685. Risk By Causes**

The X axis represents the causes and the Y axis represents the total number of risks.

Each of the bars in the report represent the number of risks which have the specific cause as the primary cause, in addition to the number of risks which have the children causes of this cause as its Primary Cause.

Click on each of the causes in the X axis to view the number of risks for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the all the risks created for the parent cause and its children.

### *Risk by Process*

This report displays the total number of risks for a process. Only risks in open status are considered in this report.

By default, this report displays the first level process. If required, you can drill down to the last level.

The X axis represents the process and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks in open status for each process and its child levels.

Click on each of the processes in the X axis to view the number of risks for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the risks created for the parent process and its children.

### *Residual Risk Assessment*

This report displays all the risks by their residual risk rating. Only risks in open status and the latest completed assessments are considered in this report.

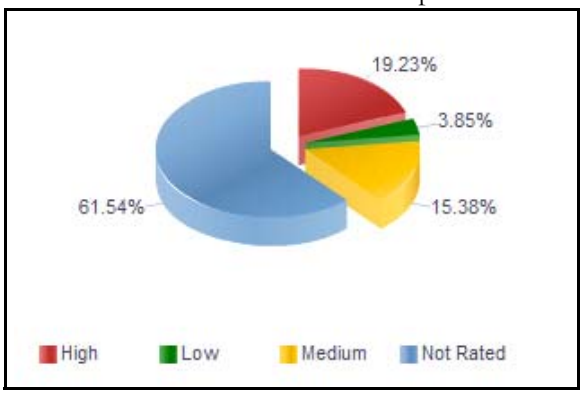



**Figure 686. Residual Risk Assessment**

The assessment ratings are based on the residual risk rating. This report also shows the count of Not rated risks, that is, it displays the details of the risk records that are not assessed.

Click on any of the sectors in the report to view the risk details.

### *Non Financial Impact Assessment*

This report displays the count of risks rated as High, Medium, and Low in the Non Financial Impacts.

Only risks in open status and the latest completed assessments are considered in this report.

By default, this report displays risks for all business units. If a business unit is selected, then the report displays the risks for the selected business unit.

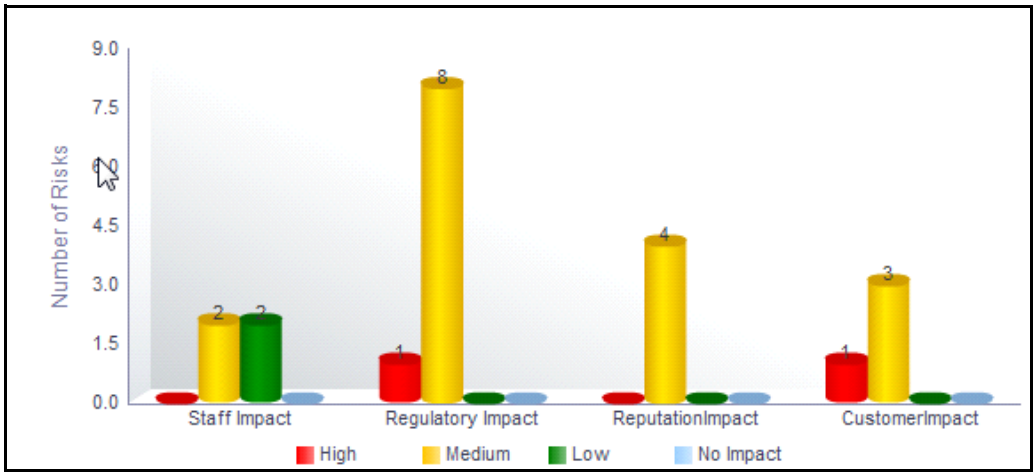



**Figure 687. Non Financial Impact Assessment**

The X axis represents the impacts such as Reputational Impact, Staff Impact, Customer Impact, and Regulatory Impact. The Y axis represents the number of risks.

Click on any of the bars in the report to view the non financial assessment details report.

| Risk ID | Risk Name | Risk Inventory | Risk Event Type | Primary Cause | Sox | Reputation Risk | Owner | Assessor | Assessment Type | Inherent Rating | Control Effectivness | Residual Rating | Quantitative Inherent Impact | Residual Financial Impact | Reputational Impact | Staff Impact | Customer Impact | Regulatory Impact | Assessment Date | Business Line | Location | Risk Event Type | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 74237 | risk for test | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Delilia Chang | Manual | Medium | Requires Improvement | Medium | 40.00 | 4.00 | Medium Impact | Medium Impact | Medium Impact | Medium Impact | 31-Jan-14 | ABC USA | New York City | Advisory Activity | Cash Management Services | Process - Issues Exceeding estimated cost |

**Figure 688. Non Financial Assessment Details**

*Risk Not Assessed*

This report displays the total number of risks and risks that are not assessed for each business line. Only risks in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

The *Last assessed more than* drop-down option allows you to choose the period for which the risks are not assessed.

Following are the filter options:

- 2 Years
- 1 year
- 6 months
- 3 months

By default, the report displays risks that are not assessed for 2 years.

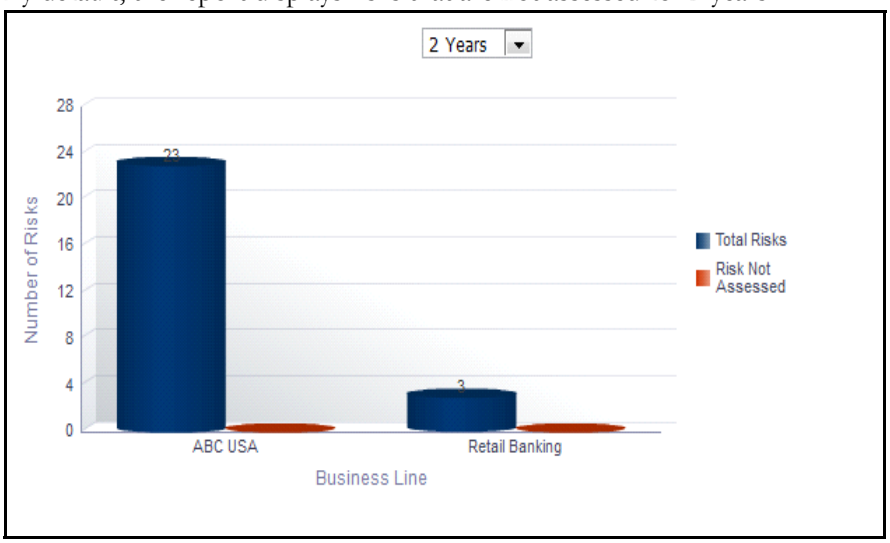



**Figure 689. Risks Not Assessed**

The X axis represents the business line and the Y axis represents the total number of risks.

Each of the bars in the report represent the total number of risks and the number of risks that have not been assessed for a business line.

Click on each of the business lines in the X axis to view the number of risks not assessed for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the risks that are not assessed for the parent and child business lines.

### *Risks without Controls*

This report displays the number of risks without any controls for each business line. Only risks and controls in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

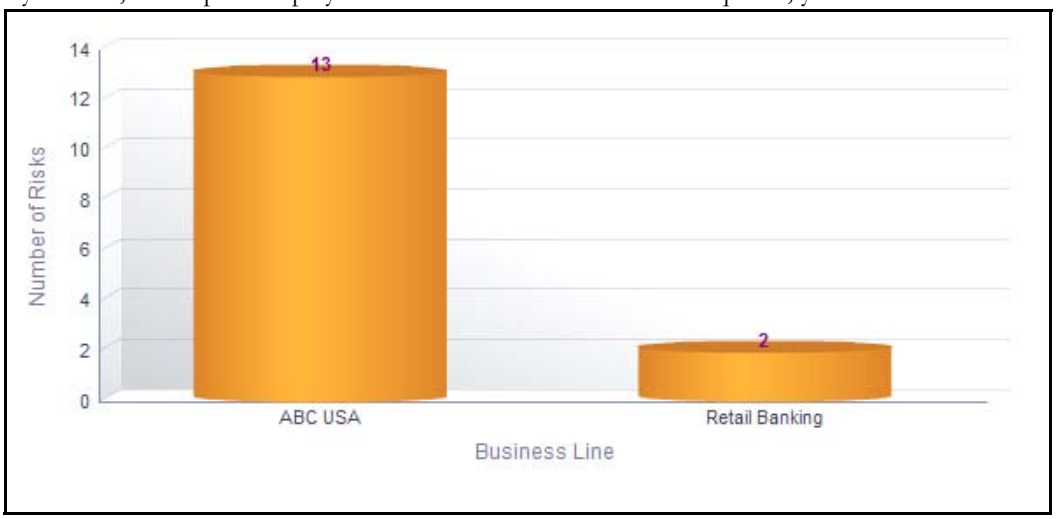



**Figure 690. Risks Without Controls**

The X axis represents the business line and the Y axis represents the total number of risks.

Each of the bars in the report represent the risks without any controls for a business line.

Click on each of the business lines in the X axis to view the number of risks without controls for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the risks without any controls for the parent and child business lines.

### *Top Reputational Risks*

This report displays risks that are assessed as high reputational risks. Only risks in open status are considered in this report.

| Risk ID | Risk Name | Reputation Risk | Residual Financial Impact | Residual Rating | Assessment Date | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|
| 15757 | Risk for Control | Very High | 22.00 | Medium | 01-Jan-13 | Network and Advisory sales | London | Facilities and Infrastructure Risk | process plan for test |
| 10009 | risk first record | High | | High | 22-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | All |
| 16174 | Questionnaire based risk | High | | High | 20-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process for plan |
| 42725 | risk localized | High | 22.00 | Low | 07-Jan-14 | ABC USA | New York City | Environmental liability | All |
| 50531 | doc risk for manual | High | | High | 22-Jan-14 | ABC USA | New York City | Environmental liability | Process - Overdue Actions |
| 50640 | doc questionnaire risk | High | | High | 10-Feb-14 | ABC USA | New York City | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |
| 74237 | risk for test | High | 4.00 | Medium | 31-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |
| 87225 | risk for testing | High | | Medium | 11-Feb-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process for sox |

**Figure 691. Top Reputational Risks**

In the report, the risks are arranged based on their reputational risk rating. By default, the report displays 25 risk records and the risks are sorted based on their risk rating in the order of Very High, High, and Possible in the table.

Click on the risk ID hyperlink in the report to view the risk details.

### *Reputational Risk Across Business Line*

This report displays the total number of risks classified as reputational risks and their ratings based on residual risk assessment for a business line. Only risks in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

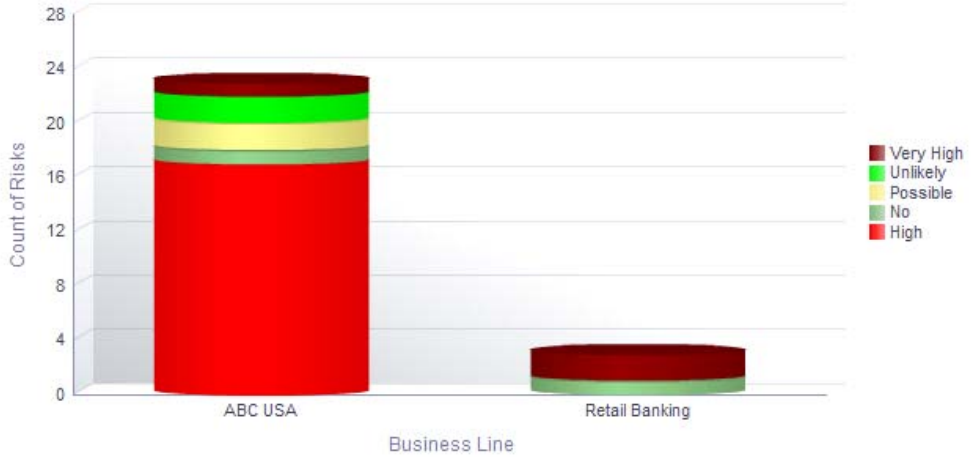



**Figure 692. Reputational Risk Across Business Line**

The X axis represents the business line and the Y axis represents the total number of reputational risks.

Each of the bars in the report represent the number of reputational risks for a business line and its children.

Click on each of the business lines in the X axis to view the number of reputational risks for each of the child levels.

Click on any of the sections in the bar to view the underlying risk details.

### *Risks With Single Control*

This report displays the total number of risks with only one control linked to them in each of the business lines.Only risks in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

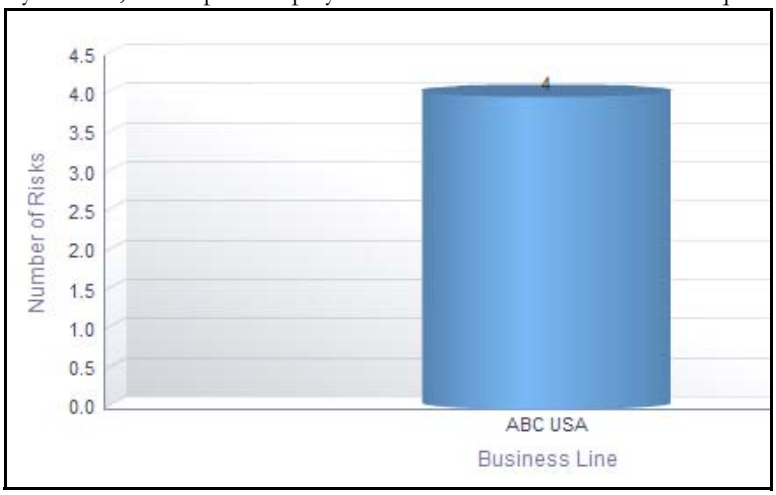



**Figure 693. Risks With a Single Control**

The X axis represents the business line and the Y axis represents the total number of risks.

Each of the bars in the report represent the number of risks with only one control linked for a business line.

Click on each of the business lines in the X axis to view the number of risks with one control linked for each of the child levels.

Click on any of the bars in the report to view the risk details. This table displays details of all the risks with single controls linked for the parent and child business lines.

### *Risks with Open Issues*

This report displays the total number of risks that have issues in open status linked to them. Only risks in open status are considered in this report.

| Risk ID | Risk Name | Inherent Risk | Residual Risk | No. of Issues | No. of Action Plans | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|
| 10009 | risk first record | Medium | High | 1 | 0 | ABC USA | New York City | Contractual disagreement | All |
| 13845 | KI Risk | Not Rated | Not Rated | 1 | 0 | ABC USA | New York City | | process plan for test |
| 16174 | Questionnaire based risk | High | High | 4 | 0 | ABC USA | New York City | Currency Hedges | process for plan |
| 16384 | Questionaire risk | High | High | 4 | 0 | ABC USA | New York City | Commodity Hedges | process plan for test |
| 40717 | This is for testing the MRM This is for testing the MRM This is for testing the MRM This is for testing the MRM 121212@@#$$%%%%%%%% %////""""////////////"";;;;;;;;;>+"%&,"the MRM This is for test! | Not Rated | Not Rated | 1 | 0 | ABC USA | New York City | Cash Management Services | process for sox |
| 42725 | risk localized | Medium | Low | 1 | 0 | ABC USA | New York City | Cash Management Services | All |
| 50531 | doc risk for manual | Medium | High | 1 | 0 | ABC USA | New York City | | Process - Overdue Actions |

**Figure 694. Risks With Open Issues**

By default, this report displays 25 records.

Click on the number of issues and number of action plans count to view the number of issues and actions in open status against each risk, respectively

Click on the risk ID to view the risk details report.

### *Overdue Issues for Risks by Business Line*

This report displays details of all the open issues associated to risks. This report displays the total number of overdue issues and total number of open issues linked to risk by business line.

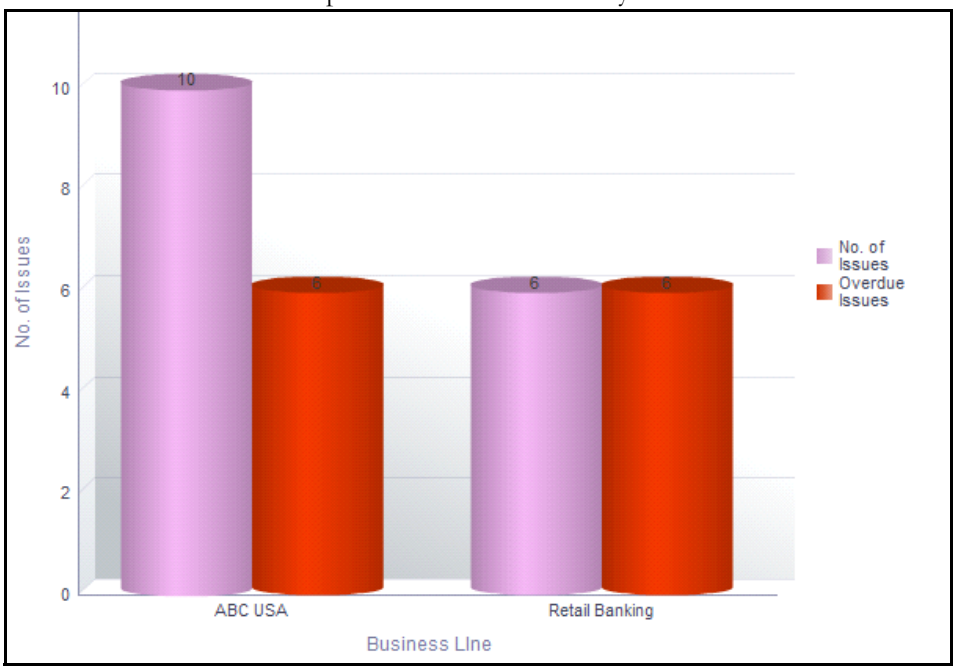



**Figure 695. Overdue Issues for Risks by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue issues.

Each of the bars in the report represents the total number of overdue issues and the total number of open issues created for each business line linked to risks.

An Action is overdue if its target completion date is passed, that is if the Current System Date is greater than the Target Date of Action.

Click on each of the business lines in the X axis to view the number of overdue issues created for each of the business line and its child levels.

Click on the overdue issues bar in the report to view the overdue issue details.

| Issue Name | Description | Criticality | Created Date | Target Completion Date | Days Overdue | Estimated Cost | Actual Cost | Owner | Business of Line | Location | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue | | Medium | 1/2/2014 | 1/31/2014 | 18 | 10,000.00 | | Francis Philip | ABC USA | New York City | 1 |
| Issue from Incident | dsgdgfg | Medium | 12/31/2013 | 12/31/2013 | 49 | 3,333.00 | | Incident Owner | ABC USA | New York City | 1 |
| Test old issue | sdas | Medium | 1/2/2014 | 1/4/2014 | 45 | 10,000.00 | | Tom Harley | ABC USA | New York City | 1 |
| asdsa | sdfa | Medium | 12/31/2013 | 1/30/2014 | 19 | 2,234,234.00 | 0.00 | Tom Harley | ABC USA | New York City | 1 |
| issue | ssdf | Low | 1/22/2014 | 1/31/2014 | 18 | 3,333.00 | 51,234.00 | Charles Philip | ABC USA | New York City | 1 |
| issue1 | dsadas | Medium | 1/8/2014 | 1/31/2014 | 18 | 3,333.00 | 50,000.00 | Francis Philip | ABC USA | New York City | 1 |

**Figure 696. Overdue Issues Details**

Click on the number of issues bar in the report to view the open issue details. The issue details table displays all the details of open issues linked to risks.

| Issue Name | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Number of Actions | Completed Actions | Owner | Business Line | Location | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue | | Medium | 1/2/2014 | 1/31/2014 | CAD | 10,000.00 | | | 0 | 0 | Francis Philip | ABC USA | New York City | 1 |
| Issue from Incident | dsgdgfg | Medium | 12/31/2013 | 12/31/2013 | EUR | 3,333.00 | | | 1 | 0 | Incident Owner | ABC USA | New York City | 1 |
| KI Risk | | Not Rated | 12/31/2013 | | USD | | | | 1 | 0 | Tom Harley | ABC USA | New York City | 1 |
| Questionnaire based risk | ddasda | Not Rated | 1/2/2014 | | USD | | | | 1 | 0 | Francis Philip | ABC USA | New York City | 1 |
| Test old issue | sdas | Medium | 1/2/2014 | 1/4/2014 | INR | 10,000.00 | | | 2 | 0 | Tom Harley | ABC USA | New York City | 1 |
| asdsa | sdfa | Medium | 12/31/2013 | 1/30/2014 | INR | 2,234,234.00 | 0.00 | -2,234,234.00 | 2 | 0 | Tom Harley | ABC USA | New York City | 2 |
| doc questionnaire risk | sd | Not Rated | 1/8/2014 | | USD | | | | 2 | 0 | Francis Philip | ABC USA | New York City | 1 |
| issue | ssdf | Low | 1/22/2014 | 1/31/2014 | INR | 3,333.00 | 51,234.00 | 47,901.00 | 2 | 0 | Charles Philip | ABC USA | New York City | 1 |
| issue1 | dsadas | Medium | 1/8/2014 | 1/31/2014 | INR | 3,333.00 | 50,000.00 | 46,667.00 | 1 | 0 | Francis Philip | ABC USA | New York City | 1 |
| risk for incident | risk for incident | Not Rated | 2/17/2014 | | USD | | | | 1 | 0 | Francis Philip | ABC USA | New York City | 1 |

**Figure 697. Open Issue Details**

*Issues Exceeding estimated cost for Risk by Business Line*

This report displays the total number of Issues linked to risks where the actual issue cost is more than the estimated cost by Business Line. Only issues in open status are considered in this report.

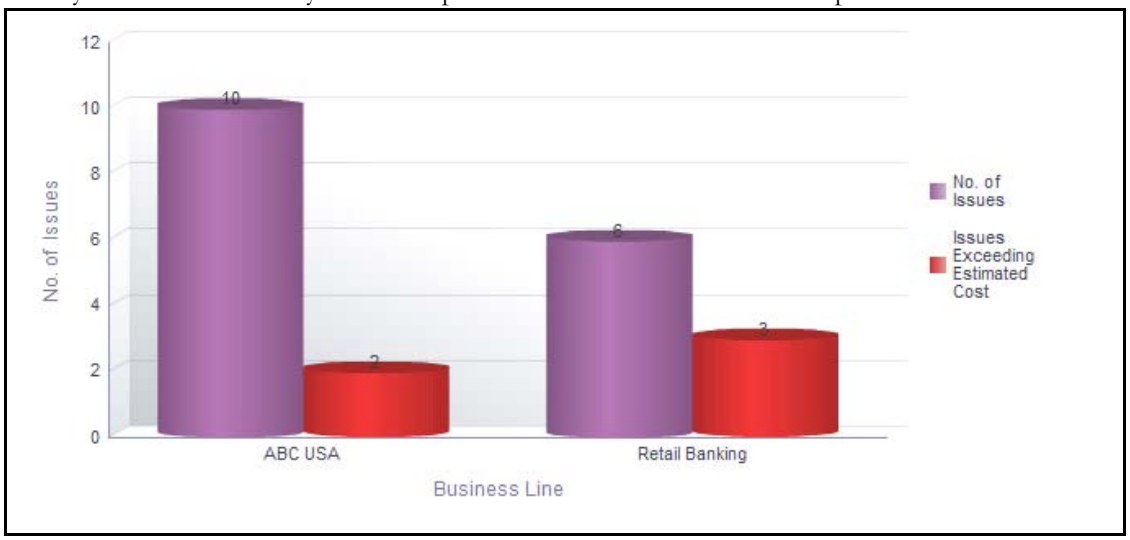



**Figure 698. Issues Exceeding Estimated Cost for Risks**

The X axis represents the business line and the Y axis represents the number of issues.

Each of the bars in the report represents the total number of issues exceeding estimated cost and the total number of issues created for risks.

Click on each of the business lines in the X axis to view the issues exceeding estimated cost and the number of open issues for each of the business line and its child levels.

Click on the issues exceeding estimated cost bar in the report to view the issue details.

| Issue Name | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Owner | Business Line | Location | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| issue | ssdf | Low | 1/22/2014 | 1/31/2014 | INR | 3,333.00 | 51,234.00 | 47,901.00 | Charles Philip | ABC USA | New York City | 1 |
| issue1 | dsadas | Medium | 1/8/2014 | 1/31/2014 | INR | 3,333.00 | 50,000.00 | 46,667.00 | Francis Philip | ABC USA | New York City | 1 |

**Figure 699. Issues Exceeding Estimated Cost**

All currency is converted to base currency irrespective of the currency involved.

Click on the number of issues bar in the report to view the issue details. The issue details table displays all the details of the issues created for the risks.

| Issue Name | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Number of Actions | Completed Actions | Owner | Business Line | Location | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue CCY CONVERSION | bdfb | Low | 1/3/2014 | 1/31/2014 | EUR | 43.00 | 850.00 | 807.00 | 3 | 0 | Charles Philip | Network and Advisory sales | London | 1 |
| Overdue Issues - Process | | Medium | 1/3/2014 | 1/4/2014 | EUR | 18,000.00 | 18,500.00 | 500.00 | 1 | 0 | Process Owner | Network and Advisory sales | London | 1 |
| draft sue | sdvdfbh | Low | 1/2/2014 | 1/31/2014 | INR | 36.00 | 0.00 | -36.00 | 1 | 0 | Charles Philip | Network and Advisory sales | London | 1 |
| issue for test | ewgfwegr | High | 2/17/2014 | 2/17/2014 | INR | 124.00 | 250,000.00 | 249,876.00 | 1 | 0 | Charles Philip | Network and Advisory sales | London | 1 |

**Figure 700. Issue Details**

*Overdue Actions for Risks by Business Line*

This report displays the total number of overdue actions and the total number of open actions linked to risks by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.




**Figure 701. Overdue Actions for Risks by Business Line**

The X axis represents the business line and the Y axis represents the number of overdue actions.

Each of the bars in the report represents the total number of overdue actions and the total number of open actions created for each business line linked to risks.

This report displays all the actions linked to risks.

Click on each of the business lines in the X axis to view the number of overdue actions created for each of the business line and its child levels.

Click on the overdue actions bar in the report to view the overdue action details.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Days Overdue | Currency | Estimated Cost | Actual Cost | Owner | Business Line | Location | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| KI | | 12/31/2013 | 1/22/2014 | | 27 | EUR | 4,000.00 | | Tom Harley | ABC USA | New York City | 2 |
| KI new | dfd | 12/31/2013 | 1/30/2014 | | 19 | INR | 410,414.00 | | Tom Harley | ABC USA | New York City | 1 |
| action for risk | | 1/22/2014 | 1/29/2014 | 95.00 | 20 | INR | 223.00 | 50,000.00 | Charles Philip | ABC USA | New York City | 1 |
| action1 | assa | 1/8/2014 | 1/17/2014 | | 32 | INR | 22,222.00 | 50,000.00 | Charles Philip | ABC USA | New York City | 1 |
| action100 | asaS | 1/8/2014 | 1/30/2014 | | 19 | INR | 11,111.00 | | Delila Chang | ABC USA | New York City | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 45 | EUR | 15,000.00 | 16,000.00 | Process Owner | ABC USA | New York City | 1 |

**Figure 702. Overdue Actions By Business Line**

Click on the count of actions bar in the report to view the action details. The action details table displays all the details of the actions created for risk.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Currency | Estimated Cost | Actual Cost | Owner | Line of Business | Location | Status | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| KI | | 12/31/2013 | 1/22/2014 | | EUR | 4,000 | | Tom Harley | ABC USA | New York City | Open | 2 |
| KI new | dfd | 12/31/2013 | 1/30/2014 | | INR | 410,414 | | Tom Harley | ABC USA | New York City | Open | 1 |
| action for risk | | 1/22/2014 | 1/29/2014 | 95.00 | INR | 223 | 50,000.00 | Charles Philip | ABC USA | New York City | Open | 1 |
| action1 | assa | 1/8/2014 | 1/17/2014 | | INR | 22,222 | 50,000.00 | Charles Philip | ABC USA | New York City | Open | 1 |
| action100 | asaS | 1/8/2014 | 1/30/2014 | | INR | 11,111 | | Delila Chang | ABC USA | New York City | Open | 1 |
| create action for risk test | dasd | 2/17/2014 | 2/28/2014 | | EUR | 500 | | Francis Philip | ABC USA | New York City | Open | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | EUR | 15,000 | 16,000.00 | Process Owner | ABC USA | New York City | Open | 1 |

**Figure 703. Action Details**

*Actions Exceeding Estimated cost for Risk by Business Line*

This report displays the total number of actions linked to risks where the actual cost is more than the estimated cost by Business Line. Only actions in open status are considered in this report.

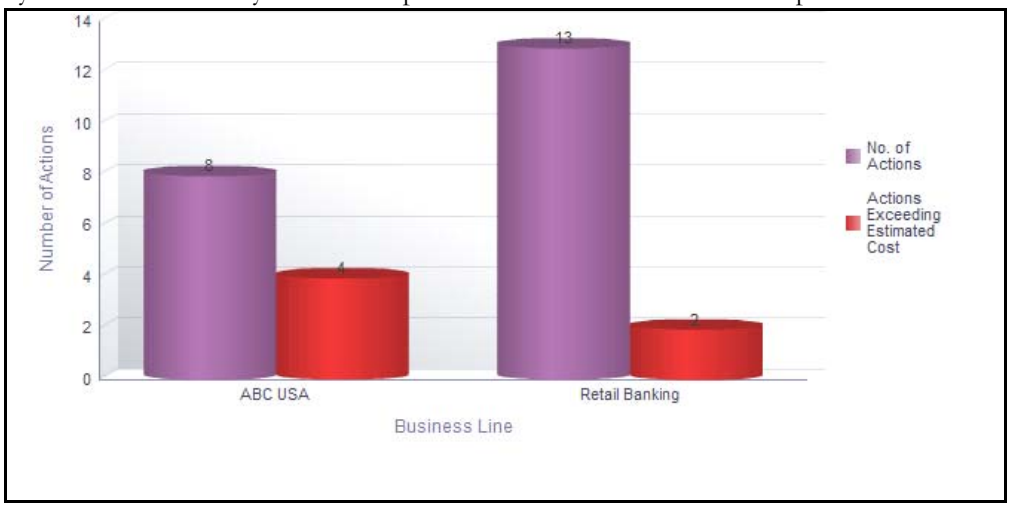



**Figure 704. Actions Exceeding Estimated Cost for Risks**

The X axis represents the business line and the Y axis represents the number of actions.

Each of the bars in the report represents the total number of actions exceeding estimated cost and the total number of actions created for each business line linked to risks.

Click on eachof the business lines in the X axis to view the actions exceeding estimated cost and the number of open actions for each of the business line and its child levels.

Click on the actions exceeding estimated cost bar in the report to view the action details.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Currency | Estimated Cost | Actual Cost | Difference | Owner | Business Line | Location | No. of Ris |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| action for risk | | 1/22/2014 | 1/29/2014 | 95.00 | INR | 223.00 | 50,000.00 | 49,777.00 | Charles Philip | ABC USA | New York City | |
| action1 | assa | 1/8/2014 | 1/17/2014 | | INR | 22,222.00 | 50,000.00 | 27,778.00 | Charles Philip | ABC USA | New York City | |
| | | 2/17/2014 | 2/17/2014 | 100.00 | EUR | 3,434.00 | 500,000.00 | 496,566.00 | Charles Philip | ABC USA | New York City | |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | EUR | 15,000.00 | 16,000.00 | 1,000.00 | Process Owner | ABC USA | New York City | |

**Figure 705. Actions Exceeding Estimated Cost**

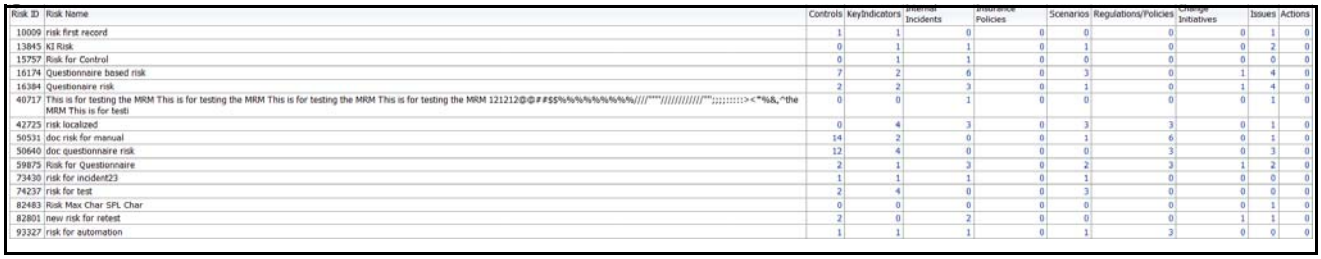
Click on the number of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Currency | Estimated Cost | Actual Cost | Owner | Line of Business | Location | Status | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| KI | | 12/31/2013 | 1/22/2014 | | EUR | 4,000 | | Tom Harley | ABC USA | New York City | Open | 2 |
| KI new | dfd | 12/31/2013 | 1/30/2014 | | INR | 410,414 | | Tom Harley | ABC USA | New York City | Open | 1 |
| action for risk | | 1/22/2014 | 1/29/2014 | 95.00 | INR | 223 | 50,000.00 | Charles Philip | ABC USA | New York City | Open | 1 |
| action1 | assa | 1/8/2014 | 1/17/2014 | | INR | 22,222 | 50,000.00 | Charles Philip | ABC USA | New York City | Open | 1 |
| | | 2/17/2014 | 2/17/2014 | 100.00 | EUR | 3,434 | 500,000.00 | Charles Philip | ABC USA | New York City | Complete | 1 |
| action100 | asaS | 1/8/2014 | 1/30/2014 | | INR | 11,111 | | Delila Chang | ABC USA | New York City | Open | 1 |
| create action for risk test | dasd | 2/17/2014 | 2/28/2014 | | EUR | 500 | | Francis Philip | ABC USA | New York City | Open | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | EUR | 15,000 | 16,000.00 | Process Owner | ABC USA | New York City | Open | 1 |

**Figure 706. Action Details**

### *Risk Metrics*

This report displays the risks in open status as well as the count of entities like controls, Key Indicators, internal incidents, insurance policies, external incidents, scenarios, regulations, issues and actions, and Change Initiatives associated to the risk.



| Risk ID | Risk Name | Controls | KeyIndicators | Internal Incidents | Insurance Policies | Scenarios | Regulations/Policies | Change Initiatives | Issues | Actions |
|---|---|---|---|---|---|---|---|---|---|---|
| 10009 | risk first record | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 1 | 0 |
| 13845 | KI Risk | 0 | 1 | 1 | 0 | 1 | 0 | 0 | 2 | 0 |
| 15757 | Risk for Control | 0 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
| 16174 | Questionnaire based risk | 7 | 2 | 6 | 0 | 3 | 0 | 1 | 4 | 0 |
| 16384 | Questionaire risk | 2 | 2 | 3 | 0 | 1 | 0 | 1 | 4 | 0 |
| 40717 | This is for testing the MRM This is for testing the MRM This is for testing the MRM This is for testing the MRM 121212@@#$$%%%%%%%%%%////""""//////////////"""";;;;;;;;;><*%&,^the MRM This is for testi | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 1 | 0 |
| 42725 | risk localized | 0 | 4 | 3 | 0 | 3 | 3 | 0 | 1 | 0 |
| 50531 | doc risk for manual | 14 | 2 | 0 | 0 | 1 | 6 | 0 | 1 | 0 |
| 50640 | doc questionnaire risk | 12 | 4 | 0 | 0 | 0 | 3 | 0 | 3 | 0 |
| 39875 | Risk for Questionnaire | 2 | 1 | 3 | 0 | 2 | 3 | 1 | 2 | 0 |
| 73430 | risk for incident23 | 1 | 1 | 1 | 0 | 1 | 0 | 0 | 0 | 0 |
| 74237 | risk for test | 2 | 4 | 0 | 0 | 3 | 0 | 0 | 0 | 0 |
| 82483 | Risk Max Char SPL Char | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 |
| 82801 | new risk for retest | 2 | 0 | 2 | 0 | 0 | 0 | 1 | 1 | 0 |
| 93327 | risk for automation | 1 | 1 | 1 | 0 | 1 | 3 | 0 | 0 | 0 |

**Figure 707. Risk Metrics**

The following table displays the status of the entities linked to the risk.

**Table 276. Risk Metrics**

| Entity | Status |
|---|---|
| Scenarios | Open |
| Controls | Open |
| Internal Incidents | All status except Closed |
| External Incidents | All |
| Key Indicators | Open |
| Change Initiatives | All |
| Business Continuity Plans | All |
| Insurance | Open |
| Regulations/Policies | Open |

Click on the entity count in the report to view the entity details linked to the risk.

*Risk Details*

This report displays the details of the risk such as risk name, risk ID, risk event type, primary cause, business line, location, risk inventory, risk category, risk owner, assessor, risk assessment details, control details and so on.

Only risk in open status are considered in this report. By default, this report displays 25 records.

| Risk ID | Risk Name | Risk Inventory | Risk Event Type | Primary Cause | Sox | Reputation Risk | Owner | Assessor | Assessment Type | Inherent Rating | Control Effectivness | Residual Rating | Quantitative Inherent Impact | Residual Financial Impact | Reputational Impact | Staff Impact | Customer Impact | Regulatory Impact | Assessment Date | Business Line | Location | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 10009 | risk first record | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Della Chang | Manual | Medium | Requires Improvement | High | 500.00 | | | | | Medium Impact | 22-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | All |
| 13845 | KI Risk | Operational Risk | Business Disruption and System Failures | External Environment | No | High | Francis Philip | Della Chang | Manual | Not Rated | Not Rated | Not Rated | | | | | | | | ABC USA | New York City | Corporate Social Responsibility | process plan for test |
| 16174 | Questionnaire based risk | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Della Chang | Questionnaire | High | Qualified | High | | | | | | Medium Impact | 20-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process for plan |
| 16384 | Questionaire risk | Credit Risk | Advisory Activity | Natural Disasters | No | Unlikely | Francis Philip | Della Chang | Questionnaire | High | Qualified | High | | | | | | | 10-Jan-14 | ABC USA | New York City | Facilities and Infrastructure Risk | process plan for test |
| 23515 | /***JKLHTYTJFJK%^&**acknowledging the message passed tab code error is displayed.sdgfsaq2354 3456$%^&*()_{*&^&|}Q acknowledging the message passed tab code error is displayed. acknowledging the messa | Credit Risk | Advisory Activity | Natural Disasters | No | High | Francis Philip | Della Chang | Manual | Not Rated | Not Rated | Not Rated | | | | | | | | ABC USA | New York City | Facilities and Infrastructure Risk | All |

**Figure 708. Risk Details**

Click on the residual financial impact hyperlink to view the impact details.

| Risk ID | Risk Name | Write Offs | Legal Fees | Compensation | Forgone Income | Residual Financial Impact | Assessment Date | Residual Rating | Process | Risk Event Type |
|---|---|---|---|---|---|---|---|---|---|---|
| 15757 | Risk for Control | 4.00 | 6 | 5 | 7 | 22 | 01-Jan-13 | Medium | process plan for test | Advisory Activity |
| 42725 | risk localized | 4.00 | 6 | 5 | 7 | 22 | 07-Jan-14 | Low | All | Advisory Activity |

**Figure 709. Residual Financial Impact Details**

## Controls

**Note:** The Report displays data as per the filters applied at the tab, for example, business line, location, and category type.

This tab displays the following reports:

- *Overall Control Effectiveness*
- *Control DE /OE Assessment*
- *Controls Across Business Lines*
- *Key Controls across Business Lines*
- *Controls by Control Category*
- *Control By Nature*
- *SOX Controls*
- *Controls By Cost*
- *Controls Not Assessed*

Following reports are additional reports:

- *Test Plans for Controls*
- *Control Metrics*
- *Overdue Issues for Controls by Business Line*
- *Issues Exceeding estimated cost for Controls by Business Line*
- *Overdue Actions for Controls by Business Line*
- *Actions Exceeding estimated cost for Controls by Business Line*
- *Control Details*

### *Overall Control Effectiveness*

This report displays the number of controls by their overall effectiveness rating. Only controls in open status and the latest completed assessments are considered in this report.




**Figure 710. Overall Control Effectiveness**

The X axis of the report represents the overall control effectiveness, that is, the ratings: Effective, Qualified, and Requires Improvement, Not Rated are displayed as bars. The Y axis represents the number of controls. This report

also shows the count of Not rated controls in open status, that is, it displays the details of the control records that are not assessed.

Click on any of the bars in the report to view the control details.

### *Control DE /OE Assessment*

This report displays the number of controls by their rating for design effectiveness/operating effectiveness. Only controls in open status and the latest completed assessment ratings are considered in this report.

The drop-down option allows you to view either the OE assessment report or the DE assessment report. You can choose the assessment report you want to view.




**Figure 711. Control DE Assessment**

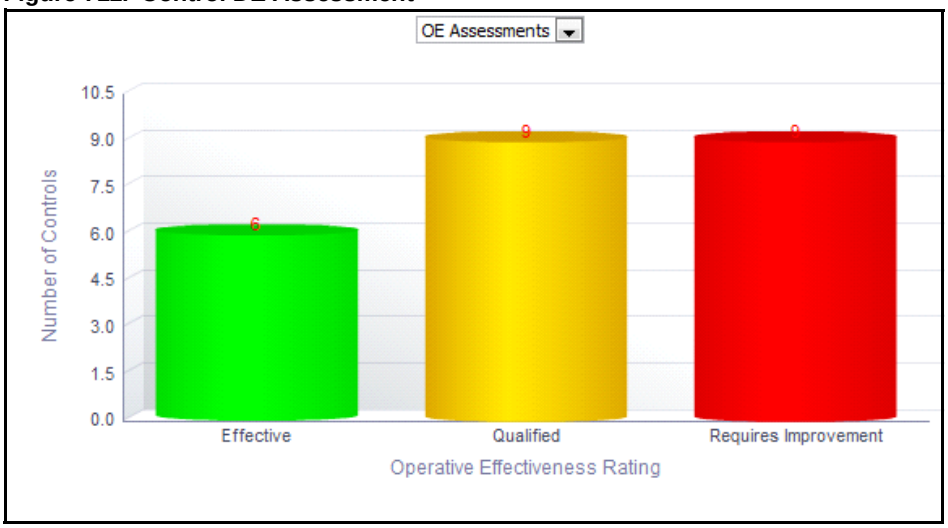



**Figure 712. Control OE Assessment**

The X axis represents the design effectiveness/operating effectiveness and the Y axis represents the total number of controls.

This report also shows the count of Not rated controls, that is, it displays the details of the control records that are not assessed.

Click on any of the bars in the report to view the control details.

### *Controls Across Business Lines*

This report displays the count of all controls in open status by business line. Only controls in open status are considered in this report. By default, this report displays the first level business line. If required, you can drill down to the last level.

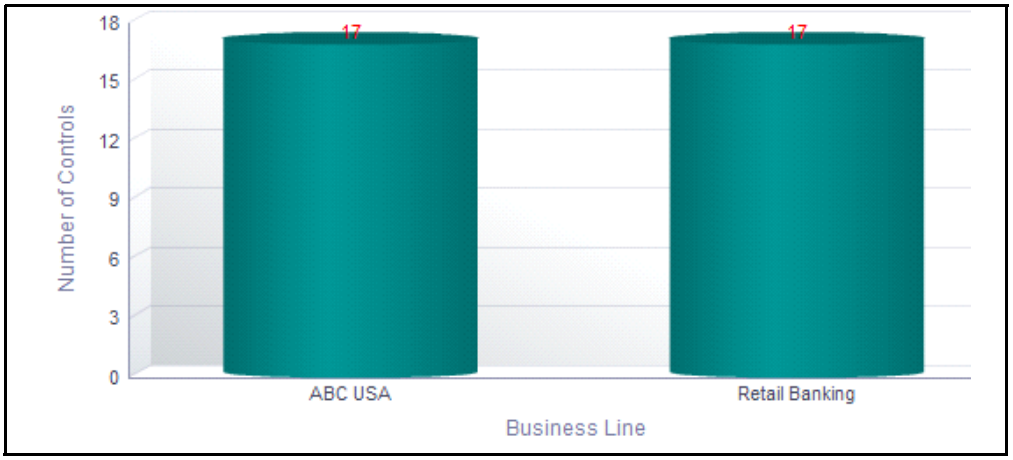



**Figure 713. Controls Across Business Line (Bar Chart)**

The X axis of the report represents the business line and the Y axis represents the total number of controls.

Click on each of the business lines in the X axis to view the controls for each of the child levels.

Following is the color convention followed in each of the bars in the Y axis.

The red color bar represents the overall control effectiveness as *Requires Improvement*.

The amber color bar represents the overall control effectiveness as *Qualified*.

The green color bar represents the overall control effectiveness as *Effective*.

Click on the count in the bar graph to view the control details. This table displays details of all the controls for the parent and child business lines.

### *Key Controls across Business Lines*

This report displays the count of all controls in open status by business line. Only controls that are marked as *Yes in the Key Control* field are displayed in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level of business line.

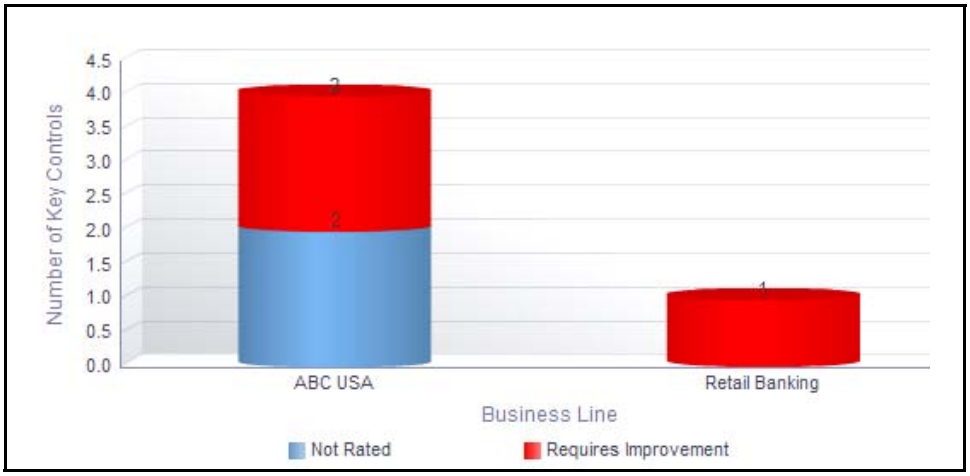



**Figure 714. Key Controls Across Business Line (Bar Chart)**

The X axis represents the business line and the Y axis represents the total number of controls.

Click on each of the business lines in the X axis to view the controls for each of the child levels.

Following is the color convention followed in each of the bars in the Y axis.

The red color bar represents the overall control effectiveness as *Requires Improvement*.

The amber color bar represents the overall control effectiveness as *Qualified*.

The green color bar represents the overall control effectiveness as *Effective*.

Click on the count in the bar graph to view the control details table. This table displays details of all the controls for the parent and child business lines.

### *Controls by Control Category*

This report displays the number of controls by their category. Only controls in open status and the latest completed assessments are considered in this report.

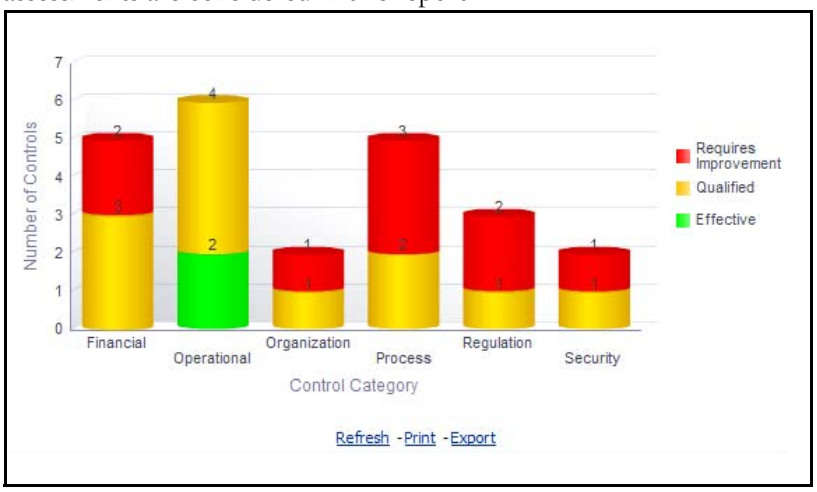



**Figure 715. Controls by Control Category**

The X axis represents the control category and the Y axis represents the number of controls.

Each of the bars in the report represent the number of controls for a category.

Click on any of the sections in the bar to view the underlying control details.

### *Control By Nature*

This report displays the number of controls by their nature. Only controls in open status and the latest completed assessments are considered in this report.

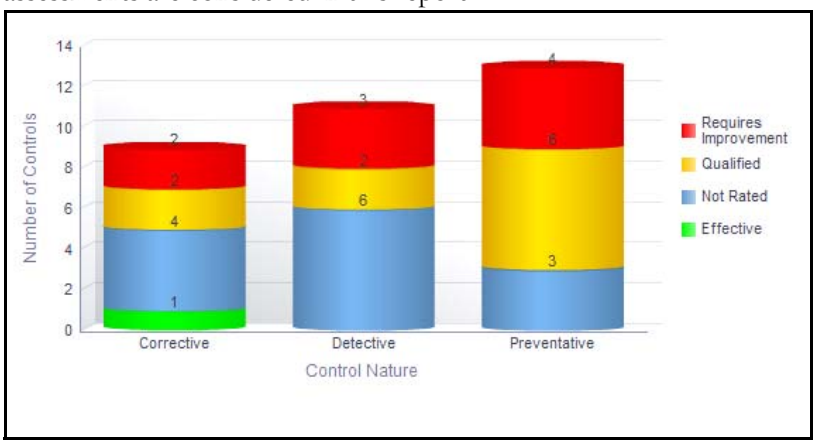



**Figure 716. Controls by Nature**

The X axis represents the control nature and the Y axis represents the number of controls. This report also shows the count of Not rated controls, that is, it displays the details of the control records that are not assessed.

Click on any of the sections in the bar to view the underlying control details.

### *SOX Controls*

This report displays the count of all controls in open status by business line. Only controls that are marked as *Yes in the SOX* field are displayed in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level of business line.

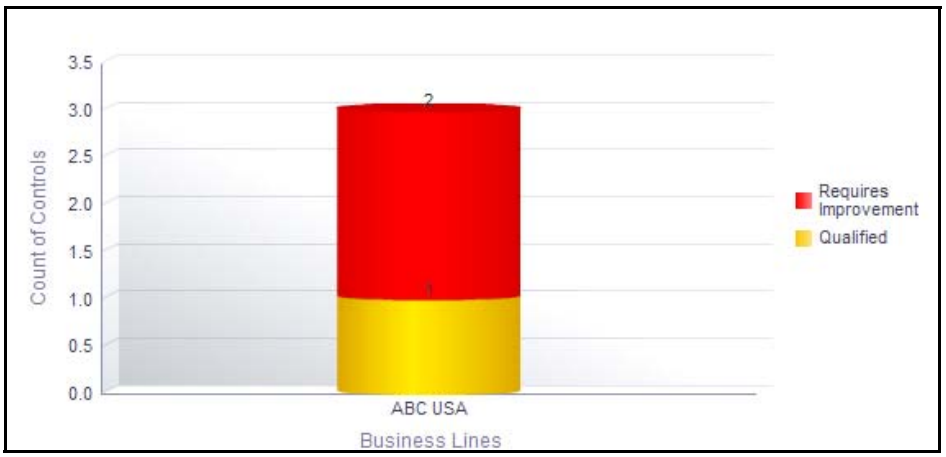



**Figure 717. SOX Controls (Bar Chart)**

The X axis represents the business line and the Y axis represents the total number of controls.

Click on each of the business lines in the X axis to view the SOX controls for each of the child levels.

Following is the color convention followed in each of the bars in the Y axis.

The red color bar represents the overall control effectiveness as *Requires Improvement*.

The amber color bar represents the overall control effectiveness as *Qualified*.

The green color bar represents the overall control effectiveness as *Effective*.

Click on any of the sections in the bar to view the underlying control details.

### *Controls By Cost*

This report displays the number of controls within each cost category. Only controls in open status are considered in this report.

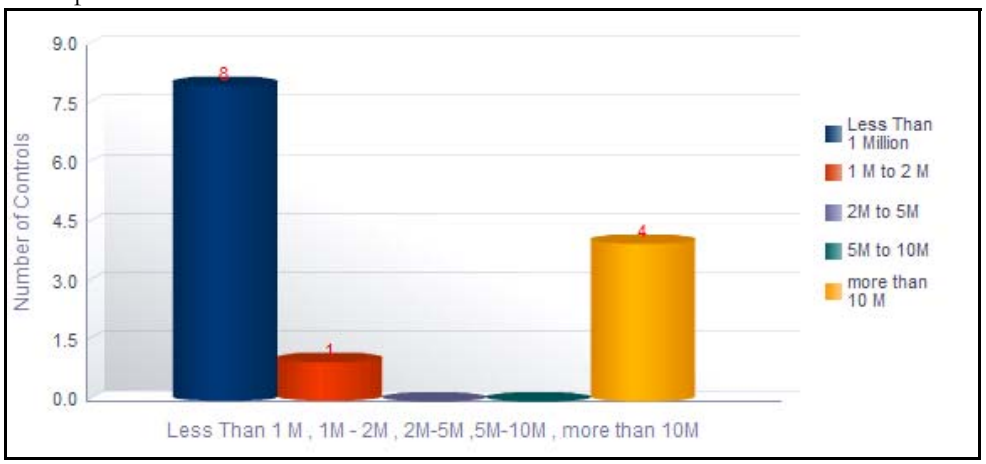



**Figure 718. Controls by Cost**

The X axis represents the cost and the Y axis represents the total number of controls. The buckets in the X axis are configurable by the Administrator.

This report displays all the amount details in base currency. Irrespective of the currency involved, all amounts are converted to base currency.

Click on any of the bars in the report to view the control details.

### *Controls Not Assessed*

This report displays the total number of controls and controls that are not assessed for each business line.Only controls in open status are considered in this report.

By default, this report displays the first level business line. If required, you can drill down to the last level.

Following are the filter options provided:

- 3 months
- 6 months
- 1 year
- 2 years

By default, this report displays details of controls that are not assessed for a period of 2 years. However, you can configure this default period.

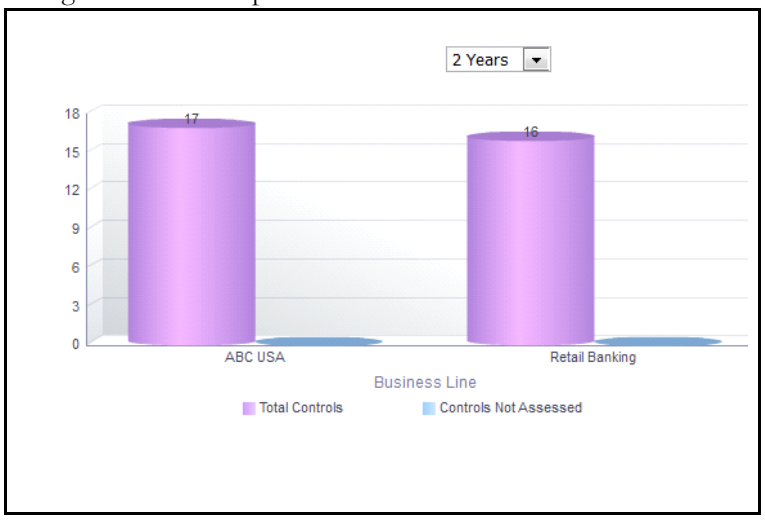



**Figure 719. Controls Not Assessed**

The X axis of the report represents the business line and the Y axis represents the total number of controls.

The report displays two bars. One bar represents the total number of controls for a business line and the other bar represent the number of controls that have not been assessed for a business line.

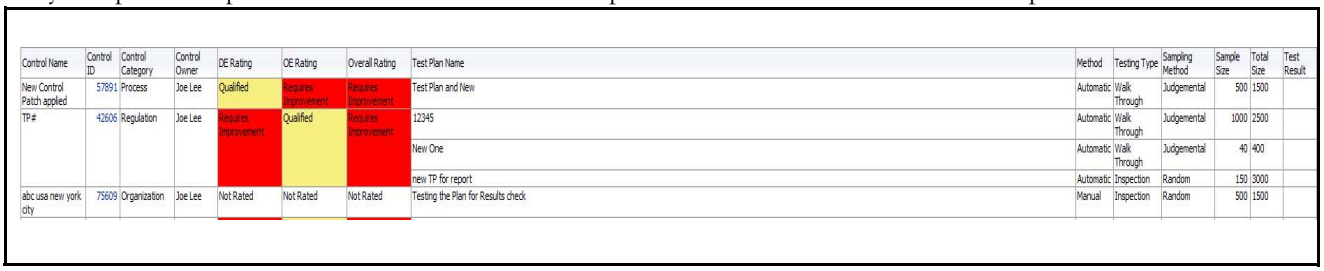
Click on each of the business lines in the X axis to view the control details for each of the child levels.

Click on total controls bar to view the details of all the controls for a business line and click on the controls not assessed bar to view the details of controls that have not been assessed for a business line.

### *Test Plans for Controls*

This report displays the controls that have assessment type as test plans. Only latest completed assessment ratings are considered in this report.

Only test plans in open status and test results in Completed status are considered in this report.



| Control Name | Control ID | Control Category | Control Owner | DE Rating | OE Rating | Overall Rating | Test Plan Name | Method | Testing Type | Sampling Method | Sample Size | Total Size | Test Result |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| New Control Patch applied | 57891 | Process | Joe Lee | Qualified | Requires Improvement | Requires Improvement | Test Plan and New | Automatic | Walk Through | Judgemental | 500 | 1500 | |
| TP# | 42606 | Regulation | Joe Lee | Requires Improvement | Qualified | Requires Improvement | 12345 | Automatic | Walk Through | Judgemental | 1000 | 2500 | |
| | | | | | | | New One | Automatic | Walk Through | Judgemental | 40 | 400 | |
| | | | | | | | new TP for report | Automatic | Inspection | Random | 150 | 3000 | |
| abc usa new york city | 75609 | Organization | Joe Lee | Not Rated | Not Rated | Not Rated | Testing the Plan for Results check | Manual | Inspection | Random | 500 | 1500 | |

**Figure 720. Test Plans for Controls**

Click on the control ID in the report to view the control details.

*Control Metrics*

This report displays the controls in open status as well as the count of entities like risk, key indicators, internal incidents, insurance policies, regulations, obligations, issues and actions, and change initiatives associated to the control.

| Control ID | Control Name | Risks | Key Indicators | Internal Incidents | Regulations/Policies | Obligations | Issues | Actions |
|---|---|---|---|---|---|---|---|---|
| 12027 | control for plan | 8 | 0 | 4 | 0 | 0 | 1 | 0 |
| 12855 | KI controls | 3 | 1 | 2 | 0 | 0 | 0 | 0 |
| 15460 | with special characters | 2 | 1 | 1 | 0 | 0 | 2 | 0 |
| 16304 | test plans | 4 | 2 | 3 | 0 | 0 | 2 | 0 |
| 17315 | Questionnaire Control | 1 | 1 | 0 | 0 | 0 | 0 | 0 |
| 17669 | questionnaire control de and oe | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
| 20235 | control oe plan | 3 | 0 | 1 | 0 | 0 | 0 | 0 |
| 27561 | control for sox | 3 | 0 | 0 | 0 | 0 | 0 | 0 |
| 29919 | Q C | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
| 42606 | TP# | 1 | 0 | 2 | 0 | 0 | 1 | 0 |
| 44877 | Test Control and Obl linkages | 2 | 0 | 1 | 0 | 0 | 0 | 0 |
| 48890 | for control only | 5 | 0 | 1 | 0 | 0 | 0 | 0 |
| 57891 | New Control Patch applied | 3 | 2 | 3 | 0 | 0 | 0 | 0 |
| 58697 | New Questionnaire NN | 1 | 2 | 0 | 0 | 0 | 0 | 0 |
| 65739 | Questionnaire Control | 3 | 1 | 1 | 0 | 0 | 2 | 2 |
| 73093 | Local Control NEW | 2 | 1 | 2 | 0 | 0 | 1 | 1 |
| 76833 | Manual Not Assessed | 0 | 0 | 1 | 0 | 0 | 0 | 0 |
| 81553 | Control record with questionnaire | 0 | 0 | 2 | 0 | 0 | 1 | 1 |
| 81827 | Questionaire Based | 0 | 0 | 4 | 0 | 0 | 0 | 0 |
| 86733 | new test planaaaaa | 0 | 0 | 3 | 0 | 0 | 0 | 0 |
| 97458 | control latest one | 0 | 1 | 1 | 0 | 0 | 1 | 4 |
| 98892 | Bug 17956264 | 0 | 1 | 5 | 0 | 0 | 3 | 5 |

**Figure 721. Control Metrics**

Click on the entity count in the report to view the entity details linked to the control.

The following table displays the status of the entities linked to the control.

**Table 277. Control Metrics**

| Entity | Status |
|---|---|
| Scenarios | Open |
| Risks | Open |
| Internal Incidents | All excluding closed |
| External Incidents | All |
| Key Indicators | Open |
| Change Initiatives | All |

**Table 277. Control Metrics**

| Entity | Status |
|---|---|
| Business Continuity Plans | All |
| Insurance policies | Open |
| Regulations/Policies | Open |

*Overdue Issues for Controls by Business Line*

This report displays details of all the open issues associated to controls. This report displays the total number of overdue issues and total number of open issues linked to controls by business line.

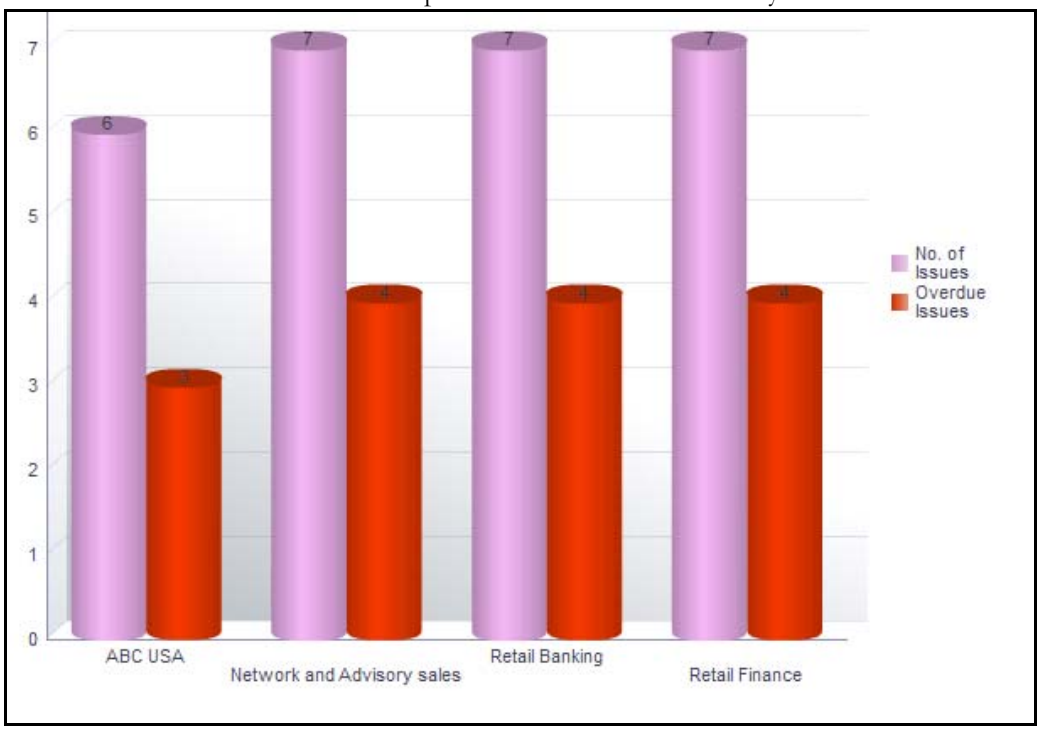



**Figure 722. Overdue Issues for Controls by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue issues.

Each of the bars in the report represents the total number of overdue issues and the total number of open issues created for each business line linked to controls.

An Action is overdue if its target completion date is passed, that is if the Current System Date is greater than the Target Date of the Action.

Click on each of the business lines in the X axis to view the number of overdue issues created for each of the business line and its child levels.

Click on the overdue issues bar in the report to view the overdue issue details.

| Issue | Criticality | Created Date | Target Completion Date | Days Overdue | Estimated Cost | Actual Cost | Owner | Business of Line | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Overdue Issues - Process | Medium | 1/3/2014 | 1/4/2014 | 45 | 18,000.00 | 18,500.00 | Process Owner | Network and Advisory sales | London | 2 |
| issue for test | High | 2/17/2014 | 2/17/2014 | 1 | 124.00 | 250,000.00 | Charles Philip | Network and Advisory sales | London | 2 |
| issue from control | Medium | 1/2/2014 | 1/31/2014 | 18 | 1,000.00 | | Joe Lee | Network and Advisory sales | London | 2 |
| risk | High | 1/17/2014 | 1/31/2014 | 18 | 33.00 | | Delila Chang | Network and Advisory sales | London | 2 |

**Figure 723. Overdue Issues Details**

Click on the number of issues bar in the report to view the open issue details. The issue details table displays all the details of open issues linked to controls.

| Issue | Criticality | Date of Creation | Target Completion Date | Estimated Cost | Actual Cost | Difference Amount | Number of Actions | Completed Actions | Owner | Business Line | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Bug 17956264 | Not Rated | 2/11/2014 | | | | | 2 | 0 | Clark Ricky | ABC USA | New York City | 2 |
| Control record with questionnaire | Not Rated | 1/30/2014 | | | | | 2 | 0 | Clark Ricky | ABC USA | New York City | 2 |
| Issue Exceeding - Process | High | 1/28/2014 | 1/28/2014 | 15,000.00 | 25,000.00 | 10,000.00 | 1 | 0 | Charles Philip | ABC USA | New York City | 10 |
| Local Control NEW | Not Rated | 1/23/2014 | | | | | 3 | 0 | Joe Lee | ABC USA | New York City | 3 |
| Test old issue | Medium | 1/2/2014 | 1/4/2014 | 10,000.00 | | | 2 | 0 | Tom Harley | ABC USA | New York City | 24 |
| asdsa | Medium | 12/31/2013 | 1/30/2014 | 2,234,234.00 | 0.00 | -2,234,234.00 | 2 | 0 | Tom Harley | ABC USA | New York City | 24 |

**Figure 724. Open Issue Details**

*Issues Exceeding estimated cost for Controls by Business Line*

This report displays the total number of Issues linked to controls where the actual issue cost is more than the estimated cost by Business Line. Only issues in open status are considered in this report.

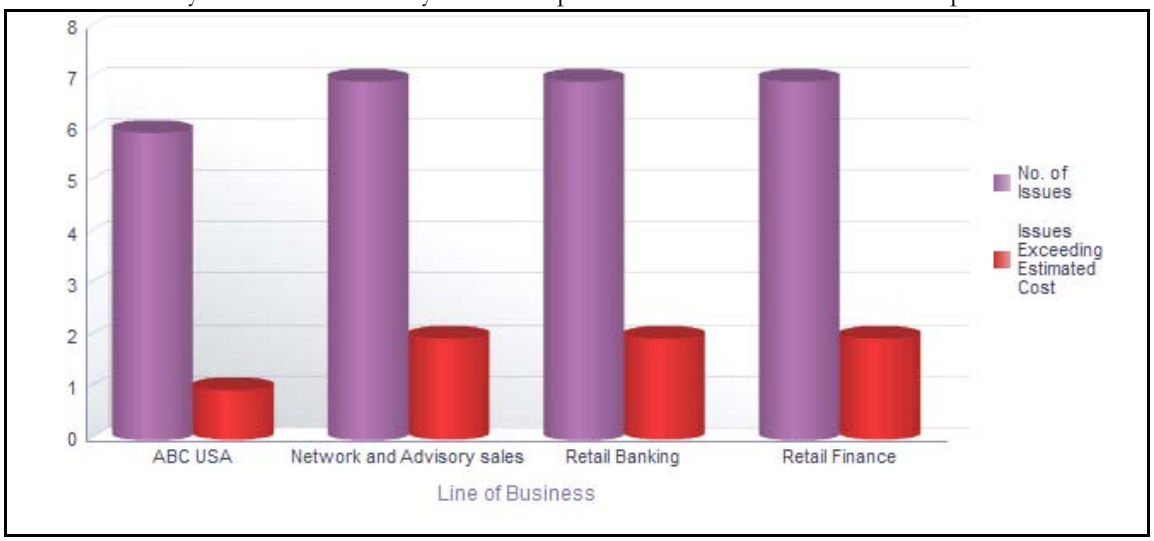



**Figure 725. Issues Exceeding Estimated Cost for Controls**

The X axis represents the business line and the Y axis represents the number of issues.

Each of the bars in the report represents the total number of issues exceeding estimated count and the total number of issues created for each business line linked to controls.

Click on each of the business lines in the X axis to view the issues exceeding estimated count and the number of open issues for each of the business line and its child levels.

Click on the issues exceeding estimated cost bar in the report to view the issue details.

| Issue | Criticality | Date of Creation | Target Completion Date | Estimated Cost | Actual Cost | Difference Amount | Owner | Business Line | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Overdue Issues - Process | Medium | 1/3/2014 | 1/4/2014 | 18,000.00 | 18,500.00 | 500.00 | Process Owner | Network and Advisory sales | London | 9 |
| issue for test | High | 2/17/2014 | 2/17/2014 | 124.00 | 250,000.00 | 249,876.00 | Charles Philip | Network and Advisory sales | London | 5 |

**Figure 726. Issues Exceeding Estimated Cost**

Click on the number of issues bar in the report to view the issue details. The issue details table displays all the details of the issues created for the controls.

| Issue Name | Description | Criticality | Date of Creation | Target Completion Date | Currency | Estimated Cost | Actual Cost | Difference Amount | Number of Actions | Completed Actions | Owner | Business Line | Location | No. of Risks |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue CCY CONVERSION | bdfb | Low | 1/3/2014 | 1/31/2014 | EUR | 43.00 | 850.00 | 807.00 | 3 | 0 | Charles Philip | Network and Advisory sales | London | 1 |
| Overdue Issues - Process | | Medium | 1/3/2014 | 1/4/2014 | EUR | 18,000.00 | 18,500.00 | 500.00 | 1 | 0 | Process Owner | Network and Advisory sales | London | 1 |
| draft isue | sdvdfbh | Low | 1/2/2014 | 1/31/2014 | INR | 36.00 | 0.00 | -36.00 | 1 | 0 | Charles Philip | Network and Advisory sales | London | 1 |
| issue for test | ewgfwegr | High | 2/17/2014 | 2/17/2014 | INR | 124.00 | 250,000.00 | 249,876.00 | 1 | 0 | Charles Philip | Network and Advisory sales | London | 1 |

**Figure 727. Issue Details**

### *Overdue Actions for Controls by Business Line*

This report displays the total number of overdue actions and the total number of open actions linked to controls by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.

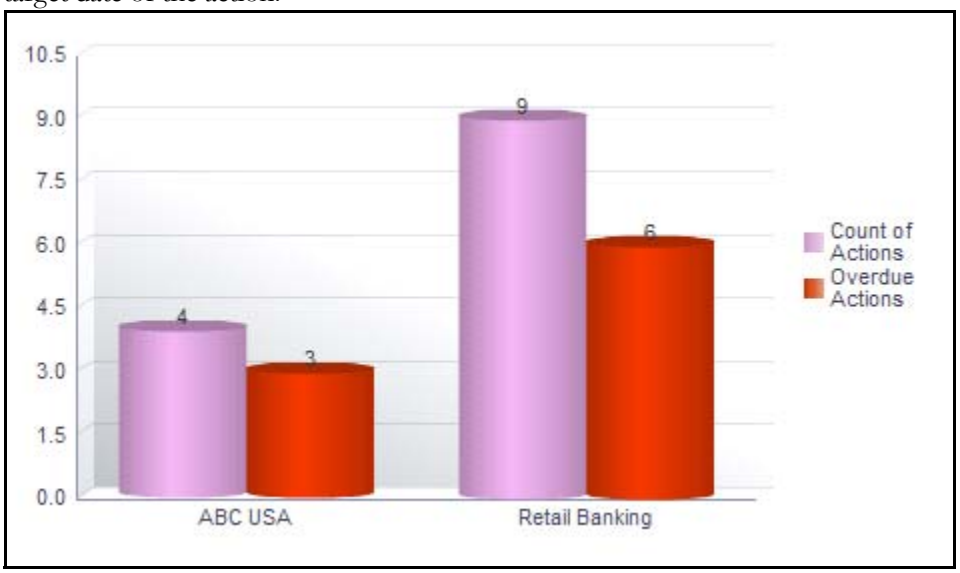



**Figure 728. Overdue Actions for Controls by Business Line**

The X axis represents the business line and the Y axis represents the number of overdue actions.

Each of the bars in the report represents the total number of overdue actions and the total number of open actions created for each business line linked to controls.

This report displays all the actions linked to controls.

Click on each of the business lines in the X axis to view the number of overdue actions created for each of the business line and its child levels.

Click on the overdue actions bar in the report to view the overdue action details.

Click on the count of actions bar in the report to view the action details. The action details table displays all the details of the actions created for controls.

### *Actions Exceeding estimated cost for Controls by Business Line*

This report displays the total number of actions linked to controls where the actual cost is more than the estimated cost by Business Line. Only actions in open status are considered in this report.

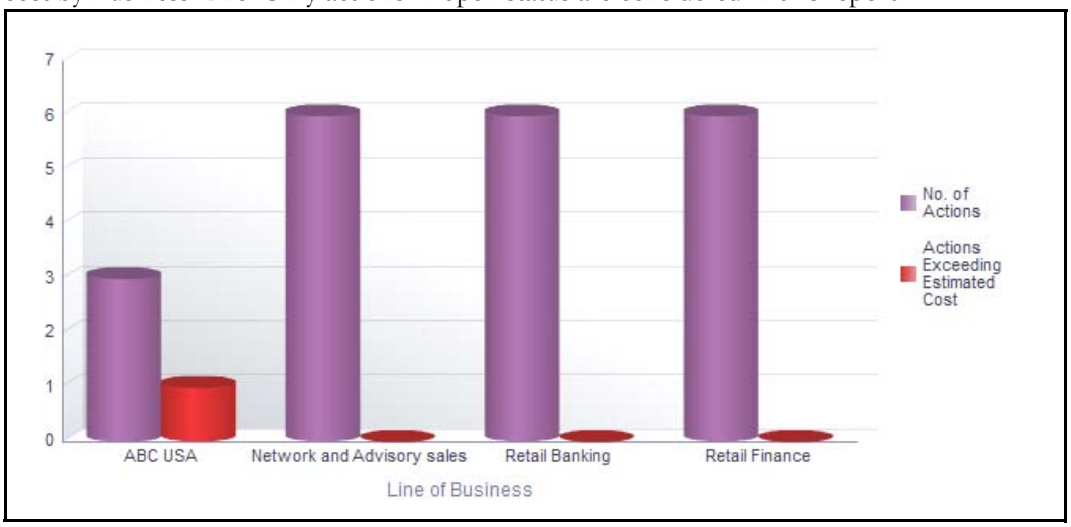



**Figure 729. Actions Exceeding Estimated Cost for Controls**

The X axis represents the business line and the Y axis represents the number of actions.

Each of the bars in the report represents the total number of actions exceeding estimated count and the total number of actions created for each business line linked to controls.

Click on each of the business lines in the X axis to view the actions exceeding estimated count and the number of open actions for each of the business line and its child levels.

Click on the actions exceeding estimated cost bar in the report to view the action details.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Estimated Cost | Actual Cost | Difference | Owner | Business Line | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| action for risk | | 1/22/2014 | 1/29/2014 | 95.00 | 223.00 | 50,000.00 | 49,777.00 | Charles Philip | ABC USA | New York City | 1 |

**Figure 730. Actions Exceeding Estimated Cost**

Click on the number of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the controls.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Actual Cost | Owner | Line of Business | Location | Status | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|
| Action from Controls | | 1/30/2014 | 2/6/2014 | | | Clark Ricky | Network and Advisory sales | London | Open | 1 |
| action thiru | sdg | 2/5/2014 | 2/26/2014 | | | Charles Philip | Network and Advisory sales | London | Open | 1 |
| asdasdasdad | | 2/6/2014 | 2/6/2014 | | | Scenario Admin | Network and Advisory sales | London | Open | 1 |
| fgdf | gdsdfs | 1/30/2014 | 2/10/2014 | | | Obligation Owner | Network and Advisory sales | London | Open | 1 |
| sdffsd | | 2/12/2014 | 2/14/2014 | | | Clark Ricky | Network and Advisory sales | London | Open | 1 |
| sdgggggggggggggggggg | sgsg | 1/30/2014 | 1/31/2014 | | | Obligation Owner | Network and Advisory sales | London | Open | 1 |

**Figure 731. Action Details**

### *Control Details*

This report displays the control details such as control name, control ID, control type, business line, location, process, control category, control owner, control cost, control operating effectiveness, design effectiveness rating, and so on.

Only controls in open status are considered in this report. This report displays only the latest completed assessment details.

By default, this report lists all the controls in open status with latest completed assessment ratings if assessed. If the controls are not assessed, they are displayed as not rated controls.

| Business Line | Location | Control ID | Control Name | Control Type | Control Category | Risk Event Type | Control Owner | Currency | Control Cost | DE Rating | OE Rating | Overall Rating | Assessment Date | Risk Category | Process |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ABC USA | New York City | 12027 | control for plan | | Financial | | Joe Lee | EUR | 100 | Qualified | Qualified | Qualified | 31-Jan-14 | Business Continuity Risk | Process-QA |
| | | 12855 | KI controls | Manual | Operational | Business Disruption and System Failures | Tom Harley | INR | 1,250,000 | Qualified | Qualified | Qualified | 12-Feb-14 | | process plan for test |
| | | 15460 | with special characters | Automated | Process | Transaction Capture, Execution and maintenance | Joe Lee | INR | 3,750 | Requires Improvement | Requires Improvement | Requires Improvement | 21-Jan-14 | Facilities and Infrastructure Risk | process plan for test |
| | | 16304 | test plans | Manual | Operational | | Joe Lee | EUR | 100 | Qualified | Effective | Qualified | 30-Jan-14 | | All |
| | | 17669 | questionnaire control de and oe | | Financial | | Joe Lee | USD | | Requires Improvement | Qualified | Requires Improvement | 10-Jan-14 | | process plan for test |
| | | 20235 | control oe plan | | Operational | | Joe Lee | USD | | Qualified | Qualified | Qualified | 10-Jan-14 | | Test2 |
| | | 27561 | control for sox | Automated | Financial | | Joe Lee | USD | | Requires Improvement | Requires Improvement | Requires Improvement | 22-Jan-14 | | process for sox |
| | | 42606 | TP# | | Regulation | | Joe Lee | EUR | 15,554,849,847,874,500,000 | Requires Improvement | Qualified | Requires Improvement | 31-Jan-14 | | process for sox |
| | | 73093 | Local Control NEW | Automated | Organization | Transaction Capture, Execution and maintenance | Joe Lee | EUR | 15,000 | Requires Improvement | Requires Improvement | Requires Improvement | 24-Jan-14 | Facilities and Infrastructure Risk | Process - Issues Exceeding estimated cost |
| | | 75609 | abc usa new york city | Automated | Organization | Execution, Delivery and Process Management | Joe Lee | EUR | 100 | Not Rated | Not Rated | Not Rated | | Facilities and Infrastructure Risk | Process -Actions Exceeding estimated cost |
| | | 76833 | Manual Not Assessed | Manual | Operational | Execution, Delivery and Process Management | Joe Lee | EUR | 10 | Not Rated | Not Rated | Not Rated | | Contractual disagreement | process plan for test |
| | | 81553 | Control record with questionnaire | Automated | Organization | Execution, Delivery and Process Management | Joe Lee | EUR | 100 | Not Rated | Not Rated | Not Rated | | Corporate Social Responsibility | Process - Overdue Actions |
| | | 81827 | Questionaire Based | | Operational | | Process Creator | USD | | Qualified | Effective | Qualified | 06-Feb-14 | | Process -Overdue Issues |
| | | 81890 | QC Bases | | Organization | | Process Creator | USD | | Not Rated | Not Rated | Not Rated | | | Process -Overdue Issues |
| | | 86535 | New control for an issue | | Process | | Joe Lee | USD | | Not Rated | Not Rated | Not Rated | | | Process22 |
| | | 87453 | for oblgc check | | Process | | Joe Lee | USD | | Not Rated | Not Rated | Not Rated | | | Process - Overdue Actions |
| | | 98892 | Bug 17956264 | | Organization | | Joe Lee | USD | | Not Rated | Not Rated | Not Rated | | | Process-QA |
| Network and Advisory sales | London | 17315 | Questionnaire Control | | Financial | | Joe Lee | USD | | Effective | Requires Improvement | Qualified | 17-Jan-14 | | process plan for test |
| | | 29919 | Q C | | Process | | Joe Lee | INR | 617,283,945,061,728,000,000 | Qualified | Effective | Qualified | 17-Jan-14 | | process for sox |
| | | 43893 | Control linked | | Financial | | Joe Lee | USD | | Not Rated | Not Rated | Not Rated | | | process for plan |
| | | 44877 | Test Control and Obl linkages | | Operational | | Joe Lee | USD | | Effective | Effective | Effective | 17-Jan-14 | | Process - Issues Exceeding estimated cost |
| | | 48890 | for control only | | Financial | | Joe Lee | USD | | Qualified | Effective | Qualified | 15-Jan-14 | | process for sox |
| | | 57891 | New Control Patch applied | Automated | Process | Transaction Capture, Execution and maintenance | Joe Lee | INR | 37,511,199,696,163,700,000 | Qualified | Requires Improvement | Requires Improvement | 16-Jan-14 | End User Computing Risks | Process - Overdue Actions |
| | | 58697 | New Questionnaire NN | Automated | Process | | Joe Lee | USD | | Requires Improvement | Qualified | Requires Improvement | 17-Jan-14 | | Process - Issues Exceeding estimated cost |
| | | 64692 | control linked to process2 | Manual | Regulation | Employee Relations | Joe Lee | USD | | Requires Improvement | Requires Improvement | Requires Improvement | 20-Jan-14 | | process for SOX |

**Figure 732. Control Details**

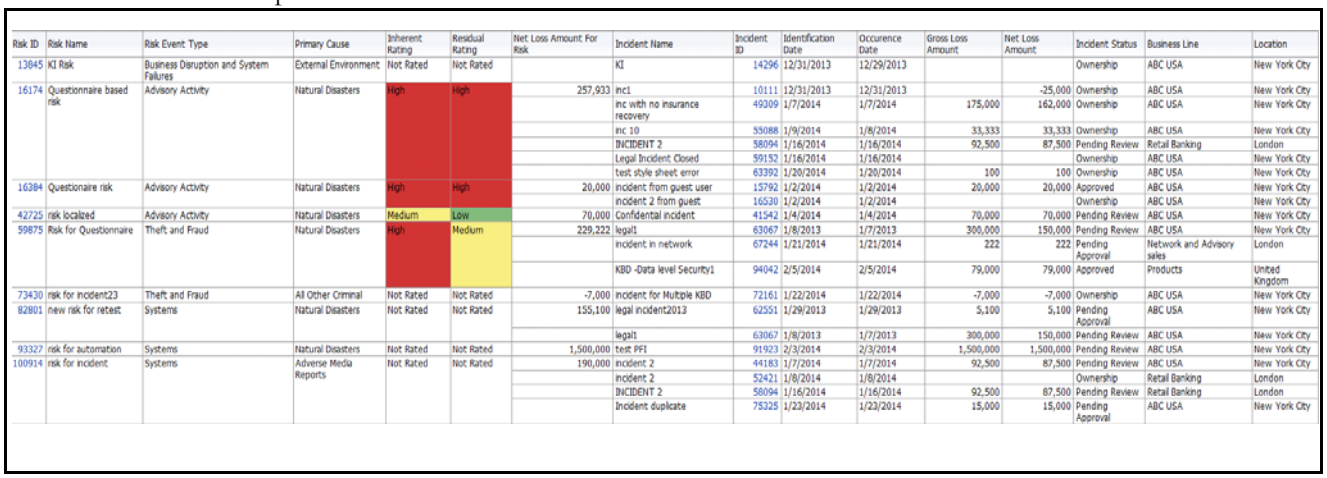
## Impacted Entities

This tab displays the following reports:

- *Risks Associated with Incidents*
- *Risks Associated with KI*
- *Risks Associated with Change Initiatives*
- *Compliance Risk*
- *Controls Associated with Incidents*
- *Controls Associated with Obligations*

### *Risks Associated with Incidents*

This report displays all the incidents linked to a risk. Only risks in open status and incidents (except in closed status) are considered in this report.



| Risk ID | Risk Name | Risk Event Type | Primary Cause | Inherent Rating | Residual Rating | Net Loss Amount For Risk | Incident Name | Incident ID | Identification Date | Occurence Date | Gross Loss Amount | Net Loss Amount | Incident Status | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13845 | KI Risk | Business Disruption and System Failures | External Environment | Not Rated | Not Rated | | KI | 14296 | 12/31/2013 | 12/29/2013 | | | Ownership | ABC USA | New York City |
| 16174 | Questionnaire based risk | Advisory Activity | Natural Disasters | High | High | 257,933 | inc1 | 10111 | 12/31/2013 | 12/31/2013 | | -25,000 | Ownership | ABC USA | New York City |
| | | | | | | | inc with no insurance recovery | 49309 | 1/7/2014 | 1/7/2014 | 175,000 | 162,000 | Ownership | ABC USA | New York City |
| | | | | | | | inc 10 | 55088 | 1/9/2014 | 1/8/2014 | 33,333 | 33,333 | Ownership | ABC USA | New York City |
| | | | | | | | INCIDENT 2 | 58094 | 1/16/2014 | 1/16/2014 | 92,500 | 87,500 | Pending Review | Retail Banking | London |
| | | | | | | | Legal Incident Closed | 59152 | 1/16/2014 | 1/16/2014 | | | Ownership | ABC USA | New York City |
| | | | | | | | test style sheet error | 63392 | 1/20/2014 | 1/20/2014 | 100 | 100 | Ownership | ABC USA | New York City |
| 16384 | Questionaire risk | Advisory Activity | Natural Disasters | High | High | 20,000 | incident from guest user | 15792 | 1/2/2014 | 1/2/2014 | 20,000 | 20,000 | Approved | ABC USA | New York City |
| | | | | | | | incident 2 from guest | 16530 | 1/2/2014 | 1/2/2014 | | | Ownership | ABC USA | New York City |
| 42725 | risk localized | Advisory Activity | Natural Disasters | Medium | Low | 70,000 | Confidential incident | 41542 | 1/4/2014 | 1/4/2014 | 70,000 | 70,000 | Pending Review | ABC USA | New York City |
| 59875 | Risk for Questionnaire | Theft and Fraud | Natural Disasters | High | Medium | 229,222 | legal1 | 63067 | 1/8/2013 | 1/7/2013 | 300,000 | 150,000 | Pending Review | ABC USA | New York City |
| | | | | | | | incident in network | 67244 | 1/21/2014 | 1/21/2014 | 222 | 222 | Pending Approval | Network and Advisory sales | London |
| | | | | | | | KBD -Data level Security1 | 94042 | 2/5/2014 | 2/5/2014 | 79,000 | 79,000 | Approved | Products | United Kingdom |
| 73430 | risk for incident23 | Theft and Fraud | All Other Criminal | Not Rated | Not Rated | -7,000 | incident for Multiple KBD | 72161 | 1/22/2014 | 1/22/2014 | -7,000 | -7,000 | Ownership | ABC USA | New York City |
| 82801 | new risk for retest | Systems | Natural Disasters | Not Rated | Not Rated | 155,100 | legal incident2013 | 62551 | 1/29/2013 | 1/29/2013 | 5,100 | 5,100 | Pending Approval | ABC USA | New York City |
| | | | | | | | legal1 | 63067 | 1/8/2013 | 1/7/2013 | 300,000 | 150,000 | Pending Review | ABC USA | New York City |
| 93327 | risk for automation | Systems | Natural Disasters | Not Rated | Not Rated | 1,500,000 | test PFI | 91923 | 2/3/2014 | 2/3/2014 | 1,500,000 | 1,500,000 | Pending Review | ABC USA | New York City |
| 100914 | risk for incident | Systems | Adverse Media Reports | Not Rated | Not Rated | 190,000 | incident 2 | 44183 | 1/7/2014 | 1/7/2014 | 92,500 | 87,500 | Pending Review | ABC USA | New York City |
| | | | | | | | incident 2 | 52421 | 1/8/2014 | 1/8/2014 | | | Ownership | Retail Banking | London |
| | | | | | | | INCIDENT 2 | 58094 | 1/16/2014 | 1/16/2014 | 92,500 | 87,500 | Pending Review | Retail Banking | London |
| | | | | | | | Incident duplicate | 75325 | 1/23/2014 | 1/23/2014 | 15,000 | 15,000 | Pending Approval | ABC USA | New York City |

**Figure 733. Risks Associated with Incidents**

By default, this report displays incidents that have occurred in the past 3 years from the current date. However, you can configure the default period.

In the report, the Inherent Risk Rating and Residual Risk Rating is derived from the latest completed risk assessment and the net loss amount is the sum of the net loss amount of all incidents linked to the risk.

This report displays few important attributes of risks and few attributes of linked incidents. Click on risk ID and incident ID in the report to view the risk details and incident details, respectively.

### *Risks Associated with KI*

This report displays all the KIs linked to a risk. Only risks and key indicators in open status are considered in this report.



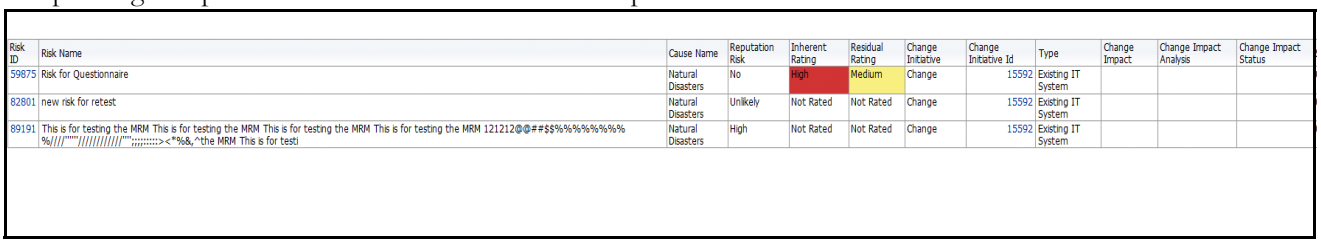
| Risk ID | Risk Name | Risk Event Type | Primary Cause | Reputation Risk | Inherent Rating | Residual Rating | Key Indicator Name | KI ID | predictive/lag | Latest Value | RAG Indicator |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 10009 | risk first record | Advisory Activity | Natural Disasters | High | Medium | High | for Controls ABC USA | 15689 | Predictive | | Not Rated |
| 13845 | KI Risk | Business Disruption and System Failures | External Environment | High | Not Rated | Not Rated | Red rating | 52370 | Predictive | 0.00 | Red |
| 15757 | Risk for Control | Advisory Activity | Action by Buyers | Very High | High | Medium | for Controls ABC USA | 15689 | Predictive | | Not Rated |
| 16174 | Questionnaire based risk | Advisory Activity | Natural Disasters | High | High | High | Red rating | 52370 | Predictive | 0.00 | Red |
| | | | | | | | for Controls ABC USA | 15689 | Predictive | | Not Rated |
| 16384 | Questionaire risk | Advisory Activity | Natural Disasters | Unlikely | High | High | Red rating | 52370 | Predictive | 0.00 | Red |
| | | | | | | | Test from Risk | 18388 | Predictive | 1.00 | Amber |
| 23515 | /***)KLHTVTJFIK%^&**acknowledging the message passed tab code error is displayed.sdgfsaq2354 3456$%^&*{}_{*& ^&[]Q acknowledging the message passed tab code error is displayed. acknowledging the messa | Advisory Activity | Natural Disasters | High | Not Rated | Not Rated | Red rating | 52370 | Predictive | 0.00 | Red |
| 42725 | risk localized | Advisory Activity | Natural Disasters | High | Medium | Low | Dummy | 10175 | Predictive | | Not Rated |
| | | | | | | | Red rating | 52370 | Predictive | 0.00 | Red |
| | | | | | | | Test from Risk | 18388 | Predictive | 1.00 | Amber |
| | | | | | | | kci for control with questionnaire | 29574 | Predictive | 0.00 | Green |
| 50531 | doc risk for manual | Theft and Fraud | Natural Disasters | High | Medium | High | Test from Risk | 18388 | Predictive | 1.00 | Amber |
| | | | | | | | kci for control with questionnaire | 29574 | Predictive | 0.00 | Green |
| 50640 | doc questionnaire risk | Advisory Activity | Natural Disasters | High | High | High | Dummy | 10175 | Predictive | | Not Rated |
| | | | | | | | Test from Risk | 18388 | Predictive | 1.00 | Amber |
| | | | | | | | for Controls ABC USA | 15689 | Predictive | | Not Rated |
| | | | | | | | kci for control with questionnaire | 29574 | Predictive | 0.00 | Green |
| 59875 | Risk for Questionnaire | Theft and Fraud | Natural Disasters | No | High | Medium | kci for control with questionnaire | 29574 | Predictive | 0.00 | Green |
| 73430 | risk for incident23 | Theft and Fraud | All Other Criminal | Possible | Not Rated | Not Rated | Test from Risk | 18388 | Predictive | 1.00 | Amber |
| 74237 | risk for test | Advisory Activity | Natural Disasters | High | Medium | Medium | Red rating | 52370 | Predictive | 0.00 | Red |
| | | | | | | | Test from Risk | 18388 | Predictive | 1.00 | Amber |
| | | | | | | | dfg | 89237 | Lag | 0.00 | Amber |
| | | | | | | | kci for control with questionnaire | 29574 | Predictive | 0.00 | Green |
| 93327 | risk for automation | Systems | Natural Disasters | High | Not Rated | Not Rated | Red rating | 52370 | Predictive | 0.00 | Red |

**Figure 734. Risks Associated with KI**

This report displays few important attributes of risks and few attributes of linked key indicators. Click on risk ID and key indicator ID in the report to view the risk details and key indicator details, respectively.

### *Risks Associated with Change Initiatives*

This report displays all the change initiatives linked to a risk. Only risks in open status and change initiatives in open and pending completion status are considered in this report.



| Risk ID | Risk Name | Cause Name | Reputation Risk | Inherent Rating | Residual Rating | Change Initiative | Change Initiative Id | Type | Change Impact | Change Impact Analysis | Change Impact Status |
|---|---|---|---|---|---|---|---|---|---|---|---|
| 59875 | Risk for Questionnaire | Natural Disasters | No | High | Medium | Change | 15592 | Existing IT System | | | |
| 82801 | new risk for retest | Natural Disasters | Unlikely | Not Rated | Not Rated | Change | 15592 | Existing IT System | | | |
| 89191 | This is for testing the MRM This is for testing the MRM This is for testing the MRM This is for testing the MRM 121212@@##$$%%%%%%%% %////""""////////////""";;;;;;;;;;><*%&,^the MRM This is for testi | Natural Disasters | High | Not Rated | Not Rated | Change | 15592 | Existing IT System | | | |

**Figure 735. Risks Associated with Change Initiatives**

This report displays few important attributes of risks and few attributes of linked change initiatives. Click on risk ID and change initiative ID in the report to view the risk details and change initiative details, respectively.

### *Compliance Risk*

This report displays all the regulations linked to a risk. This report displays all risks that are regulatory risks/compliance risks based on linked regulations.

Only risks in open status are considered in this report and latest completed risk assessments are considered in this report.

| Risk ID | Risk Name | Risk Event Type | Reputation Risk | Inherent Rating | Control Effectiveness | Residual Financial Impact | Residual Rating | Assessment Date | Regulation Name | Regulation ID | Compliance Type Name | Category | Regulator Name | Effective From |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 42725 | risk localized | Advisory Activity | High | Medium | Qualified | 22 | Low | 07-Jan-14 | Regulation 12345678900 | 11482 | Regulation | Liquidity Management | Regulator1 | 1/9/2014 |
| | | | | | | | | | policy 30 | 82766 | Policy | REPO/Rev REPO | | 1/30/2014 |
| | | | | | | | | | policy for linking obligation | 60140 | Policy | Retail Banking | | 1/17/2014 |
| 50531 | doc risk for manual | Theft and Fraud | High | Medium | Qualified | | High | 22-Jan-14 | Regulation 12345678900 | 11482 | Regulation | Liquidity Management | Regulator1 | 1/9/2014 |
| | | | | | | | | | long description | 46509 | Policy | | | 1/13/2014 |
| | | | | | | | | | policy c1 | 11917 | Policy | REPO/Rev REPO | | 12/31/2013 |
| | | | | | | | | | policy for linking obligation | 60140 | Policy | Retail Banking | | 1/17/2014 |
| | | | | | | | | | policy3 | 43362 | Policy | Asset lability Management | | 1/7/2014 |
| | | | | | | | | | regulation3 | 37543 | Regulation | Insurance | Regulator1 | 1/4/2014 |
| 50640 | doc questionnaire risk | Advisory Activity | High | High | Qualified | | High | 10-Feb-14 | Regulation 12345678900 | 11482 | Regulation | Liquidity Management | Regulator1 | 1/9/2014 |
| | | | | | | | | | policy 30 | 82766 | Policy | REPO/Rev REPO | | 1/30/2014 |
| | | | | | | | | | policy for linking obligation | 60140 | Policy | Retail Banking | | 1/17/2014 |
| 59875 | Risk for Questionnaire | Theft and Fraud | No | High | Qualified | 12 | Medium | 30-Jan-14 | Regulation 12345678900 | 11482 | Regulation | Liquidity Management | Regulator1 | 1/9/2014 |
| | | | | | | | | | policy 30 | 82766 | Policy | REPO/Rev REPO | | 1/30/2014 |
| | | | | | | | | | policy for linking obligation | 60140 | Policy | Retail Banking | | 1/17/2014 |
| 93327 | risk for automation | Systems | High | Not Rated | Not Rated | | Not Rated | | Regulation 12345678900 | 11482 | Regulation | Liquidity Management | Regulator1 | 1/9/2014 |
| | | | | | | | | | policy 30 | 82766 | Policy | REPO/Rev REPO | | 1/30/2014 |
| | | | | | | | | | policy for linking obligation | 60140 | Policy | Retail Banking | | 1/17/2014 |

**Figure 736. Compliance Risk**

This report displays few important attributes of risks and few attributes of linked key regulations. Click on the risk ID or the regulations ID to view the risk details and the regulation details, respectively.

### *Controls Associated with Incidents*

This report displays all the incidents linked to a control. Only controls in open status and incidents (except in closed status) are considered in this report.

| Control ID | Control Name | Control Category | DE Rating | OE Rating | Overall Rating | Assessment Date | Net Loss Amount for Control | Incident Name | Incident ID | Identification Date | Occurence Date | Gross Loss Amount | Net Loss Amount | Status | Business Line | Location |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12027 | control for plan | Financial | Qualified | Qualified | Qualified | 1/31/2014 | 952,600 | legal, compliance incident | 13601 | 12/31/2013 | 12/31/2013 | 560,000 | 560,000 | Closed | ABC USA | New York City |
| | | | | | | | | incident 2 | 14068 | 12/31/2013 | 12/31/2013 | 92,500 | 87,500 | Closed | ABC USA | New York City |
| | | | | | | | | legal1 | 63067 | 1/8/2013 | 1/7/2013 | 300,000 | 150,000 | Pending Review | ABC USA | New York City |
| | | | | | | | | test style sheet error | 63392 | 1/20/2014 | 1/20/2014 | 100 | 100 | Ownership | ABC USA | New York City |
| 12855 | KI controls | Operational | Qualified | Qualified | Qualified | 2/12/2014 | 92,600 | incident 2 | 14068 | 12/31/2013 | 12/31/2013 | 92,500 | 87,500 | Closed | ABC USA | New York City |
| | | | | | | | | test style sheet error | 63392 | 1/20/2014 | 1/20/2014 | 100 | 100 | Ownership | ABC USA | New York City |
| 15460 | with special characters | Process | Requires Improvement | Requires Improvement | Requires Improvement | 1/21/2014 | 92,500 | incident 2 | 14068 | 12/31/2013 | 12/31/2013 | 92,500 | 87,500 | Closed | ABC USA | New York City |
| 16304 | test plans | Operational | Qualified | Effective | Qualified | 1/30/2014 | 92,600 | incident 2 | 14068 | 12/31/2013 | 12/31/2013 | 92,500 | 87,500 | Closed | ABC USA | New York City |
| | | | | | | | | incident 2 from guest | 16530 | 1/2/2014 | 1/2/2014 | | | Ownership | ABC USA | New York City |
| | | | | | | | | test style sheet error | 63392 | 1/20/2014 | 1/20/2014 | 100 | 100 | Ownership | ABC USA | New York City |
| 20235 | control oe plan | Operational | Qualified | Qualified | Qualified | 1/10/2014 | 100 | test style sheet error | 63392 | 1/20/2014 | 1/20/2014 | 100 | 100 | Ownership | ABC USA | New York City |
| 42606 | TP# | Regulation | Requires Improvement | Qualified | Requires Improvement | 1/31/2014 | 17,100 | LOSSES BY IMPACT check | 62269 | 1/17/2014 | 1/17/2014 | 12,000 | 11,000 | Ownership | ABC USA | New York City |
| | | | | | | | | legal incident2013 | 62551 | 1/29/2013 | 1/29/2013 | 5,100 | 5,100 | Pending Approval | ABC USA | New York City |
| 44877 | Test Control and Obl linkages | Operational | Effective | Effective | Effective | 1/17/2014 | 100 | test style sheet error | 63392 | 1/20/2014 | 1/20/2014 | 100 | 100 | Ownership | ABC USA | New York City |

**Figure 737. Controls Associated with Incidents**

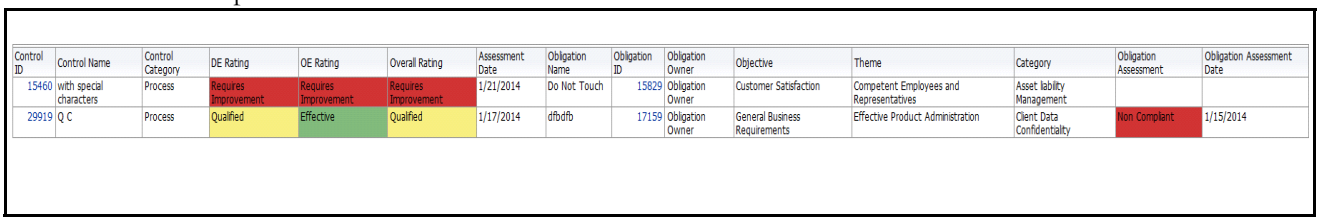
By default, this report displays incidents that have occurred in the past 3 years from the current date. However, you can configure the default period.

In the report, the Residual Risk Rating is derived from the latest completed control assessment and the net loss amount is the sum of the net loss amount of all incidents linked to the control.

Click on control ID and incident ID in the report to view the control details and incident details, respectively.

*Controls Associated with Obligations*

This report displays all the obligations linked to a control. Only controls and obligations in open status are considered in this report.



| Control ID | Control Name | Control Category | DE Rating | OE Rating | Overall Rating | Assessment Date | Obligation Name | Obligation ID | Obligation Owner | Objective | Theme | Category | Obligation Assessment | Obligation Assessment Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 15460 | with special characters | Process | Requires Improvement | Requires Improvement | Requires Improvement | 1/21/2014 | Do Not Touch | 15829 | Obligation Owner | Customer Satisfaction | Competent Employees and Representatives | Asset liability Management | | |
| 29919 | Q C | Process | Qualified | Effective | Qualified | 1/17/2014 | dfbdfb | 17159 | Obligation Owner | General Business Requirements | Effective Product Administration | Client Data Confidentialty | Non Compliant | 1/15/2014 |

**Figure 738. Controls Associated with Obligations**

By default, this report displays obligations that have occurred in the past 3 years from the current date. However, you can configure the default period.

In the report, the Inherent Risk Rating and Residual Risk Rating is derived from operating effectiveness and design effectiveness rating from the latest completed control assessment and the net loss amount is the sum of the net loss amount of all incidents linked to the control.

Click on control ID and obligation ID in the report to view the control details and obligation details, respectively.

## Scenarios

A scenario is defined as an outline, description, or model of a sequence of unexpected or adverse events. Scenarios vary according to the level of the organization at which they are researched and focused, but are generally made up of similar components. The scenarios are described using event types and may also include causal analysis, along with expected direct and indirect impacts. Internal data can be used to develop the body of the loss distribution and data generated from scenario analysis can be used to fill any gaps in this data. The input from scenario analysis aids the institution in identifying the level and trend of operational risk, determining the effectiveness of risk management and control efforts, highlighting opportunities to mitigate operational risk, and assessing operational risk on a forward-looking basis. Many financial organizations use scenario analysis in place of traditional forecasting and planning to evaluate the impact and likelihood of extreme but plausible risk events.

Defining which scenario applies to an organization involves identifying and recording the scenario, providing a description of the background, circumstances, and the methodology or approach followed.

For more information on module, refer to *Chapter 9, Managing Scenarios.*

The Scenarios Dashboard displays the reports based on the Scenario data available in the application. It can be filtered based on the following options:

- Business Line
- Location
- Risk Inventory
- Risk Event Type

The Scenarios Dashboard displays the following reports:

- *Financial Impacts by Business Line*
- *Non Financial Impact By Business Line*
- *Scenarios By Risk Inventory*
- *Scenarios by Risk Event Types*
- *Scenarios by Risk Category*
- *Scenarios Not Assessed*
- *Scenario Metrics*
- *Scenarios Associated with Risks*
- *Scenarios Associated with Incidents*

Following reports are additional reports:

- *Scenarios By Product*
- *Scenarios by Processes*
- *Obligations Associated with Scenarios*
- *Overdue Issues for Scenarios by Business Line*
- *Issues Exceeding Estimated Cost for Scenarios*
- *Overdue Actions for Scenarios by Business Line*
- *Actions Exceeding Estimated Cost for Scenarios by Business Line*

- *Scenario Details*

### Financial Impacts by Business Line

This report displays the number of scenarios created for each business line and location along with their latest financial impact rating. Only scenarios in open status and which are assessed are considered in this report.

Only latest submitted assessment ratings are considered in this report.

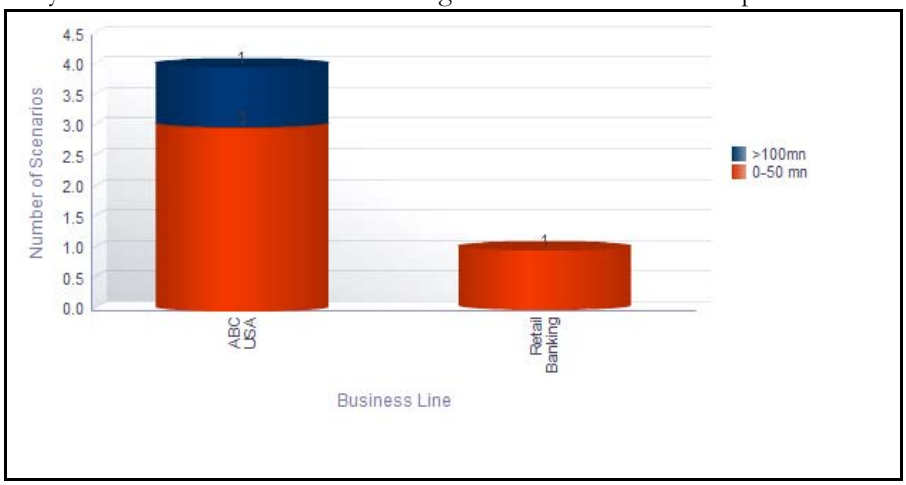



**Figure 739. Financial Impacts By Business Line**

The X axis of the report represents the business line and the Y axis represents the number of scenarios.

By default, this report displays the first level business line, and if required you can drill down to the last level.

Click on any of the business lines in the X axis to view the details of all the child levels. Click on any of the bars in the report to view the scenario financial impact details.

| Scenario Name | Business Line | Location | Currency | Total Financial Impact | Impact Type | Impact Cost | Assessment Date |
|---|---|---|---|---|---|---|---|
| TestJan1 | ABC USA | New York City | USD | 34 | Write Off | 34 | |
| Bug 17992191 | ABC USA | New York City | USD | 234 | Write Off | 234 | |
| | | | | 2000000000000 | Professional cost and Fees | 2000000000000 | |
| adasdadadasdadasdadad | ABC USA | New York City | USD | 345 | Professional cost and Fees | 345 | |

**Figure 740. Scenario Financial Impact Details**

### Non Financial Impact By Business Line

This report displays the net non-financial impact of scenarios by business line. Only scenarios in open status are considered in this report.

Only latest submitted assessment ratings are considered in this report.

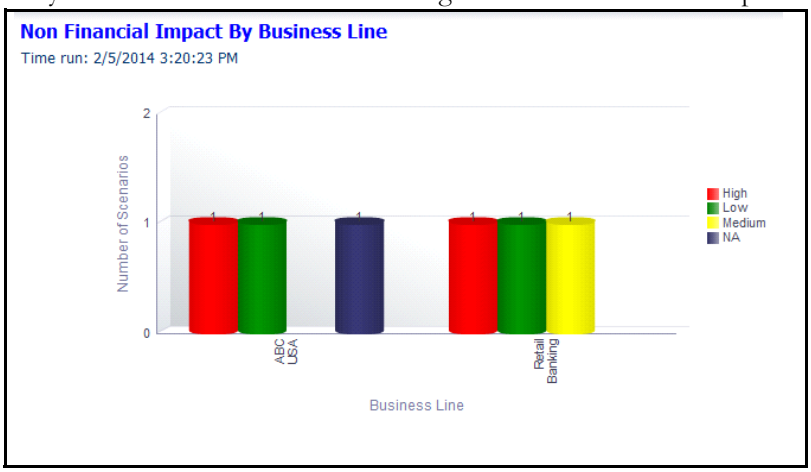



**Figure 741. Non Financial Impact By Business Line**

By default, the X axis represents the first level business line. If required, you can drill-down to the last level of business line and the Y axis represents the number of scenarios.

The net non financial impact is derived from the latest submitted scenario assessments for each business line.

Following is the color convention followed in each of the bars in the report.

The red color bar represents the overall non financial impact rating of the scenario as *High*.

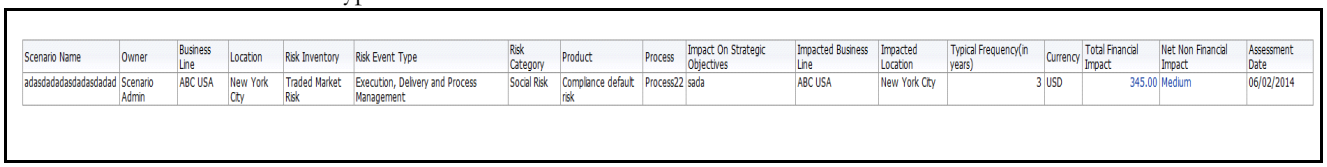
The amber color bar represents the overall non financial impact rating of the scenario as *Medium*.

The green color bar represents the overall non financial impact rating of the scenario as *Low*.

The blue color bar represents the overall non financial impact rating of the scenario as *NA,* that is, when there are no scenario assessments for the linked business line and location.

Click on the first level business lines in the X axis to view the details of all the child business lines.

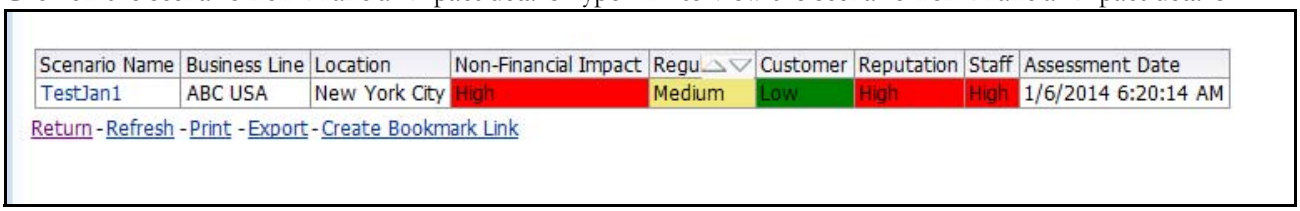
Clicking on any of the bars in the report displays the scenario details and the scenario non financial impact hyperlink. Click on the scenario details hyperlink to view the scenario details.



| Scenario Name | Owner | Business Line | Location | Risk Inventory | Risk Event Type | Risk Category | Product | Process | Impact On Strategic Objectives | Impacted Business Line | Impacted Location | Typical Frequency(in years) | Currency | Total Financial Impact | Net Non Financial Impact | Assessment Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| adasdadadasdadasdadad | Scenario Admin | ABC USA | New York City | Traded Market Risk | Execution, Delivery and Process Management | Social Risk | Compliance default risk | Process22 | sada | ABC USA | New York City | 3 | USD | 345.00 | Medium | 06/02/2014 |

**Figure 742. Scenario Details**

Click on the scenario non financial impact details hyperlink to view the scenario non financial impact details.



| Scenario Name | Business Line | Location | Non-Financial Impact | Regu | Customer | Reputation | Staff | Assessment Date |
|---|---|---|---|---|---|---|---|---|
| TestJan1 | ABC USA | New York City | High | Medium | Low | High | High | 1/6/2014 6:20:14 AM |

Return - Refresh - Print - Export - Create Bookmark Link

**Figure 743. Scenario Non Financial Impact Details**

These tabular reports display details of all the scenarios accounted for the calculation of Net Non-financial impact including the scenarios created for the parent and the child business lines.

### Scenarios By Risk Inventory

This report displays the total number of scenarios created for a risk inventory. Only scenarios in open status are considered in this report.

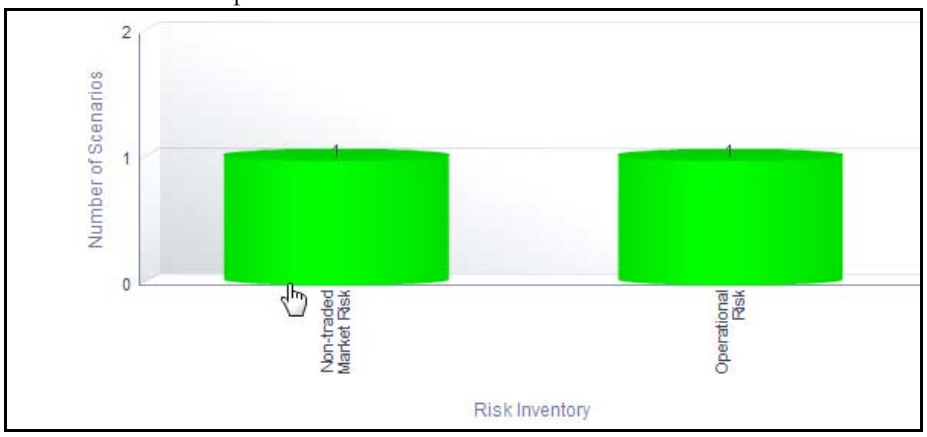



**Figure 744. Scenarios By Risk Inventory**

The X axis represents the risk inventory and the Y axis represents the number of scenarios.

Each of the bars in the report represents the total number of scenarios created for that risk inventory.

Click on any of the bars in the report to view the scenario details. The scenario details table displays all the details of the scenarios created for the selected risk inventory.

### Scenarios by Risk Event Types

This report displays the total number of scenarios created for a risk event type. Only scenarios in open status are considered in this report. By default, this report displays the first level risk event type. If required, you can drill down to the last level of risk event type.

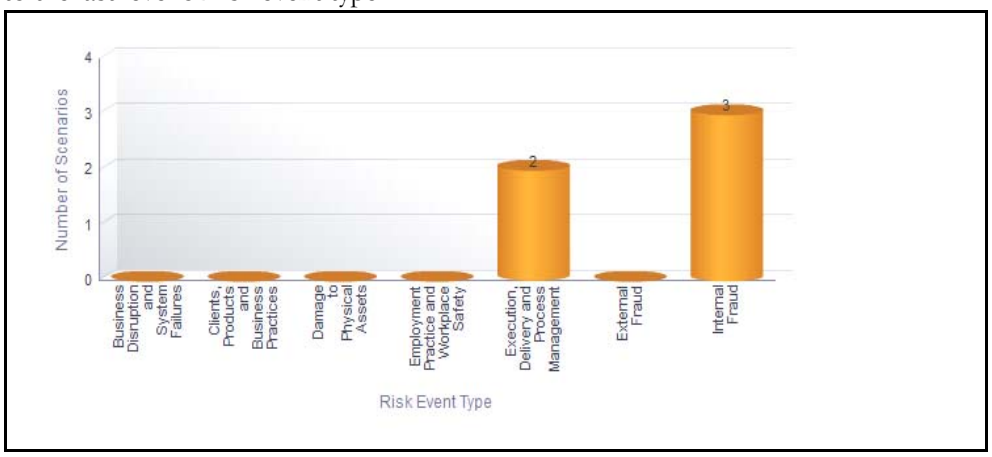



**Figure 745. Scenarios By Risk Event Type**

The X axis represents the risk event type and the Y axis represents the number of scenarios.

Each of the bars in the report represents the total number of scenarios created for the specific risk event type. The total number of scenarios for a risk event type includes the sum total of all the scenarios created for a risk event type including all its child levels.

Click on the first level risk event type in the X axis to view the details of all the scenarios created for each of the child risk event type.

Click on any of the bars in the report to view the scenario details.

### Scenarios by Risk Category

This report displays the total number of scenarios created for a risk category. Only scenarios in open status are considered in this report. By default, this report displays the first level risk category. If required, you can drill down to the last level.

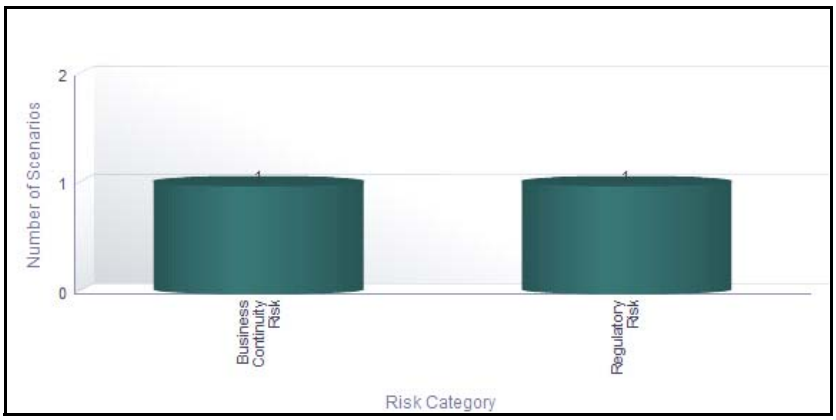



**Figure 746. Scenarios By Risk Category**

The X axis represents the risk category and the Y axis represents the number of scenarios.

Each of the bars in the report displays the total number of scenarios created for the specific risk category. The total number of scenarios for a risk category includes the sum total of all the scenarios created for a risk category including all its child levels.

Click on the first level risk category in the X axis to view the details of all the scenarios created for each of the child levels.

Click on any of the bars in the report to view the scenario details.

### Scenarios Not Assessed

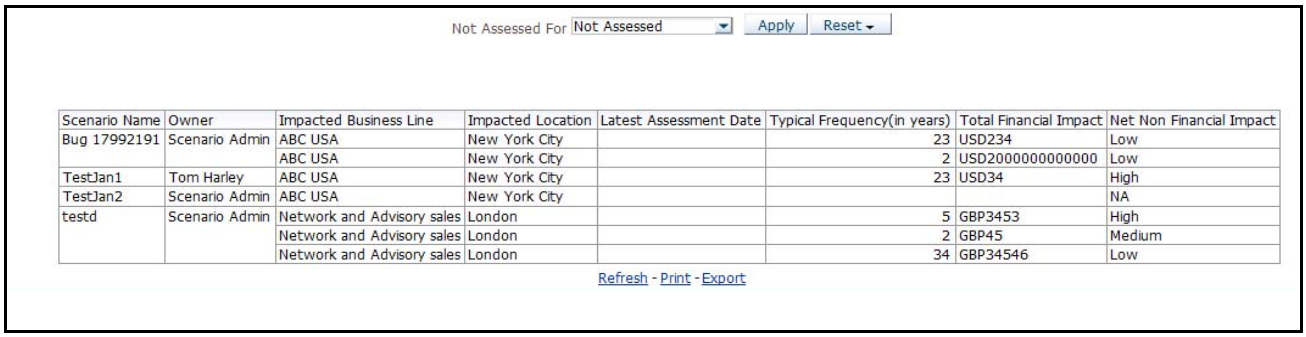
This report displays the details of the scenarios that are not assessed. Only latest submitted scenario assessment details are considered in this report.

The *not assessed for* drop-down option in the report allows you to choose the duration of scenario assessment. Based on the duration selected, the report displays the details of the scenario that have not been assessed for the selected period.

The not assessed for drop-down option displays the following filters:

- Not Assessed
- More than 6 months
- More than 1 year
- More than 2 years
- More than 3 years

By default, the not assessed for drop-down option is blank and does not display any data until a report filter is selected.

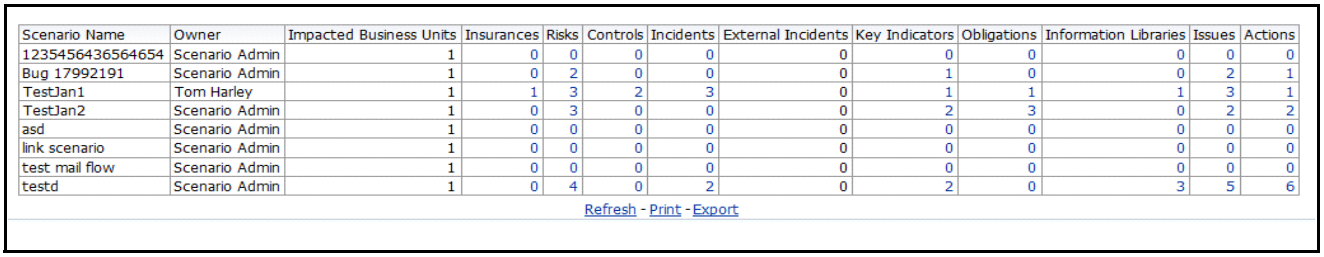



| Scenario Name | Owner | Impacted Business Line | Impacted Location | Latest Assessment Date | Typical Frequency(in years) | Total Financial Impact | Net Non Financial Impact |
|---|---|---|---|---|---|---|---|
| Bug 17992191 | Scenario Admin | ABC USA | New York City | | 23 | USD234 | Low |
| | | ABC USA | New York City | | 2 | USD2000000000000 | Low |
| TestJan1 | Tom Harley | ABC USA | New York City | | 23 | USD34 | High |
| TestJan2 | Scenario Admin | ABC USA | New York City | | | | NA |
| testd | Scenario Admin | Network and Advisory sales | London | | 5 | GBP3453 | High |
| | | Network and Advisory sales | London | | 2 | GBP45 | Medium |
| | | Network and Advisory sales | London | | 34 | GBP34546 | Low |

**Figure 747. Scenarios Not Assessed**

## Scenario Metrics

This report displays the count of entities like risks, controls, incidents, external incidents, information library, key indicators, obligations, BCPs, and insurance associated to the scenario.



| Scenario Name | Owner | Impacted Business Units | Insurances | Risks | Controls | Incidents | External Incidents | Key Indicators | Obligations | Information Libraries | Issues | Actions |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1235456436564654 | Scenario Admin | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Bug 17992191 | Scenario Admin | 1 | 0 | 2 | 0 | 0 | 0 | 1 | 0 | 0 | 2 | 1 |
| TestJan1 | Tom Harley | 1 | 1 | 3 | 2 | 3 | 0 | 1 | 1 | 1 | 3 | 1 |
| TestJan2 | Scenario Admin | 1 | 0 | 3 | 0 | 0 | 0 | 2 | 3 | 0 | 2 | 2 |
| asd | Scenario Admin | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| link scenario | Scenario Admin | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| test mail flow | Scenario Admin | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| testd | Scenario Admin | 1 | 0 | 4 | 0 | 2 | 0 | 2 | 0 | 3 | 5 | 6 |

Refresh - Print - Export

**Figure 748. Scenario Metrics**

The following table displays the status of the entities linked to the scenario.

**Table 278. Scenario Metrics**

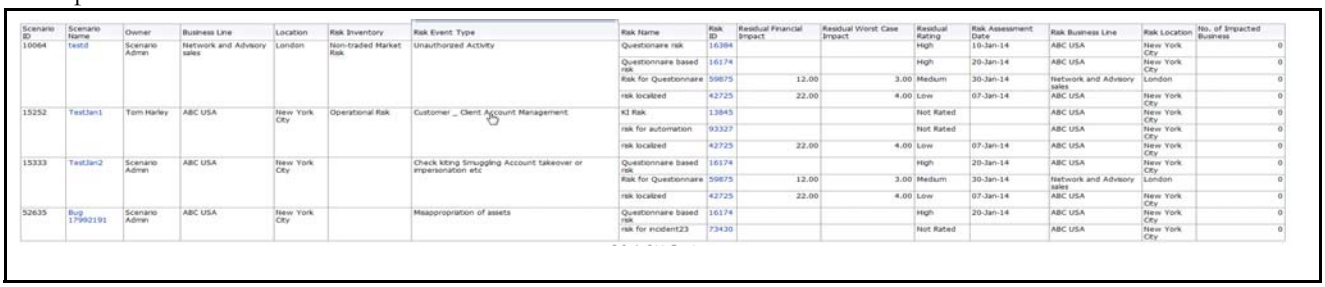
| Entity | Status |
|---|---|
| Impacted BUs | No Status |
| Risks | Open |
| Controls | Open |
| Incidents | All status except Closed |
| External Incidents | All status except Closed |
| Information library | Open |
| Key Indicators | Open |
| Obligations | Open |
| Business Continuity Plans | Only open and In-review status |
| Insurance | Open |

Click on the entity count in the report to view the entity details linked to the scenario.

**Note:** BCPs and Impacted BUs are displayed in the scenario metrics only if OFSGCM application is installed.

### Scenarios Associated with Risks

This report displays the count of risks linked to scenarios. Only scenarios and risks in open status are considered in this report.



| Scenario ID | Scenario Name | Owner | Business Line | Location | Risk Inventory | Risk Event Type | Risk Name | Risk ID | Residual Financial Impact | Residual Worst Case Impact | Residual Rating | Risk Assessment Date | Risk Business Line | Risk Location | No. of Impacted Business |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 10064 | testd | Scenario Admin | Network and Advisory sales | London | Non-traded Market Risk | Unauthorized Activity | Questionaire risk | 16384 | | | High | 10-Jan-14 | ABC USA | New York City | 0 |
| | | | | | | | Questionnaire based risk | 16174 | | | High | 20-Jan-14 | ABC USA | New York City | 0 |
| | | | | | | | Risk for Questionnaire | 59875 | 12.00 | 3.00 | Medium | 30-Jan-14 | Network and Advisory sales | London | 0 |
| | | | | | | | risk localized | 42725 | 22.00 | 4.00 | Low | 07-Jan-14 | ABC USA | New York City | 0 |
| 15252 | TestJan1 | Tom Harley | ABC USA | New York City | Operational Risk | Customer _ Client Account Management | KI Risk | 13845 | | | Not Rated | | ABC USA | New York City | 0 |
| | | | | | | | risk for automation | 93327 | | | Not Rated | | ABC USA | New York City | 0 |
| | | | | | | | risk localized | 42725 | 22.00 | 4.00 | Low | 07-Jan-14 | ABC USA | New York City | 0 |
| 15333 | TestJan2 | Scenario Admin | ABC USA | New York City | | Check kiting Smuggling Account takeover or impersonation etc | Questionnaire based risk | 16174 | | | High | 20-Jan-14 | ABC USA | New York City | 0 |
| | | | | | | | Risk for Questionnaire | 59875 | 12.00 | 3.00 | Medium | 30-Jan-14 | Network and Advisory sales | London | 0 |
| | | | | | | | risk localized | 42725 | 22.00 | 4.00 | Low | 07-Jan-14 | ABC USA | New York City | 0 |
| 52635 | Bug 17992191 | Scenario Admin | ABC USA | New York City | | Misappropriation of assets | Questionnaire based risk | 16174 | | | High | 20-Jan-14 | ABC USA | New York City | 0 |
| | | | | | | | risk for incident23 | 73430 | | | Not Rated | | ABC USA | New York City | 0 |

**Figure 749. Scenarios Associated with Risks**

The number of Impacted Business column in the report displays the count of business line and location combination associated to the scenario. This count is a hyperlink and to view the scenario details, you must click on this hyperlink.

Following is the color convention followed in the Residual rating column of the report:

The red color represents overall residual risk assessment rating as *High*.

The amber color represents overall residual risk assessment rating as *Medium*.

The green color represents overall residual risk assessment rating as *Low*.

Click on the scenario name and the risk name in the report to view the scenario details and the risk details, respectively.

### Scenarios Associated with Incidents

This report displays the count of incidents linked to scenarios. Only scenarios in open status and incidents in all status except closed are considered in this report.

The *Identified within* drop-down list in the report allows you to choose the duration during which the incidents were identified. Based on the duration selected, the report displays the details of the incidents that have been identified during that period.

The *Identified within* drop-down list displays the following filters:

- 1 year
- 3 years
- 5 years
- 10 years
- More than 10 years

When there is no option selected in the *Identified within* drop-down list, the report does not display any data.

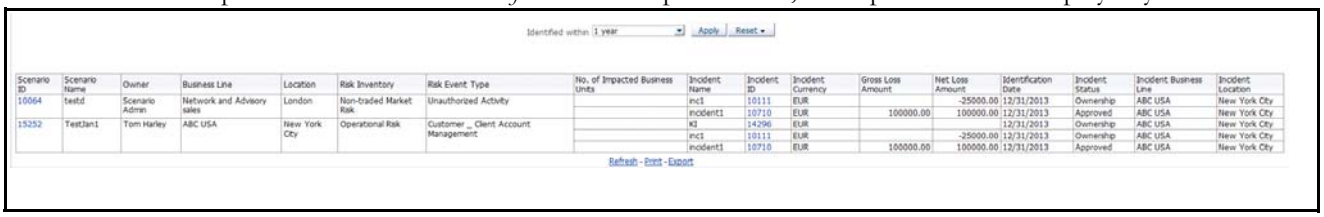



**Figure 750. Scenarios Associated with Incidents**

The total losses from incidents is the sum of gross loss amount of all the incidents linked to the scenario.

Following is the color convention followed in the Residual rating column of the report:

The red color represents overall residual risk assessment rating *High*.

The yellow color represents overall residual risk assessment rating *Medium*.

The green color represents overall residual risk assessment rating *Low*.

Click on the scenario name and the incident name to view the scenario details and the incident details, respectively.

### Scenarios By Product

This report displays the count of scenarios created for a product.By default, this report displays the first level products. If required, you can drill down to the last level.




**Figure 751. Scenarios By Products**

The X axis represents products and the Y axis represents the number of scenarios.

Each of the bars in the report displays the total number of scenarios created for the specific product.

Click on each of the products in the X axis to view the number of scenarios created for each of the product child levels.

Click on any of the bars in the report to view the scenario details. The scenario details table displays all the details of the scenarios created for the parent product and all its child levels.

### Scenarios by Processes

This report displays the count of scenarios created for a process. By default, this report displays the first level process. If required, you can drill down to the last level.




**Figure 752. Scenarios By Processes**

The X axis represents Processes and the Y axis represents the number of scenarios.

Each of the bars in the report displays the total number of scenarios created for the specific process.

Click on each of the processes in the X axis to view the number of scenarios created for each of the process child levels.

Click on any of the bars in the graph to view the scenario details. The scenario details table displays all the details of the scenarios created for the parent process and all its child levels.

## Obligations Associated with Scenarios

This report displays the count of obligations linked to scenarios. Only scenarios in open status are considered in this report.

| Scenario ID | Scenario Name | Owner | Business Line | Location | Risk Inventory | Risk Event Type | No. of Impacted Business | Obligation Name | Obligation ID | Objective | Theme | Risk Event Type | Legal Entity | Effective Date | Owner |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 15252 | TestJan1 | Tom Harley | ABC USA | New York City | Operational Risk | Customer _ Client Account Management | 0 | obligation for risk | 14812 | Customer Satisfaction | Effective Product Administration | Systems | Oracle Financial Services Software, Inc. | 12/31/2013 | Obligation Identifier |
| 15333 | TestJan2 | Scenario Admin | ABC USA | New York City | | Check kiting Smuggling Account takeover or impersonation etc | 0 | dfbdfb | 16533 | General Business Requirements | Effective Product Administration | Advisory Activity | Oracle Financial Services Software, Inc. | 1/2/2014 | Obligation Identifier |
| | | | | | | | 0 | obligation for plan | 34187 | | | Systems | | 1/3/2014 | Obligation Identifier |
| | | | | | | | 0 | obligation for risk | 14812 | Customer Satisfaction | Effective Product Administration | Systems | Oracle Financial Services Software, Inc. | 12/31/2013 | Obligation Identifier |
| 94406 | adasdadadasdadasdadad | Scenario Admin | ABC USA | New York City | Traded Market Risk | Execution, Delivery and Process Management | 0 | sdfsadfsadfsd(adfdf``~!@##%^#$%&$(%*(%^!#$%#%!@%&*()__+{}|":<>?,./;'[]\) | 53341 | | | Execution, Delivery and Process Management | | 1/9/2014 | Obligation Identifier |

**Figure 753. Obligations Associated with Scenarios**

Click on the scenario ID and the obligations ID in the report to view the scenario details and the obligations details.

| Obligation Name | Obligation ID | Objective | Theme | Category | Risk Event Type | Legal Entity | Effective Date | Owner | Review Cycle | No of Impacted Business Units | No of Regulation/Policies | No of Compliance Plans | Business Review Required |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| obligation for risk | 14812 | Customer Satisfaction | Effective Product Administration | Liquidity Management | Systems | Oracle Financial Services Software, Inc. | 12/31/2013 | Obligation Identifier | Half Yearly | 2 | 2 | 0 | Yes |

Return - Refresh - Print - Export - Create Bookmark Link

**Figure 754. Obligation Details**

### Overdue Issues for Scenarios by Business Line

This report displays details of all the manually created issues linked to scenarios. This report displays the total number of overdue issues and total number of open issues linked to scenarios by business line.




**Figure 755. Overdue Issues for Scenarios by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue issues.

Each of the bars in the report represents the total number of overdue issues and the total number of open issues created for each business line linked to scenarios.

Only manually generated issues are considered in this report. This report does not include auto-generated issues.

Click on each of the business lines in the X axis to view the number of overdue issues created for each of the business line and its child levels.

Click on the overdue issues bar in the report to view the overdue issue details.

| Issue | Criticality | Created Date | Target Completion Date | Days Overdue | Owner | Line of Business | Location | Entity Name | Module Count |
|---|---|---|---|---|---|---|---|---|---|
| Bug 17992191 | Not Rated | 1/10/2014 | | | Scenario Admin | ABC USA | All | Scenario | 1 |
| | | | | | | | NA | Scenario | 1 |
| | | | | | | | New York City | Scenario | 1 |
| | | | | | | | United States | Scenario | 1 |
| | | | | | | All | All | Scenario | 1 |
| | | | | | | | NA | Scenario | 1 |
| | | | | | | | New York City | Scenario | 1 |
| | | | | | | | United States | Scenario | 1 |
| Issue Exceeding - Process | High | 1/28/2014 | 1/28/2014 | 21 | Charles Philip | ABC USA | All | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |
| | | | | | | | | Scenario | 1 |
| | | | | | | | NA | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |
| | | | | | | | | Scenario | 1 |
| | | | | | | | New York City | Control Definition | 1 |
| | | | | | | | | Incident Management | 1 |
| | | | | | | | | Key Indicators | 1 |
| | | | | | | | | Obligation | 1 |
| | | | | | | | | Process | 1 |

**Figure 756. Overdue Issues Details**

Click on the count of issues bar in the report to view the open issue details. The issue details table displays all the details of open issues created for the parent business line and all its child levels.

| Issue Name | Issue Description | Criticality | Created Date | Target Completion Date | Currency | Issue Estimated Cost | Issue Actual Cost | Difference Amount | Count of Actions | Completed Actions | Owner | Business Line | Location | No. of Scenarios |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Bug 17992191 | asdf | Not Rated | 1/10/2014 | | USD | | | | 1 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | EUR | 15,000 | 25,000 | 10,000 | 1 | 0 | Charles Philp | ABC USA | New York City | 1 |
| Issue30.01 | Issue30.01 | High | 1/30/2014 | 1/30/2014 | EUR | 33,333 | | | 0 | 0 | Incident Owner | ABC USA | New York City | 1 |
| Overdue Issues - Process | | Medium | 1/3/2014 | 1/4/2014 | EUR | 18,000 | 18,500 | 500 | 1 | 0 | Process Owner | Network and Advisory sales | London | 1 |
| Test old issue | sdas | Medium | 1/2/2014 | 1/4/2014 | INR | 10,000 | | | 2 | 0 | Tom Harley | ABC USA | New York City | 1 |
| TestJan1 | TestJan1 | Not Rated | 1/6/2014 | | USD | | | | 1 | 0 | Tom Harley | ABC USA | New York City | 1 |
| TestJan2 | TestJan2 | Not Rated | 1/3/2014 | | USD | | | | 2 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| adasdadadasdadasdadad | asda | Not Rated | 2/6/2014 | | USD | | | | 1 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| asdsa | sdfa | Medium | 12/31/2013 | 1/30/2014 | INR | 2,234,234 | 0 | -2,234,234 | 2 | 0 | Tom Harley | ABC USA | New York City | 1 |
| dfbdfbdfbdf | bdfbdfb | Medium | 1/30/2014 | 1/31/2014 | INR | 456 | | | 0 | 0 | Obligation Owner | Network and Advisory sales | London | 1 |
| overdue 1 | | Medium | 1/3/2014 | 1/3/2014 | INR | 2,000 | | | 0 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| overdue issue 2 | | High | 1/3/2014 | 1/3/2014 | CAD | 34,556,788 | | | 0 | 0 | Scenario Admin | Network and Advisory sales | London | 1 |
| sf | sfsf | Medium | 2/6/2014 | 2/6/2014 | GBP | 252 | | | 0 | 0 | Scenario Admin | Network and Advisory sales | London | 1 |
| testd | ddf | Not Rated | 1/3/2014 | | USD | | | | 1 | 0 | Tom Harley | Network and Advisory sales | London | 1 |

**Figure 757. Open Issue Details**

### Issues Exceeding Estimated Cost for Scenarios

This report displays the total number of Issues linked to scenarios where the actual issue cost is more than the estimated cost by Business Line. Only issues in open status are considered in this report.

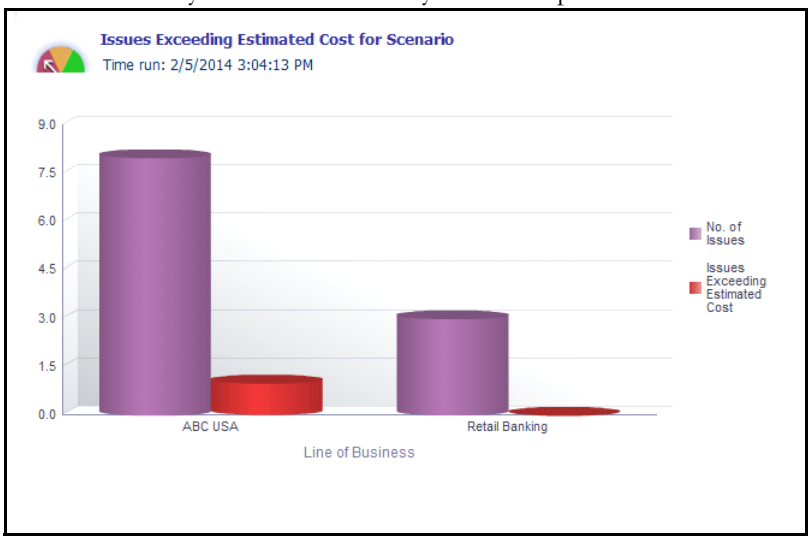



**Figure 758. Issues Exceeding Estimated Cost for Scenarios**

The X axis represents the business line and the Y axis represents the number of issues.

Each of the bars in the report represents the total number of issues exceeding estimated count and the total number of issues created for each business line linked to scenarios.

Click on each of the business lines in the X axis to view the issues exceeding estimated count and the number of open issues for each of the business line and its child levels.

Click on the issues exceeding estimated cost bar in the report to view the issue details.

| Issue Name | Issue Description | Criticality | Created Date | Target Completion Date | Currency | Issue Estimated Cost | Issue Actual Cost | Difference Amount | Owner | Business Line | Location | No. of Scenarios |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | EUR | 15,000 | 25,000 | 10,000 | Charles Philip | ABC USA | New York City | 1 |

**Figure 759. Issues Exceeding Estimated Cost**

Click on the number of issues bar in the report to view the issue details. The issue details table displays all the details of the issues created for the parent business line and all its child levels.

| Issue Name | Issue Description | Criticality | Created Date | Target Completion Date | Currency | Issue Estimated Cost | Issue Actual Cost | Difference Amount | Count of Actions | Completed Actions | Owner | Business Line | Location | No. of Scenarios |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Bug 17992191 | asdf | Not Rated | 1/10/2014 | | USD | | | | 1 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| Issue Exceeding - Process | yhujk | High | 1/28/2014 | 1/28/2014 | EUR | 15,000 | 25,000 | 10,000 | 1 | 0 | Charles Philip | ABC USA | New York City | 1 |
| Issue30.01 | Issue30.01 | High | 1/30/2014 | 1/30/2014 | EUR | 33,333 | | | 0 | 0 | Incident Owner | ABC USA | New York City | 1 |
| Test old issue | sdas | Medium | 1/2/2014 | 1/4/2014 | INR | 10,000 | | | 2 | 0 | Tom Harley | ABC USA | New York City | 1 |
| TestJan1 | TestJan1 | Not Rated | 1/6/2014 | | USD | | | | 1 | 0 | Tom Harley | ABC USA | New York City | 1 |
| TestJan2 | TestJan2 | Not Rated | 1/3/2014 | | USD | | | | 2 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| adasdadadasdadasdadad | asda | Not Rated | 2/6/2014 | | USD | | | | 1 | 0 | Scenario Admin | ABC USA | New York City | 1 |
| asdsa | sdfa | Medium | 12/31/2013 | 1/30/2014 | INR | 2,234,234 | 0 | -2,234,234 | 2 | 0 | Tom Harley | ABC USA | New York City | 1 |
| overdue 1 | | Medium | 1/3/2014 | 1/3/2014 | INR | 2,000 | | | 0 | 0 | Scenario Admin | ABC USA | New York City | 1 |

**Figure 760. Issue Details**

### Overdue Actions for Scenarios by Business Line

This report displays the total number of overdue actions and the total number of open actions linked to scenarios by business line.

An Action is overdue if its target completion date is passed, that is, if the current system date is greater than the target date of the action.




**Figure 761. Overdue Actions for Scenarios by Business Line**

The X axis represents the business line and the Y axis represent the number of overdue actions.

Each of the bars in the report represents the total number of overdue actions and the total number of open actions created for each business line linked to scenarios.

This report displays all the actions linked to scenarios irrespective of whether the issue is created manually or automatically.

Click on each of the business lines in the X axis to view the number of overdue actions created for each of the business line and its child levels.

Click on the overdue actions bar in the report to view the overdue action details.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Days Overdue | Currency | Estimated Cost | Actual Cost | Owner | Business Line | Location | No. of Scenarios |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Overdue Action- Process | | 1/3/2014 | 1/4/2014 | | 45 | EUR | 20,000.00 | 19,000.00 | Process Owner | Network and Advisory sales | London | 1 |
| asdasdasdad | | 2/6/2014 | 2/6/2014 | | 12 | CNY | 22,323.00 | | Scenario Admin | Network and Advisory sales | London | 1 |
| rtry546756 | | 1/3/2014 | 1/3/2014 | | 46 | AUD | 34.00 | | Tom Harley | ID and SB | Accra | 1 |
| swsw | | 1/6/2014 | 1/6/2014 | | 43 | INR | 2,345.00 | | Tom Harley | Distribution | Accra | 1 |

**Figure 762. Overdue Actions By Business Line**

Click on the count of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Currency | Estimated Cost | Actual Cost | Owner | Line of Business | Location | Status | No. of Scenarios |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| asds | | 1/3/2014 | 1/31/2014 | | INR | 2,345,000.00 | | Scenario Admin | ABC USA | New York City | Open | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | EUR | 15,000.00 | 16,000.00 | Process Owner | ABC USA | New York City | Open | 1 |
| overdue action 1 | | 1/3/2014 | 1/3/2014 | | INR | 444.00 | 55,555.00 | Tom Harley | ABC USA | New York City | Open | 1 |
| test | | 1/10/2014 | 1/24/2014 | | INR | 1,234.00 | | Scenario Admin | ABC USA | New York City | Open | 1 |

**Figure 763. Action Details**

### Actions Exceeding Estimated Cost for Scenarios by Business Line

This report displays the total number of actions linked to scenarios where the actual cost is more than the estimated cost by Business Line. Only actions in open status are considered in this report.

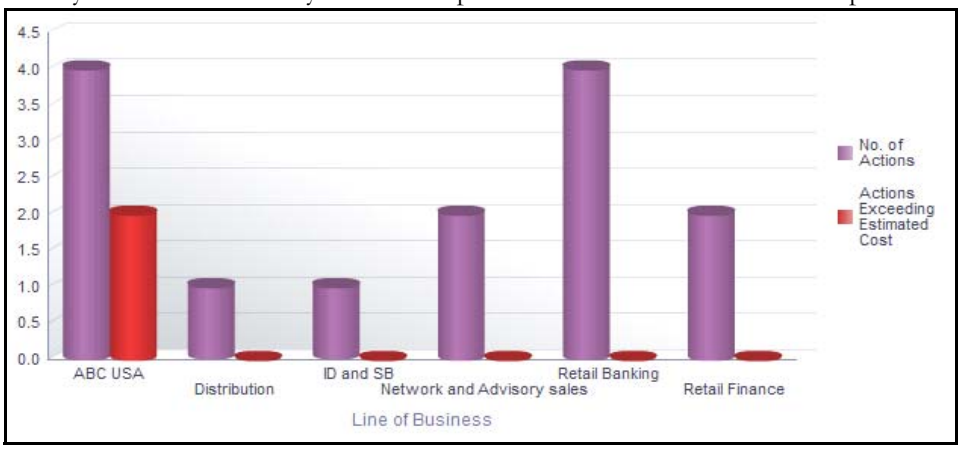



**Figure 764. Actions Exceeding Estimated Cost for Scenarios**

The X axis represents the business line and the Y axis represents the number of actions.

Each of the bars in the report represents the total number of actions exceeding estimated count and the total number of actions created for each business line linked to scenarios.

Click on each of the business lines in the X axis to view the actions exceeding estimated count and the number of open actions for each of the business line and its child levels.

Click on the actions exceeding estimated cost bar in the report to view the action details.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Estimated Cost | Actual Cost | Difference | Owner | Business Line | Location | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|---|
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 15,000.00 | 16,000.00 | 1,000.00 | Process Owner | ABC USA | New York City | 1 |
| overdue action 1 | | 1/3/2014 | 1/3/2014 | | 444.00 | 55,555.00 | 55,111.00 | Tom Harley | ABC USA | New York City | 1 |

**Figure 765. Actions Exceeding Estimated Cost**

Click on the number of actions bar in the report to view the action details. The action details table displays all the details of the actions created for the parent business line and all its child levels.

| Action | Action Description | Date of Creation | Target Completion Date | Percentage Completion | Actual Cost | Owner | Line of Business | Location | Status | Module Count |
|---|---|---|---|---|---|---|---|---|---|---|
| asds | | 1/3/2014 | 1/31/2014 | | | Scenario Admin | ABC USA | New York City | Open | 1 |
| exceeding cost-process | | 1/3/2014 | 1/4/2014 | | 16,000.00 | Process Owner | ABC USA | New York City | Open | 1 |
| overdue action 1 | | 1/3/2014 | 1/3/2014 | | 55,555.00 | Tom Harley | ABC USA | New York City | Open | 1 |
| test | | 1/10/2014 | 1/24/2014 | | | Scenario Admin | ABC USA | New York City | Open | 1 |

Return - Refresh - Print - Export - Create Bookmark Link

**Figure 766. Action Details**

## Scenario Details

This report displays the details of the scenario such as scenario owner, business line, location, risk inventory, risk category, financial impact, and so on.

Only scenarios in open status are considered in this report.

| Scenario Name | Owner | Business Line | Location | Risk Inventory | Risk Event Type | Risk Category | Product | Process | Impact On Strategic Objectives | Total Financial Impact | Net Non Financial Impact | Assessment Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Bug 17992191 | Scenario Admin | ABC USA | New York City | | Misappropriation of assets | | | Process-QA | sdf | 234.00 | Low | 09/01/2014 |
| | | | | | | | | | | 2000000000000.00 | Low | 21/01/2014 |
| TestJan1 | Tom Harley | ABC USA | New York City | Operational Risk | Customer _ Client Account Management | Technology Risks | Credit Cards | All | TestJan1 | 34.00 | High | 06/01/2014 |
| TestJan2 | Scenario Admin | ABC USA | New York City | | Check kiting Smuggling Account takeover or impersonation etc | | | | | | NA | |
| adasdadadasdadasdadad | Scenario Admin | ABC USA | New York City | Traded Market Risk | Execution, Delivery and Process Management | Social Risk | Compliance default risk | Process22 | sada | 345.00 | Medium | 06/02/2014 |
| testd | Scenario Admin | Network and Advisory sales | London | Non-traded Market Risk | Unauthorized Activity | Facilities and Infrastructure Risk | Compliance default risk | All | dgvsd | 45.00 | Medium | 02/01/2014 |
| | | | | | | | | | | 3453.00 | High | 31/12/2013 |
| | | | | | | | | | | 34546.00 | Low | 21/01/2014 |

**Figure 767. Scenario Details**

Click on the total financial impact hyperlink to view the scenario financial impact details. Click on the net non financial impact hyperlink to view the scenario non financial impact details.

# CHAPTER 24 Managing Extensibility and Adaptability

This chapter provides detail information about Extensibility and Adaptability.

This chapter discusses the following topics:

- About Extensibility and Adaptability
- Performing Extensibility and Adaptability

## About Extensibility and Adaptability

It is possible to extend the existing user interface components, as well as adapt the user interface components to the required look and feel, without the need of undertaking customization as an implementation task. This is done, by making the changes using Forms Manager.

This section covers following topics:

- Extensibility
- Adaptability

### Extensibility

Extensibility is the feature of extending the current application's functionality to provide additional features by using the extensibility framework provided by the application.

Typical instances of extensibility include,

- Creating a new data entry form (Forms Manager - create a new form, container, frame, control, masking, menu)
- Capturing additional attributes in an existing data entry form. (Forms Manager - add a new control).
- Persisting this attribute value in the database for further processing, querying, and reporting. (Data model - additional user definable fields or columns).
- Using the above attribute in a search for that object. (Forms Manager - add search criteria).
- Displaying that attribute in a report. (OBIEE and Data Model)
- Asking for approval, if the additional attribute value has a value above a threshold. (Workflow Manager)
- Granting or revoking access for a user role to a particular attribute in a form. (Forms Manager - masking).

## Adaptability

Adaptability is the feature of changing the look and feel of a user interface component, like changing the color or adding a border, of an existing form to adapt to your required needs, change the position of fields, style related changes, changing the labels to make it more meaningful, changing the width of the field, and so on. Adaptability can be due to aesthetic reasons or for complying to your organizational user interface style related standards.
The options available for adaptability include.

- Changing layout template
- Changing style (background color, border, text color, font)
- Changing labels
- Changing position of fields
- Displaying / hiding fields
- Making fields mandatory or non-mandatory
- Changing field width, label length
- Changing logos, branding, images

Layout Template is used to define the layout of the standard template that can be used as the framework to create different screens in the application. Details of the frames and Java Server Pages (JSP) to be available in the template can be configured. These templates can be chosen while configuring different screens of the application to maintain standard look and feel throughout. There are individual styles that can be applied to individual components like containers.
For example, a Group Style is defined for a Container. Following are two different group styles for the grid container.




**Figure 768. Grid Example 1**



| ID | Name | Parent Process | Owner | Attestation | Last Attested | Last Assessment Rating | Last Assessment | Status | Last Modified |
|---|---|---|---|---|---|---|---|---|---|
| 81307004 | 9789 | dfgdfg | Process Owner | No | | | | Open | 30-Jan-2013 |
| 81312744 | fdgdfgdfg | 12123131 | Process Creator | No | | | | Open | 30-Jan-2013 |
| 81328634 | dfgdfgdfg | Entering 'BE as of Date' is ... | Tom Harley | No | | | | Draft | 29-Jan-2013 |
| 81328634 | dfgdfgdfg | Entering 'BE as of Date' is ... | Tom Harley | No | | | | Draft | 29-Jan-2013 |
| 81312664 | 12123131 | | Process Creator | No | | Medium | 31-Jan-2013 | Open | 24-Jan-2013 |
| 81313341 | Entering 'BE as of Date' is ... | 12123131 | Tom Harley | No | | Medium | 24-Jan-2013 | Open | 24-Jan-2013 |
| 81312859 | dfgdfg | fdgdfgdfg | Process Owner | No | | Medium | 22-Jan-2013 | Open | 22-Jan-2013 |
| 81312511 | 1234 | | Process Creator | Yes | | | | Open | 22-Jan-2013 |
| 81307013 | 1209 | | Tom Harley | No | | | | Open | 21-Jan-2013 |
| 81295216 | 22 | | Process Owner | No | | | | Open | 16-Jan-2013 |
| 81290817 | 98989 | | Process Owner | No | | | | Open | 11-Jan-2013 |
| 81290606 | fxzv888 | | Process Owner | No | | | | Draft | 11-Jan-2013 |
| 81254389 | dddddd | | Workflow Business User | Yes | 10-Jan-2013 | | | Open | 09-Jan-2013 |
| 81262125 | bvxcbvcb | | Tom Harley | No | | | | Open | 02-Jan-2013 |
| 81260132 | 3252423342sddsdsdsdsds | | Central admin | No | | | | Open | 31-Dec-2012 |
| 81260091 | dhfghfgh | | Process Owner | No | | | | Open | 31-Dec-2012 |
| 81259799 | 325 | | Tom Harley | No | | | | Open | 31-Dec-2012 |
| 81259779 | wer | | Tom Harley | No | | | | Open | 31-Dec-2012 |

**Figure 769. Grid Example 2**

## *Performing Extensibility and Adaptability*

This section explains how to perform extensibility and adaptability.

For more information on the process of performing extensibility and adaptability, refer the *Oracle Financial Services Forms Manager 1.0 user guide*.