GRC Cloud 8.2

Help

GRC Cloud

See the Table of Contents to the left to navigate GRC Cloud Help.

Contents

GRC Cloud Editions

GRC Cloud supports two editions of the software to help your organization customize the level of features / functionality and services required to obtain the maximum value possible from the product.

Quick Overview

Professional	Enterprise
Custom Objects	Custom Objects
Workflow	Workflow
In- Application Reporting	In- Application Reporting
-	Data Warehouse
-	Advanced Reporting – Crystal, Tableau, Excel
-	Training Site
-	Beta Program Access
-	Additional Storage

If you would like to learn more about GRC Cloud Editions, please contact us or visit Resolver.com.

Main Components of the Enterprise Edition

Advanced Reporting and Analytic's - GRC Cloud's Enterprise Edition will give you direct access to your data!
You will be able to directly query your data using any standard application to build custom reports and dashboards.
Users of the systems will be able to build custom reports, dashboards, analytic's directly in GRC Cloud.
Bring your data to life, these read-only data warehouse will be updated daily!

Custom Visualization – GRC Cloud dashboards can be contextualized so that a single dashboard can be reused by many users with their own data.

Custom Reporting – Reports can be shared with any user and provide stunning,pixel perfect, paged reports across all GRC Cloud data. Reports are contextualized so a single report can be reused by many users with

their own data.

Microsoft Office Connections – Connect Microsoft Office directly to the GRC Cloud data warehouse. Automatically refresh the data when you open the file or as you specify.

Additional Storage – Enterprise Clients are entitled to twice as much storage as professional clients.

To obtain your current edition, please click on the About menu option located under the Tools Menu > Help.

GRC Cloud Menu

Administrative
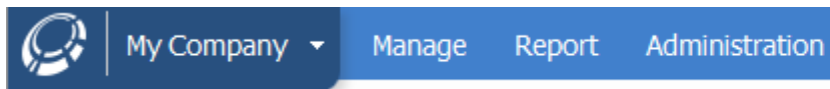
Non Administrative Menu

Manage

Once Administrators have configured the information in the Administration area, users complete evaluations they have been assigned and carry out testing and remediation activities in the Manage area. This is done in the Manage by Location or Manage by Scoping Item area.

Report

Reports can be generated on any items in the system in a number of different formats. Reports vary by purpose, design and detail level. Reports are highly configurable in terms of filtering and content inclusion/exclusion.

Administration

All tools needed to administrate the system can be found under this menu header:

- Criteria

- Item Templates

- Frameworks

- GRC Programs

- Users / Groups

- Roles

- System Settings

- Period End

Tools

This area is for functionality that is used less frequent than any other area of the application

Key areas include:

- Setting personal users' profiles

- Timesheets

- File management

- Reviewing queued reports and other requests

- Setting of Challenge Questions (Security)

- Offline Assessments

- Audit Trail

- Help Documentation

User Community

The Resolver User Community was launched mid-way through the 6.1 release. The User Community can be accessed via the Cloud System menu. Articles, best practices and informative discussions surrounding GRC practices are all available within the community.

The first time it's accessed via Cloud, it will auto-create a user using their Cloud credentials.

- Username and password will be used to access the community

http://community.resolvergrc.com

Browser Support

The better the browser, the better the experience! Although GRC Cloud supports later versions of Internet Explorer, it is strongly recommended to use the latest version of the browsers listed below. Use of legacy browsers will result in performance degradation and may not support all features available in GRC Cloud (see additional notes).

To get the best GRC Cloud experience possible, we strongly recommend using the best browser available to your organization.

Supported Browsers

Browsers	Experience	Functionality
Google Chrome (latest version)		
Mozilla Firefox (latest version)		
Internet Explorer 11		
Internet Explorer 10		
Internet Explorer 9		
Apple Safari (OSX)		
Internet Explorer 8		

- Recommended and fully supported
- Recommended (small user base)
- Experience sub optimal
- Significant Limitations

Additional Notes

1. Support for **Internet Explorer 7** has been dropped with the release of **7.0**.

2. Support of features introduced in future release are not guaranteed in legacy browsers.

3. List of Features not supported or experience performance degradation in **Internet Explorer 8**:
    - Administrative Angular Pages: Manage Analytics and GRC Programs.

    - Spreadsheet Criteria experience severe performance degradation.

    - Report load times experience severe performance degradation.

    - View Item page loads experience severe performance degradation.

Frameworks

The information stored in GRC Cloud is organized by Frameworks. There are three Framework types and each is used to build out various types if relationship between items in the system.

Types of Frame-work:	Use:
Framework Library	Used to create the structure reflecting your Governance, Risk and Compliance hierarchies. The Framework Library lets you create multiple customized frameworks. Once these frameworks exist, you will attach applicable portions of them to your Location Framework and Account Framework. You can build a Framework Library from pre-built framework templates such as COSO and COBIT. These custom or pre-built frameworks are the foundation for all other work performed within the system.
Org/Location Framework	Used for developing your Organizational Structure, including regional or functional areas. Items in the system cannot be evaluated until they have been assigned to a location.
Scoping Item Framework	Used for linking your Risk and Control hierarchies to your scoping system, providing an alternate view of the data and a structure for placing items in to, or out of, scope.

Understanding Roles and Permissions

GRC Cloud's granular permission set and Role-based approach to permissions has a variety of benefits, including:

- Enables more efficient creation of sets of permissions that can be applied to multiple users and then edited for multiple users later if required.

- Enables any criteria within an item to be editable, readable or hidden for members of a specific role

- Different users can see and edit different criteria within the same item

- Enables users to occupy different roles within different parts of the framework. For instance if an individual has responsibility for testing controls *and* overseeing the work of other control testers, he/she can be member of one role (Control Tester) for some items and another role (Control Test Supervisor) for others, which would have different permissions.

For information on steps to building out Roles and Permissions, see Setting up Roles and Permissions in Role Builder.

Roles

In GRC Cloud, a Role is not a collection of users with similar responsibilities. Instead, a Role is a set of common permissions for one or more item types or sub-types. A Role is then applied to a specific item in the location framework or scoping item framework, and then a specific user (or users) is chosen to occupy the Role for that item.

Therefore there are three elements to setting up permissions for a user and an item.

1. A Role is created and its permissions for various item types are defined

2. The Role is applied to items

3. Users are applied as role members for the items

Step 1 is performed in a Role Editor where new Roles can be created and assigned to different item types and then in turn to different fields for the various item types.

Example: At Company X, a Control Test Supervisor may require the following permissions

- *Location: Read name of location ONLY*

- *Folders: (e.g. Processes, Sub-processes and Cycles). Read the name and description of these items.*

- *Risk: Read all risk criteria, including name, description, impact, likelihood etc.*

- *Test: Read name and description of test, edit comments and notes and description of test procedure. Also able to add Test Results, Issues and add attached files.*

- *Test Results: Read and Edit all fields.*

- *Issues: Read and Edit all fields. Manipulate permissions for Issue so it can assigned to a co-worker.*

All the capabilities listed above could be saved in one Role called Control Test Supervisor.

Steps 2 and 3 are typically combined into one action called Permission Membership. In these steps, items in the Location Framework or Scoping Framework are selected and the role and user applied to that item. This can be done in one of two ways:

- In Role Editor, a Role can be selected and then applied to specific items and users, or

- In Manage by Location and Manage by Scoping Item, an item can be selected and a role and individual user can be applied to that item.

- Synchronizing permissions with multi user picker. See "Syncing Multi User Picker with Permissions" on page 45

Cascading of Role Permissions

As a Role typically represents permissions for multiple item types, a cascading concept enables role membership to be automatically applied to items above and below the item where role membership is being edited. (6.1)

It is now possible to have multiple anchor nodes on the branch of the tree. In this scenario the permissions will cascade as expected, but will not override each other, they will grant the user a combination of the 2 sets of permissions.

Example:
Using the Company X example, if Pat Campbell is being given the role membership for the Control Test Supervisor role at Risk #261, the system also identifies the items above and below that risk in the hierarchy for which the role has

permissions. Pat therefore receives role membership for these items also.

Therefore, Pat Campbell would get Control Test Supervisor permissions for the Locations and Folders above that Risk and also for any Controls, Tests, Test Results and Issues below the Risk. However, Pat does not receive permissions for Action Plans or Steps, as these are not defined in the Control Tester role.

Advanced Permissions and replacement of Local Administrator and Owners

In addition to setting read or edit permissions for each criteria, other permissions may also be defined for a role.

- Ability to add child items to items in the location framework or scoping item framework. The permission can limit the item type/sub-type to which child items may be added *and* the item types/sub-types which may be used as child items.

- Ability to add, delete or edit file attachments to an item type or sub-type

- Establish the role membership for other users in specified roles for a specific item type or sub type. (This ability replaces Local Admin.)

- Ability to receive specific e-mail alerts: **Functionality retired in v8.0**

  - On creation of a new item (this message was previously sent only to Owners)

  - Completion Reminder alerts

  - Deadline Reminder alerts

  - Sign-off Ready notifications.

For information on steps to building out Roles and Permissions, see Setting up Roles and Permissions in Role Builder.

System Search

Search is available on all screens of GRC Cloud except pop up windows. The search feature is in the top right corner of each screen.
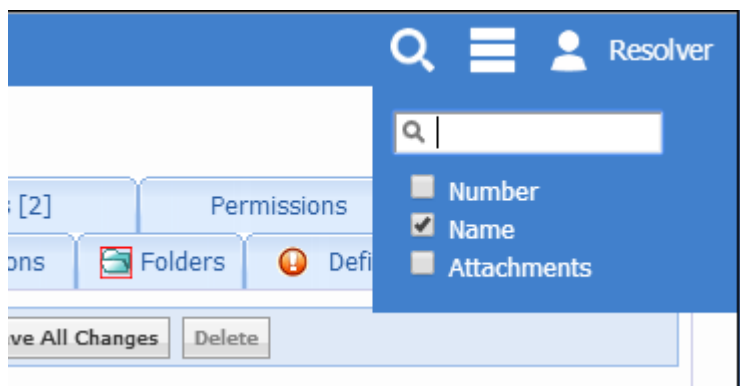
1. Simply enter a search term

2. Define the parameters to search (Item Number, Item Name, Attachments)

3. Attachment Search: searches attachment names, descriptions and file content (Microsoft Office types / PDF files are not included in the search).

Note: Description appears as an option if Item Description is enabled to in the system settings.

A list of items is generated in a pop up window. The list includes an icon, item number, name, description and parent name. All fields except the icon are hyperlinks which will open the actual item or file attachment page. Clicking in the plus sign next to the parent name will display a full path for the item.

Note: The number of results is currently limited to 50 items and 50 files for performance reasons.

Design Your Organizational Information

The Design section of GRC Cloud enables Administrators to build the organization's overall risk/control framework, transpose the appropriate parts of this framework into the organization's location or organizational structure and define the criteria which are used to assess all items within the framework. The Administrator also uses The Design area to relate items within the framework to the organization's scoping or account structure, which may be used to identify materiality for scoping control evaluation work, and to applications.

This section is for use by Administrators only. All the design functionality is located under the Design menu. For users who are not members of the Administrators user group, the Design option will be grayed out.

Only Administrators have access to the Design area of GRC Cloud, however some framework building and editing tasks may be performed by non-Administrator users in the Manage by Location area if they are members of roles with appropriate advanced permissions.

Audit Trail / Change Log

Change Log provides Administrators with a complete list of all user activity that has occurred on the application to date. It outlines the date and time of the activity, the Item that it concerns, the User's name that performed the activity, and a brief description of the activity. This functionality is used for audit purposes and cannot be modified.

Note: Audit Trail does not capture administrative configuration actions. (Example: workflow building of states / triggers / transitions / emails, item template management)

Only Administrator group members can access this functionality.

1. Click on **Report > Audit Trail.**

2. There are two tabs on this page: *Report* and *Filters.*

The Report Tab

All user activities made in the system are listed here. They are sorted chronologically and show the Item name, date, user and a description of the change.

3. Click on an item name to see where the item exists in the organization. The *Browse MyOrganization* window will appear.

4. Use the column headings to sort changes displayed on the page (as done in the Item Overview pages).

The Filters Tab

5. Enter the criteria you wish to filter by: Item name, date modified, user/group or whether items are deleted.

6. Click the *Filter* button to display the results.

Actions Captured in Audit Trail

1. Creating and deleting items

2. Moving and Multi-ing items

3. All criteria, function calculation and attachments add to the system

4. Exporting items offline

5. Workflow state changes

6. Updating to/from the library

7. Permission changes to workflow and role builder (8.0)

8. Password Changes (8.0)

9. Creating, deleting and modifying attributes of roles, groups and users (8.0)

Change Log Tab

A complete record of every user action associated with the Item is displayed in the Change Log tab. This functionality is used for audit purposes and cannot be modified. The Date, User Name and Description of the action are displayed in chronological order with the most recent action first. Change log doesn't not record administrative actions (Role Permission building, framework building, etc)

By default, the Change Log tab is deactivated for non-Admin users.

Redlining and Highlighting Changes

Specific to the Rich Text Editor, all changes will be tracked highlighting any additions in green text and redlining any deleted text. This change makes it easier to quickly understand what changes have been made to rich text criteria. (6.2)

Note: when initially assessing the rich text editor and spreadsheet criteria, text will not be highlighted.
Note: Audit Trail and Change Log do not capture redlining and highlighting of changes for the Spreadsheet criteria. Only records the latest value. (7.0)

Item Templates

An Item Template defines the characteristics (attributes and evaluations) for all instances of an Item Type. For example, all Risks share characteristics that are defined here, including all Attributes, Evaluations and Functions. Each Item Template page provides you with the necessary tools to develop Sub-Types, assign assessment criteria, and build Functions.
The Item Templates menu contains templates for all Item Types in the system.

Modify Basic Characteristics of an Item Type

1. Click on **Administration >Item Templates.**

2. Select the Item Type or Sub-Type you wish to modify. (Sub-Types are indented to the right of the Item Types list.).

3. Click on the *Overview* tab, (it is selected by default).

4. *Name:* Change the item name if required. For instance, Department may be more suitable than location in your organization.

5. *Description:* Enter an optional description of this item type.

6. *Icons:* The default icons may be changed to other images. The large icon will appear on the screen when that item type is being assessed. The small icon is used in the framework view, reports and other parts of GRC Cloud where screen space is limited. Multi-Parent Icons will only be used when one item has multiple parents. For more information on creating Multi-Parent Items see Design Framework Library.
   To change an icon, click on the *Change* button adjacent to the current icon. Instructions are provided on optimum image sizes. Use the Upload box to search for an image on your hard drive, network drive etc. and click *Upload Icon*. Repeat the process for the other icons.

7. Click *Save* to apply all change(s).

8. **Enable Sign Off**: a new checkbox has been provided for the administrators to determine whether an item type and all associated subtypes requires sign off capabilities. Unchecking the checkbox will remove sign off buttons and report filters. (6.0)
   If the option is not available (not visible) reference the **System Setting:** *Enable Signoff of all Item Types,* it must be set to Yes to enable this option in the item template.

9. **Enable Time Tracking**: checkbox that enables users and administrators to log and track time against any item type in the system. See "Time Tracking - Legacy Time Tracking" on page 133

Assign Criteria as an Attribute or Evaluation

Add an Existing Criteria

1. Click on **Administration > Item Templates.**

2. Select the Item Type you wish to assign criteria.

3. Click on either the *Attributes*Tab or the *Evaluations Tab*

   Note: Criteria cannot be both an Attribute and an Evaluation for one Item Type/Subtype. For more information on Attributes and Evaluations, see Design Your Organizational Information Criteria.

4. Click the *Add Existing Criteria* button. A list of all criteria in the system will appear.If you are setting up the system for the first time you will see "No criteria found."

5. To assign criteria, click on the criteria name or select the check box beside its name.

6. Click the *Add Selected* button once you have chosen the desired attribute criteria. The criteria will be added to the item in the order they were listed.

7. You now have the opportunity to rearrange the criteria so they are presented to the evaluators in an intuitive manner. Use the Order drop down menu to select the position for criteria.

8. You can choose to make any of the criteria Required, which means it must be evaluated for all instances of that Item Type. If the box is unchecked, the evaluation of that criterion is optional.

9. Click *Save* to apply your change(s).

Add New Criteria

1. Click on **Administration > Item Templates.**

2. Select the Item Type you wish to assign criteria.

3. Click on either the *Attributes* tab or the *Evaluations* tab.

4. Click the *Add New Criteria* button. This will take you to the Criteria Editor page and allow you to add new criteria.

5. When you finish creating your new criteria it will automatically be added to the Item Type.

6. You now have the opportunity to rearrange the criteria so they are presented to the evaluators in an intuitive manner. Use the Order drop down menu to select the position for a criterion. This order also applies to report display, matrix assessor etc.

7. You can choose to make any of the criteria *Required*, which means it must be evaluated for all instances of that Item Type before it can be signed off. If the box is unchecked, the evaluation of that criterion is optional.

8. Click *Save* to apply your change(s).

A graphical representation of the assessment is automatically created for each graphable criterion (criteria that have multiple choice answer types: drop downs, radio buttons, and check boxes). This Pie graph can be displayed on the user's Homepage. These are called "Preference Controls". (See the System Administration "change homepage preferences" for detailed information).

Add an Item Sub-Type

Item Sub-Types are used to allow differentiation within an Item Type. Item Sub-Types are evaluated by the Attribute and Evaluation criteria for the Item Type but can also have additional criteria specific to the Sub-Type. Sub-Types can be displayed differently from the main Item Type and can be used to sort or filter reporting and graphing results. For example, a company may have both an ERM program and a SOX compliance program. Thus, the company may want to differentiate between SOX risks and ERM/Operational risks as there are certain additional evaluation requirements specific to those risks for SOX. With the use of Risk sub-types, the company can specify required evaluation criteria for SOX risks that ERM/Operational risks will not be required to assess for sign off.

Item Sub-Types will appear on an indented right side drop down menu bar on the Item Templates menu once added. Folders have pre-configured Item Sub-Types.

1. Click on **Administration > Item Templates.**

2. Select the Item Type to which you wish to add a Sub-Type.

3. Click on the *Sub-Type* tab.

4. Click the *Add New Sub-Type* button. The Add New Sub-Type screen will appear.

5. Enter in the name and description for the Sub-Type.

6. Other options can be changed as described for other item types.

7. Click *Save* to apply your changes.

Edit an Item Sub-Type

1. Click on **Administration > Item Templates.**

2. Select the Item Type to which you wish to add a Sub-Type.

3. Click on the *Sub-Type* tab.

4. Click the name of the Sub-Type to be edited from the list of Existing Sub-Types.

5. All items may be changed as described for other item types.

6. Click *Save* to apply your changes.

Delete an Item Sub-Type

1. Click on **Administration > Item Templates.**

2. Select the Item Type from which you wish to delete a Sub-Type.

3. Click on the *Sub-Type* tab.

4. Click the name of the Sub-Type to be deleted from the list of Existing Sub-Types.

5. The Sub-Type item template will appear.

6. Click the *Delete* button to remove the item Sub-Type.

Note: You will not be able to delete a Sub-Type Item if the Sub-Type has any Attributes, Evaluation criteria or functions set up, or if it is in use within a framework.

Functions

Functions allow you to gather the results of multiple attributes, evaluations and other functions, and create a custom equation with a number of mathematical operators. For more information see the Design Your Organizational Information—Functions section.

You have the opportunity to rearrange the functions so they are presented to the evaluators in an intuitive manner. Use the Order drop down menu to select the position for a function. This order also applies to report display, matrix assessor etc.

Synchronize Item Types

It has been designed to allow maximum flexibility when determine which items types get synchronized to which parents types. For each main and corresponding subtypes, it allows the admin to define 'synchronize this main and/or sub type(s), if the parent is of type(s) x AND exists in the scoping tree'.

For more details See "Synchronizing Manage by Trees (Scoping to Location)" on page 89

Path Context (8.0)

Many organizations have the same processes and controls in multiple locations. Understanding that you are looking at a control in the Payroll Process in Denver instead of New York or Rome is an important distinction; however showing the entire path to the root of the tree can often include many layers of information that are not helpful for context.

This release allows administrators to identify which item types and subtypes are important for context and can then dramatically shorten the path to an item. This abbreviated context field shows up in the Item Overview reports, the Focus Picker and in the Timesheet.

To set up: Once in an item template, check off that Path Context box if you want see this item type appear in the Item Overview reports, the Focus Picker and in the Timesheet.

Note: Location main type is set by default

Criteria - Overview

There are two types of assessments performed within the system: Attribute assessments and Evaluation assessments.
Attributes are item properties that are typically consistent over time and tend to be more descriptive of the item. Attributes will appear on the *Overview* tab of an Item.
Examples include: description, account balance, control type, frequency and materiality.
Evaluations are the assessments made for items for each assessment period. These will appear on the *Evaluations* tab and are typically evaluated each assessment period.
Examples include: likelihood, impact, testing results and control effectiveness.
GRC Cloud enables users to configure both types of assessments within the system. All criteria are first created in the *Design Criteria* section of GRC Cloud and are then assigned to *Item Types* as either Attribute criteria or Evaluation criteria of that item. Users will then evaluate the item at the prescribed intervals (quarterly, annually, etc).
Use the **Design > Criteria** page to create new criteria or edit, delete and make copies of existing criteria.

For detailed instructions on building criteria in item types, see Managing Criteria.

Attribute and Evaluation Criteria Types

Criteria may be structured as one of several types. Criteria types ensure that all assessments are made in a consistent manner by all users.

Check Box List:	The Check Box List allows users to pick one or more options from a scale with 2 or more options. You cannot graph or build Functions around this criteria type due to the multiple choice selection capability.
Radio Button:	Radio Buttons allow users to choose one option from a list of two or more options. This list differs from check boxes in that only one scale choice can be selected and therefore they may be used to build Functions and graphs.
Drop Down List:	Drop Down List is a selection list that allows users to choose between two or more options. Like Radio Buttons, the Drop Down List limits users to one selection and is therefore a suitable criteria type for building Functions and graphs. There is no effective difference between drop down menus and radio buttons except for how they appear on the screen.
Single Text Entry:	Single Text Entry enables users to type in one or more words along a single line, limiting the entry between 1 and 20,000 characters.
Multi-text Entry:	Multi-text Entry enables users to type in one or more words in a text box with multiple lines and a scroll bar, limiting the entry between 1 and 20,000 characters. Multi-text Entry boxes also enable Rich Text Content, enabling text to be formatted in terms of size, color and justification within the text. This also enables formatted text from other applications to be copied-and-pasted into GRC Cloud. The formatted text includes tables, which when represented in reports may lead to very wide report columns. **Note:** not all formatting styles are supported when copying from 3rd party applications.
Numeric Entry:	Numeric Entry limits users to entering a numeric value. The way numbers appear will be derived from the culture settings of the user.
Date Entry:	Date Entry allows users to select a date from a "pop-up" calendar. The way dates appear will be derived from the culture settings of the user.
User List:	User Lists enable users to specify one or more users and/or groups from the list of all users and

	groups in the system. Ability to sync the multi user list with the item permissions in Manage by. (6.1) See "Syncing Multi User Picker with Permissions" on page 45
Spreadsheet	Spreadsheet criteria provides the ability to display data in a spreadsheet view. Spreadsheet data can be imbedded directly into the system and fully accessible by Manage by (view item), Matrix Assessor, and Editable Reports. (7.0) Formatting: option is built into the menu to format currency. Display of currency will be dependant on the users local settings. Example: French decimals = commas. Note: Spreadsheet criteria only supports 60 rows in IE8. Any data add in via another browser will not be viewed by the user.

All criteria values can be cleared. For single line text boxes, rich text boxes and numerical fields the items may simply be deleted. For check boxes, items may be unselected by clicking the boxes. User lists are cleared by clicking the X next to a user's name. Radio buttons and date fields have a Clear option. Drop-down menus are cleared by selecting the "Select" choice in the menu.

The length of a criteria name is limited to 150 characters. The maximum length of menu options for drop-down menus, radio buttons and check box lists is also 150 characters.

Managing Criteria

Create Criteria

1. Click on **Administration > Criteria.**

2. The Criteria page will appear.

3. You will see a number of criteria which have already been configured and can be modified or deleted as desired.

4. Click the *Create a New Assessment Criteria* button.

5. *Criteria Name:* Enter the name for your new Criteria.

6. Help Text Popup: Text in this area will be visible to users completing assessments. Provide additional information and/or instructions in the Help Text area, such as definitions of the question or of the criteria values, to enable more accurate assessments.

7. *Criteria Type:* Select the required type from the drop down menu.

Additional Options
Depending on the selected item type, additional options are available:

Radio Button List/Drop-Down List/Check Box List

Define the Scale Size for each criteria within the criteria template.

1. Create new (or existing criteria)

2. In the text box, copy and paste OR manually paste in the labels

3. If necessary, values and colors can be define immediately. (Ex: Toronto,1,#fff000). The last entry defines the color.

4. Save.

Display Order: The order can be changed by dragging and dropping the labels..
Label Values: You can change the numeric value for any of the scale choices by clicking the pencil. This is important when any quantitative assessment is going to be based on the scale choices. The label values will affect any Functions or graphs that use the results of this assessment or any graphs.
Note: The Label Values are not displayed when the users perform their assessments. If you want users to see the scale values for criteria, the numbers have to be added as a part of the label.e.g. "5 – High Likelihood".
Colors: To add a color for a scale choice, click on the color palette icon. Chose a color to represent each scale value. The color choices make assessment screens and reports easier to follow and also impact the graphs, including each user's home page graphs. More information on using the Color Picker.

Update Preview: Enables you to preview how your selection will appear to users, including the use of colors.

Click *Add* or *Save* when completed.

Date Entry
Deadline: If appropriate place a check mark in the Deadline box if you want to use this date field as a deadline. This will generate automatic notifications to users based on the date selected.
Click *Add* when completed. **Functionality retired in v8**

Single Text Entry/Multi Text Entry

Maximum Text Length: If desired, change the maximum number of characters that can be entered into the text field. Note that the size of the single text or multi text boxes will not change. (Single and Multi Text Entry), determine the maximum text length.

Click *Add* when completed.

User List

Data Source: Customers who have integrated GRC Cloud user-ids with their LDAP Active Directory, can choose either list as the data source of users. This is a customization available for a fee.

Selection Type: Select either a single user or multiple users.

Limit to: Enables the list of users to be filtered by members of a specific Group.
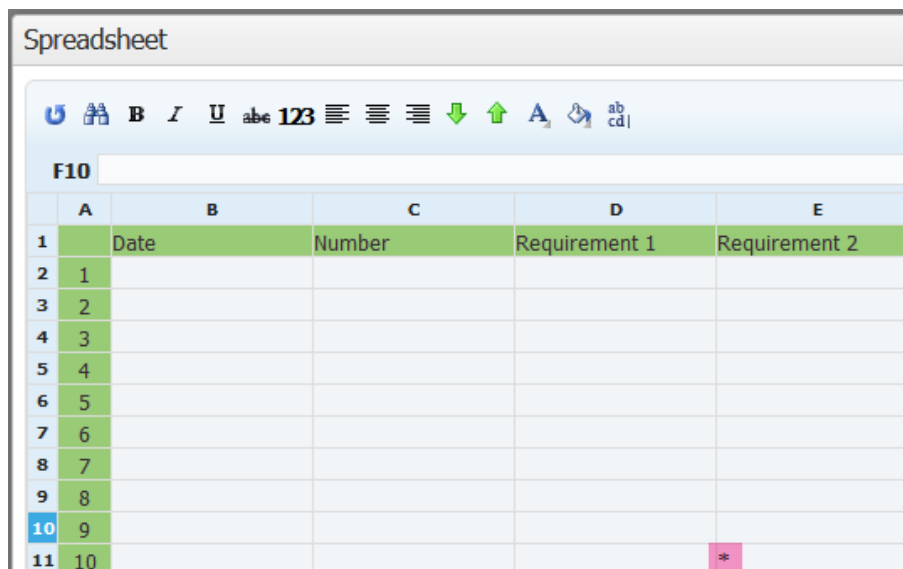
Spreadsheet Criteria (7.0)

Spreadsheet criteria provides the ability to display data in a spreadsheet view. Spreadsheet data can be imbedded directly into the system and fully accessible through Manage by (view item), Matrix Assessor, and Editable Reports. These criteria can be configured via the Add New Criteria page to display a default template reducing end user time and improving documentation consistency. When clicking on this criteria in Manage by or Editable Reports, the template build will be presented to the user. (8.0)

Building a Template

1. Select Criteria Type: *Spreadsheet*

2. Define the number of Rows and Columns

3. Click on the *Criteria Template*

4. At this point, all formatting described in the overview below is available

Note: To apply formatting to all rows and columns, data needs to be entered in the last intersecting cell of the defined number of rows and columns. For example, adding an asterisks in the bottom corner.

Template Need to Knows:

- This functionality only applies to new templates going forward. If a template is added to an existing criteria, it will not override any data in existing templates.

- Until the criteria is saved, it will continue to show the most up to date version of the template. The spreadsheet cannot be updated by the template once it has been saved by a user.

- Default size of Spreadsheet: 10*20.

- Formatting of template only applies to columns with data in them (as noted above).

- Reports will not display the template.

- Period End or Workflow Reset: if the criteria is cleared via the Period Process or workflow action, the latest template will be set as default.

Overview

1. Default rows and columns are set: 25*40

2. Excess / unused rows and columns will be trimmed in reporting

3. Available as a condition / validation in workflow transitions (has value)

4. Full Screen option

5. Paste capabilities from Excel
   a. Respect line breaks

   b. Does not paste in formatting from 3rd parties (bolds, italics, coloring, etc)

   c. Formulas from excel do not get pasted

6. Ability to freeze and unfreeze columns and rows
   a. Select an entire row or column

   b. Right click on the row or column headers

c. Select freeze or unfreeze (will freeze from the row/column and prior)
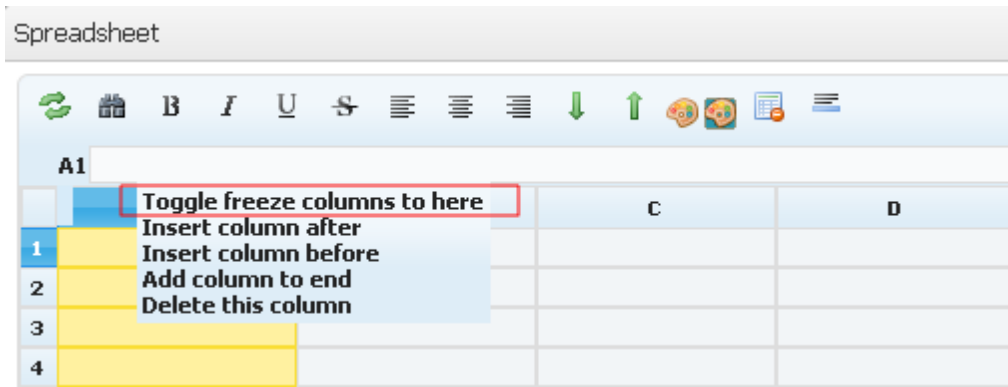
7. Delete / Insert Row or Columns

    a. Select an entire row or column

    b. Right click on the row or column headers

    c. Select delete or insert this column / row
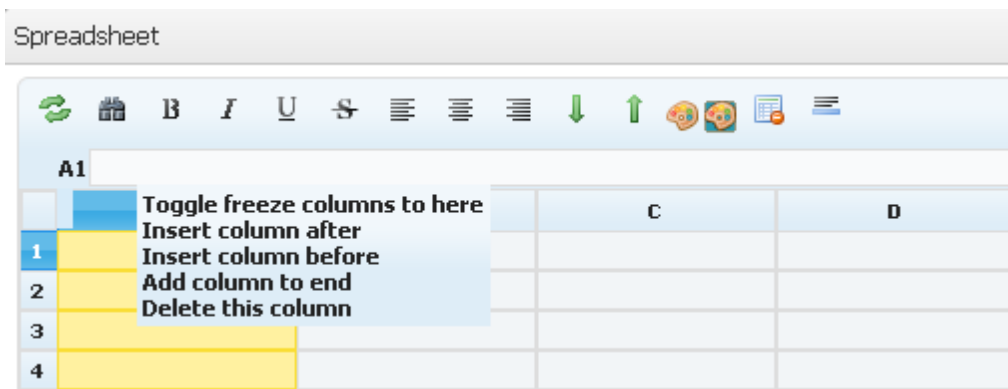
8. Wrap text
    a. Select a row / column / cell / multiple cells

    b. Click the wrap icon

c. Click again to unwrap
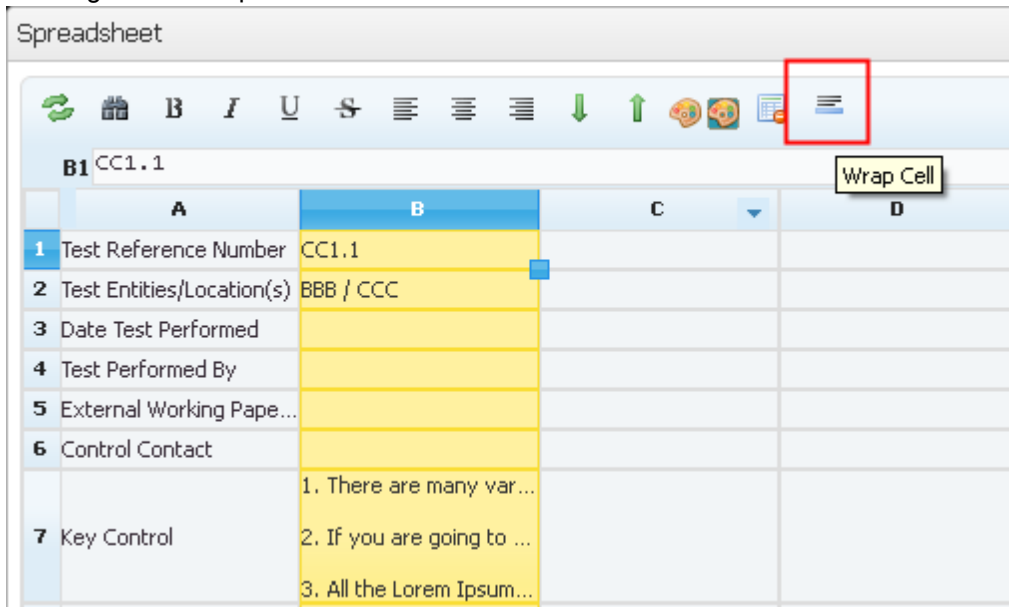
9. Delete Sheet

Simply click delete sheet icon seen in the image.
Note: this will delete all data held in the spreadsheet. If done accidentally, simple click the X on the window and close without saving the changes.
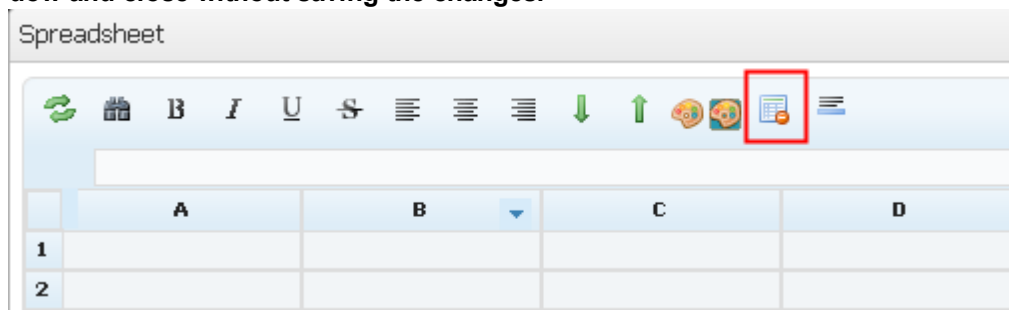
Edit Criteria

1. Click on **Design > Criteria.** The Criteria page will appear.

2. Click on the Criteria name you wish to modify. Beside each criteria name and type, you will see the Item Types and Item Subtypes that a criterion is currently attached to. The Edit Criteria window will appear.

3. Make the required changes to the criteria, as described in the Create Criteria section of this guide.

4. *Update Preview* will instantly update.

5. Click *Save* when completed to apply your change(s).

Note: Label Deletions

If you delete a label from check box, radio button or drop down criteria, GRC Cloud automatically deletes any assessments made up to that point to protect data integrity. For this reason, it is highly recommended that you do not modify the labels once assessments have begun.

Furthermore, changing the order of the labels will not update the evaluations. Example: scale of high = 1 / medium = 2 / low = 3 changing the order of the text (medium = 1 / high = 2 / low = 3) the assessment related to high =1 will not update to high = 2. This is only a text / position change, not a change the relationship in the database.

Adding additional labels to the criteria will not impact the criteria across the application.

Note: Criteria Type

You can change the display style between similar criteria (e.g. between Drop Down Lists and Radio Buttons). However, you cannot change the basic properties of criteria. (E.g. if the current type is Check Boxes, then you cannot change the criteria type to Radio Buttons or Date Entry.)

Delete Criteria

1. Click on **Design > Criteria.** The Criteria page will appear.

2. Click on the Criteria name you wish to modify. The Edit Criteria window will appear.

3. Click on the *Delete* button.

4. A pop-up box will ask you to confirm that you wish to delete the item. Click *OK.*

Note: You cannot delete a criterion that has been added to an Item. If a criterion is attached to an item the Delete button will be grayed out. You need to remove the association with all Item Types before the Delete button will be active.

Copying Criteria

There are two purposes to copying criteria:
To replicate the color scheme and rating scale of existing criteria without having to reproduce the labels and colors from scratch.
To modify any existing criteria, you can edit the copy and retain the original version for reference purposes.

1. Click on **Design > Criteria.** The Criteria page will appear.

2. Select the criteria you wish to copy by checking the box next to the criteria name.

3. Click the *Copy Selected* button.

4. The new item will appear with "(COPY)" after its name.

Using the Color Picker

The color picker provides flexibility in selecting colors (16 million colors available vs. the 216 in previous versions). Administrators can also define colors by their hexadecimal code, RGB code or HSB code.

1. When creating or editing a check box, radio button or drop down criteria, the Administrator can select colors for each available option or value, by clicking the Palette icon.

2. The initial Web Palette view appears. Choose a color by clicking on any one of the boxes. To clear the selection (so that the criteria option no longer has any color applied to it) click *No Color*. Note that the standard hexadecimal code for the color appears. The hexadecimal code is a technology standard for defining colors and is made up of a has sign (#) followed by six numbers and/or letter. By recording the hexadecimal code an Administrator can ensure that consistent shades are used on all criteria and item types.
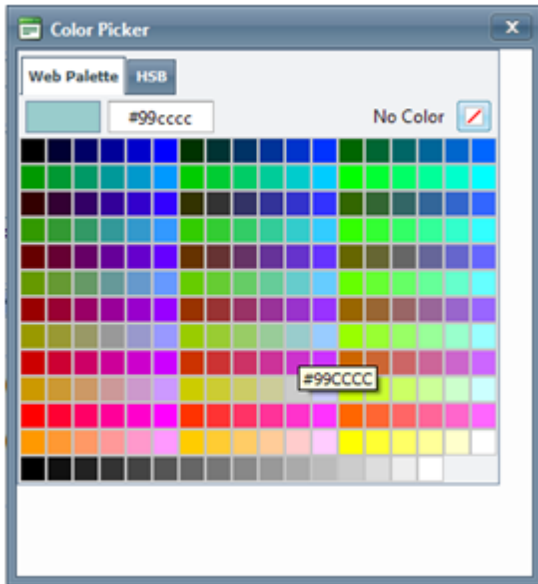
3. To select from a broader range of colors, click on the HSB tab. The following view is displayed. On this screen, any one of over 16 million colors can be created, in one of three ways:
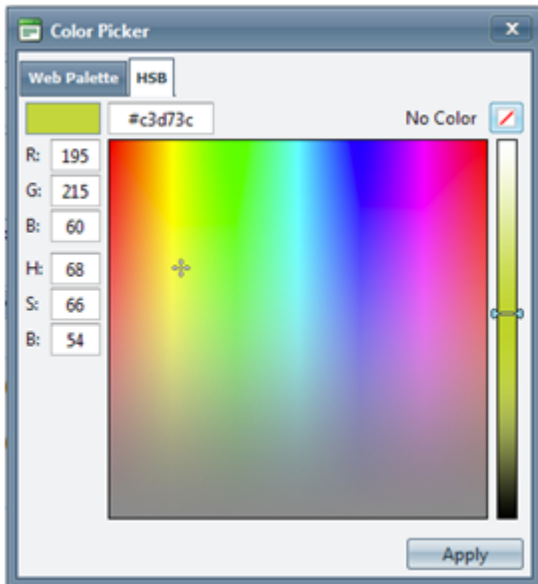
- Use the mouse to select a color in the main window and then using the slide bar at the right to determine the lightness or darkness of the shade of the color.

- Use the Red, Green and Blue (RGB) settings to create a color.

- Use the Hue, Saturation and Brightness (HSB) settings to create a color

Syncing Multi User Picker with Permissions

During creation of the user list criteria, the administrator has the option to set the criteria to synchronize with a defined role. It will add the user selected to the synched role while cascading to the relevant tree items as regular permissions would. It also works in the reverse by syncing any removal of permissions via the Role Builder or Permissions tab with the users in the criteria list.

Creating the Criteria

1. **Administration** > Item Templates > Select "Item Template"

2. Attributes or Evaluations tab

3. *Add New Criteria*

4. Select *User List* as *Criteria Type*

5. Select *Multiple* as *Selection Type*
   Note: Page will refresh with Permission management options

6. Check: 'Synchronize the user list with the defined role and applicable permissions'

7. Select the Role
   Note: users in the permissions tab as anchors will automatically be synced with the role and inherit the applicable permissions when the criteria is saved.

This criteria will now be visible to the users in Matrix Assessor and Manage by Location/Scoping. Any users added to this criteria will be granted all applicable permissions granted via the role, using that item as the anchor node.

When the new criteria is added, it will automatically sync all the relevant anchor nodes with the criteria. However, if the criteria is deleted, it will not remove the permissions from the items.

Cascading of permissions will be applied to the tree, however, the anchor nodes on other levels will not be overridden. For further information on permissions and cascading please See "Understanding Roles and Permissions" on page 244

Syncing applies to both adding and deleting users from this criteria.

Functions - Overview

Functions allow you to gather the results of multiple attributes, evaluations and other functions, and create a custom function with a number of mathematical operators. To build a function, first define the variables that will be used within, and then select the appropriate operators. Variables are attributes, criteria or functions, from that item or any item beneath it in the tree. Operators are your traditional mathematical operators +, -, *, / and others. Because a function can become very

complex, to obtain the result for a function, you must explicitly trigger its evaluation with the click of a button (amended in 7.1 - See Below).

Functions Auto Calculate

If a criteria value changes and a function lying on that item incorporates that criteria as a variable of the function, it will automatically trigger the function to recalculate. This applies to all areas of the application on save of the criteria. For more information.See "Managing Functions" on page 47This functionality only applies to functions that lie on the item where the criteria has been changed. For example, if a function on the risk has a criteria change on itself and the criteria is a variable in the function, it will update. It will also update any other variable functions incorporated. For example: a variable that requires drawing from a function on another item.

It occurs on save of the item in the following areas: Manage by, Editable Reports (criteria save / revert), clearing criteria, updates from Framework Library. It is not applicable to: Criteria Importer, Offline Assessor, Period End, Matrix Assessor.

Example: Update the Residual Likelihood from Rare to Possible, the Residual Risk function auto calculates to Moderate

Risk	Owner	Residual Likelihood	Residual Impact	Risk Accepted?	Residual Risk	Residual Likelihood	Residual Impact	Risk Accepted?	Residual Risk
R Demand forecast has major flaws because of pricing schemes	David	Rare Update Criteria	Minor	Yes	5.0 - Low Function Recalulate	Possible	Minor	Yes	9.0 - Moderate

Warning: Enabling this feature may cause performance degradation in Editable Reports. If this occurs in your environment, please contact Resolver Support.

A selection of logical mathematical operators are available when constructing functions. Many of these are useful for creating complex conditional formulae, such as "if/then" statements. There are a number of applications of these and more information is available from Resolver's Solutions Consulting Group.

Throughout GRC Cloud, where there is no result for a function it will be displayed as either Invalid or Not Calculated. Invalid indicates that one or more of the variables used in the calculation is missing or in some other way invalid. (For example, if a function on a risk calculated the average of ratings of several controls, but not all controls had been rated.) If the function has not been calculated and therefore there is no result it is displayed as Not Calculated. In previous versions, the wording was inconsistent across various parts of the application and the two situations were not indicated properly in pie charts in the home page or in the Executive Dashboard report. (5.3)

Function Roll Down

Release 6.1 provides an additional source to draw from when calculating functions. Function variables can be created to draw from all direct Ancestors in tree. Administrators will have the option to pick Ancestors from the Source drop down which will refresh with all possible direct ancestors.

Example: A function that lies on a Control has the ability to draw from data that lie at the Risks, Folders, Locations, Scoping Items levels.

Managing Functions

Create a New Function

A selection of logical mathematical operators are available when constructing functions. Many of these are useful for creating complex conditional formulae, such as "if/then" statements. There are a number of applications of these and more information is available from Resolver's Solutions Consulting Group.

Throughout GRC Cloud, where there is no result for a function it will be displayed as either Invalid or Not Calculated. Invalid indicates that one or more of the variables used in the calculation is missing or in some other way invalid. (For example, if a function on a risk calculated the average of ratings of several controls, but not all controls had been rated.) If the function has not been calculated and therefore there is no result it is displayed as Not Calculated. In previous versions, the wording was inconsistent across various parts of the application and the two situations were not indicated properly in pie charts ion the home page or in the Executive Dashboard report.

1. Click on **Administration > Item** Templates.

2. Select the Item Type you wish to assign a Function.

3. Click on the *Functions* tab.

4. Click the *Create New Function* button.

5. The *Function Builder* page will appear.

6. Provide the Function a name, and add any details about the Function in the Description area.

7. Add variables to the function one at a time by pressing the *Add Variable* button.

8. Then type your formula using the available operators and any added variables.

9. When you are finished writing your function, choose if you wish to show previous results and if so, choose the number of previous results to display. - Functionality removed in 7.1

11. Determine whether you want the function to Auto calculate. Uncheck to disable the auto calculation (default = enabled). See "Functions - Overview" on page 45

12. Choose whether to group your results into ranges or not.

12. If you choose not to use a range the numeric result will be displayed. If you choose to use a range, the numeric result will be displayed alongside the assigned label and color.
    Note: If you do not use ranges, the function cannot be reported in Chart Builder.

13. Click Save to apply your changes.

Add a Variable

Variables can be either a single value or a set. If the source you select is from multiple items then the variable will be a set. If the source is a single item then the value will be a single number.

1. From the Function Builder page click *Add Variable.*

2. Select the source for the variable. The preview will show you which items can be the source.

Self:	Attributes, Evaluations, and Functions attached to this item.
Descendants:	Attributes, Evaluations, and Functions attached to any item beneath this item in the tree.
Children:	Attributes, Evaluations, and Functions attached to any item directly below this item in the tree.
Siblings:	Attributes, Evaluations, and Functions attached to any item with the same parent item as this item in the tree.
Ancestors:	Attributes, Evaluations, and Functions attached to any item that it is a direct ancestor. An immediate path up the tree.

3. Once you have determined the source, select the item type the desired criteria are attached to. The list of available item types is dictated by the rules governing the hierarchical structure of the tool.

4. A list of attributes, evaluations, and functions attached to that item type will appear.

5. Select the desired criteria or function as the variable source.

6. Type in a short name for the variable with no spaces or numbers that resembles the selected source.

Display Options

Function results can be displayed in a variety of new formats.

Format

1. Number: returns a numeric value.

2. Currency: returns a numeric value with desired currency symbol. Note: it does not do any currency conversion.

3. Date: returns the value in a variety of different date formats.

4. Percent: returns a numeric value with a percentage symbol appended. Note: it does not do any conversion to percentage (decimals > percentage).

5. Boolean: returns a true or false result.

Displaying Function Results (if reporting by ranges only)

1. Displays both the label and value: returns the label and value (ex: 3 - Low)

2. Displays label only (ex: Low)

3. Displays value only (ex: 3)

Add an Operator

1. From the Function builder page use the drop down list to see available operators.

2. Select an operator from the list to see the syntax and a definition.

Some operators can handle variables that are sets and some cannot. Be careful to use the correct operator for your variable type.

Mathematical Operators

Operator	Description	Valid Inputs
ADD (+)	The sum of the two operands	Numbers, Single Variables, Functions
AVERAGE	The mean of all numbers	Numbers, Single Variables, Sets, Functions
COUNT	The count of all numbers	Numbers, Single Variables, Sets, Functions
DIVIDE (/)	The first number divided by the second number	Numbers, Single Variables, Functions
MAX	The largest number in a set of numbers	Numbers, Single Variables, Sets, Functions
MIN	The smallest number in a set of numbers	Numbers, Single Variables, Sets, Functions
MULTIPLY (*)	The product of the two numbers	Numbers, Single Variables, Functions
SUBTRACT (-)	The first number minus the second number	Numbers, Single Variables, Functions
SUM	The sum of all numbers in a set of numbers	Numbers, Single Variables, Sets, Functions

Logical Operators

Logical operators return 1 when a statement is true and 0 when a statement is false. Many of these operators only serve a purpose when used in conjunction with others by "nesting" one function within another.

Operator	Description	Valid Inputs
AND	True when all values in the list are the same	Numbers, Single Variables, Sets, Functions
CHOOSE	Selects the argument to be displayed from a list of arguments	Numbers, Single Variables, Sets, Functions
EQUAL & NOTEQUAL	EQUAL is true when two items are the same. NOTEQUAL is true when two items are not the same	Numbers, Single Variables, Sets (limited to two arguments), Functions
GREATERTHAN & GREATERTHANOREQUAL	Returns true when the first argument is greater than the second (or equal to)	Numbers, Single Variables, Sets (limited to two arguments), Functions
IF	If the condition is true, the first value is displayed, if false then the second value is displayed.	Numbers, Single Variables, Sets (limited to two arguments), Functions
ISINVALID	Returns true if the argument is the invalid result of another function.	Functions
LESSTHAN & LESSTHANOREQUAL	Returns true when the first argument is less than the second (or equal to)	Numbers, Single Variables, Sets (limited to two arguments), Functions
LOOKUP	Compares a "look up value" with a series of arguments and then returns a corresponding result from a list of results	Numbers, Single Variables, Functions, Sets
OR	True when any item = 1 and false if all items = 0.	Numbers, Single Variables, Functions, Sets
DAY	Returns the serial day value of the given date.	Date Criteria
MONTH	Returns the serial month value of the given date.	Date Criteria
YEAR	Returns the serial year value of the given date.	Date Criteria
DATE	Returns the date value given by the spec-	

	ified arguments.	
TODAY	Returns the serial day value of the current date.	Date Criteria
SET	Creates an array of values that can be processed by another logical operator.	Numbers, Single Variables, Functions

Example of a Function

Likelihood and Impact – Risk Rating

Create a Function for Risks that can calculate a Risk Rating based on a Risks Likelihood and Impact. A range can be developed to categorize the Risk Rating and assign it a scale and colors for reporting purposes.

Name:	Risk Rating	
Description: (Optional)	Calculates a Risk Rating based on Risks Likelihood and Impact.	
Formula:	Rlike * Rimp	
Operators: (Optional)	Multiply (*)	
Variables:	Name: Rlike Source: Self Item: Risk Criteria: Likelihood	Name: Rimp Source: Self Item: Risk Criteria: Impact
Display Options:	Report using ranges	
(Optional)	Low <= 5 < Medium <= 10 < High	# of Ranges: 3

Calculate a Specific Function

1. Click on **Manage > By Location or Manage > By Scoping Items.**

2. Right click on an Item from the tree in the framework panel.

3. In the detail panel under the *Evaluations* tab, below the Criteria you will see the Functions Evaluations.

4. Displayed for each Function is: the name of the Function, the formula to calculate the Function and the evaluation time. If selected during the creation or modification of the Function, Past Results and/or a Range will be displayed.

5. If the function has Past Results selected, click the + button to view the Previous Results. To return to the Latest Results, click the – button.

6. If you have edited any of the criteria which comprise the variables used within the function, click *Save All Changes* before proceeding with the calculation.

7. Calculate the Function by clicking the *Calculate* button.

8. Click *Save All Changes* to save your assessments.

Note:Function calculation capabilities in Manage by Location are also available in Matrix Assessor.

Calculate All Functions Under an Item

To calculate multiple items simultaneously, use Calculate Functions at Item. This is used to update the calculations of all functions (or multiple selected functions) at and below a specific item in the framework.

1. Click on **Manage > By Location or Manage > By Scoping Items.**

2. Right click on any item in the framework tree.

3. Choose the *Calculate Functions at Item* option.

4. The right panel will refresh displaying a tree of the selected item and all items below it and lists the functions contained in these items.

5. To recalculate all functions within and under this item, check *Select All Functions.* Alternatively, to select specific functions navigate through the list by clicking the + signs to view all item types and functions.

6. Click *Calculate* to update all the function calculations with current data.

Functions can also be calculated automatically. For more information See "Workflow: Adding Actions" on page 161

Frameworks - Overview

There are four key areas to working with Frameworks in GRC Cloud. The links below take you to the full details on each section.

- Framework Library, where you construct the overall governance, risk or compliance framework for your organization.

- Org/Location Framework, where you apply parts of the organization's overall framework to individual locations (divisions, functions, departments, physical locations etc)

- Scoping Item Framework, where the organization's risk control matrix can be cross-referenced with account lines from the income statement and balance sheet. This is useful for scoping of compliance programs, such as Sarbanes-Oxley Section 404 and Canada's Bill 198 (NI 52-109). Other non account related frameworks may also be used as scoping criteria in other compliance or risk management areas.

Applications and Application Controls reside in the main framework rather than in a separate Application-specific framework. This change simplifies use of the software and provides better reporting with regular controls and application controls being treated equivalently. The Application item type is similar to a Location and is set up in a Location framework. Application controls can be used interchangeably with regular controls, or an Application Control sub-type may be defined.

Framework Library

The Framework Library provides you with the tools to build your organization's governance, risk and compliance management hierarchies(s).

For detailed information on building out the frameworks library, see Building and Managing the Central Framework

Framework Building Basics

- The starting point for your framework must be a Folder or a Folder Sub-Type.

- You can add an item to more than one Sub Type group. So a Risk can be both a SOX Risk and an ERM Risk. Which icon it displays will be determined by the Default Icon selection.

- Changes made in the Framework Library are **not automatically reflected in any instance(s) of the item** (i.e. in locations). You must use propagate or update to apply those changes. All items can be moved from one Folder/Location to another by just dragging and dropping.
  Note: users can update an item and have the granularity of selecting specific criteria. **Prior to 8.0, blank values would be ignore. Now that the user can specify what criteria they can update, blank values will override any values.**

- You can add as many Items to a Folder/Location as needed.

- All items added to the Framework Library are given an automatically generated number in accordance with the set numbering standard. This number is reflected in any instance of the item(s).

- You can add new sub-items to existing items by right-clicking on the item in the framework panel. On the menu that appears, select Add a New 'Item'. The system will only let you add sub-items based on the business rules built into the system. (Example: You can only add Controls to Risks).

- You can set up items to have more than one "parent" item. For instance one risk might relate to several processes or one control may mitigate several risks. These are termed "multi-parent items".

- You can set up items to exist in the framework in multiple locations but be assessed only once. These are termed "single assessment items". This is particular useful for setting application controls and entity level controls.

A new Single Assessment Item option enables any item to be defined as an item that can appear in multiple locations in the framework yet needs to be assessed once centrally.

Building and Managing the Central Framework

Build Your Central Framework

Administrators and users with Advanced Permissions can now copy changes to the attributes and descriptors for one or more items made in the *Manage by Location* screen to the corresponding item(s) in the framework library using the *Update Library* button.

Administrators and users with Advanced Permissions can now move items and create multi parent items in the Manage by Location screen using the *Change Parent* button.

1. Click on **Design > Frameworks > Framework Library.**

2. This brings up the Framework Library page. The panel on the left-side is reserved for your central Framework Tree.

3. The panel on the right-side is used as a workspace for editing individual items, and importing items from pre-built frameworks.

4. On the *Framework Library* page, click the *Framework Actions* button and then *Create New Framework.*

5. Enter the name of your framework and, if desired, provide a description.

6. Click *Create* to add the framework into the system.

7. This returns you to the *Framework Library* page. On the framework panel you will notice the beginnings of your framework, properly named and sequentially numbered.

8. You can modify the framework details on the detail panel of the screen under the *Edit Information* tab.

9. Click *Save* when you are ready to add the new folder to your framework.

10. Continue building out your framework by adding more items to reflect your company's governance, risk and compliance management hierarchy.

Add a Sub-Folder to an Existing Folder or Sub-Folder

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. In the framework panel, click on the Folder you wish to add a Sub-Folder(s) to

4. The selected folder's information will appear in the detail panel.

5. Click the *New Folder* button found in the content window toolbar in the right hand panel.
Alternatively, you can right-click the Folder in the left hand panel and select **Add a New Folder** from the menu that appears.

6. The new Folder information will appear in the right-side panel.

7. Enter the, number, name and description of the new item as required.

8. Select the item Sub Type and Default Icon as required and indicate if this item is a Single Assessment Item.

9. Any Item Attributes associated with the Folder or Folder Sub-Type will appear below the description field. Administrators can fill in the Attributes information if this information is consistent across all locations this Folder is added to.

10. Click *Save* to apply your change(s).

Move a Sub-Folder or Add a Sub-Folder to Multiple Folders

Sometimes Sub-folders contain items that apply to multiple Folders. For example, you may have a single Control Objective that applies to several Processes. To avoid maintaining multiple copies of the same Folder and sub-items, you can attach a Sub-folder to more than one Folder. This makes the Sub-folder a "multi-parent" item. (Please note that multi-parent items are different form single assessment items.) Users in Roles with appropriate permissions for the Sub-folder or its contents can make changes once, and the results will automatically propagate throughout the location.

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Add a Sub-folder to a Folder (as above).

4. Open the item and click the *Change Parent* button in the right panel toolbar.

5. To move the item, select a new parent from the right hand panel and click *Move*. Alternatively you can simply drag it to a new parent.

6. To "multi" an item (attach it to multiple parents), select all items to which this item should be added and click *Multi-Parent*. Alternatively, hold down either the *Alt, Ctrl* or *Shift* key, then drag and drop the Sub-Folder onto the second Folder it applies to.

7. The system will ask you if you are sure you want to add the one Folder to the other. Select *OK.*

8. If you have created a multi-parent item, the same Sub-folder will now appear under both Folders and will be numbered identically. The Folder icon will automatically change into the Multiple Folder icon.

Add a Risk to a Folder

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. In the framework panel, click on the Folder you wish to add a Risk to.

4. The selected Folder's information will appear in the detail panel.

5. Click the *New Risk* button found in the content window toolbar in the right hand panel.
Alternatively, you can right-click the Folder in the left hand panel and select **Add a New Risk** from the menu that appears.

6. The new Risk information will appear in the right-side panel.

7. Enter the, number, name and description of the new item as required.

8. Select the item Sub Type and Default Icon as required and indicate if this item is a Single Assessment Item.

9. Any Item Attributes associated with the Risk or Risk Sub-Type will appear below the description field. Administrators can fill in the Attributes information if this information is consistent across all locations this Folder is added to.

10. Click *Save* to apply your change(s).

Move a Risk or add a Risk to Multiple Folders

Sometimes Risks exist that may pertain to multiple Folders. To avoid maintaining multiple copies of the same Risk, you can attach a Risk to more than one Folder. This makes the Risk a "multi-parent" item. Users win Roles with appropriate permissions for that Risk can make changes to it once, and the results will automatically propagate throughout the location.

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Add a Risk to a Folder (as above).

4. Open the item and click the *Change Parent* button in the right panel toolbar.

5. To move the item, select a new parent from the right hand panel and click *Move*. Alternatively you can simply drag it to a new parent.

6. To "multi" an item (attach it to multiple parents), select all items to which this item should be added and click *Multi-Parent*. Alternatively, hold down either the *Alt, Ctrl* or *Shift* key, then drag and drop the Risk onto the second Folder it applies to.

7. The system will ask you if you are sure you want to add the one Risk to the Folder. Select *OK.*

8. If you have created a multi-parent item, the same Risk will now appear under both Folders and will be numbered identically. The Risk icon will automatically change into the Multiple Risk icon.

Add a Control to a Risk

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. In the framework panel, click on the Risk you wish to add a Control to.

4. The selected Risk's information will appear in the detail panel.

5. Click the *New Control* button found in the content window toolbar in the right hand panel.
Alternatively, you can right-click the Folder in the left hand panel and select **Add a New Control** from the menu that appears.

6. The new Control information will appear in the right-side panel.

7. Enter the, number, name and description of the new item as required.

8. Select the item Sub Type and Default Icon as required and indicate if this item is a Single Assessment Item.

9. Any Item Attributes associated with the Control or Control Sub-Type will appear below the description field. Administrators can fill in the Attributes information if this information is consistent across all locations this Folder is added to.

10. Click *Save* to apply your change(s).

Moving a Control or Adding a Control to Multiple Risks

Sometimes Controls may be used to mitigate more than one Risk. To eliminate performing multiple evaluations of the same Control you can attach a Control to more than one Risk. The evaluator will only need to assess the Control once and the results will propagate throughout the location for that Control.

1. Click **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Add a Control to a Risk (as above).

4. Open the item and click the *Change Parent* button in the right panel toolbar.

5. To move the item, select a new parent from the right hand panel and click *Move*. Alternatively you can simply drag it to a new parent.

6. To "multi" an item (attach it to multiple parents), select all items to which this item should be added and click *Multi-Parent*. Alternatively, hold down either the *Alt, Ctrl* or *Shift* key, then drag and drop the Control onto the second Risk it applies to.

7. The system will ask you if you are sure you want to add the one item to the other. Select *OK.*

8. If you have created a multi-parent item, the same Control will now appear under both Risks and will be numbered identically. The Control icon will automatically change into the Multiple control icon.

Add a Test to a Control

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. In the framework panel, click on the Control you wish to add a Test to.

4. The selected Risk's information will appear in the detail panel.

5. Click the *New Test* button found in the content window toolbar in the right hand panel.
   Alternatively, you can right-click the Folder in the left hand panel and select **Add a New Test** from the menu that appears.

6. The new Test information will appear in the right-side panel.

7. Enter the, number, name and description of the new item as required.

8. Select the item Sub Type and Default Icon as required and indicate if this item is a Single Assessment Item.

9. Any Item Attributes associated with the Test or Test Sub-Type will appear below the description field. Administrators can fill in the Attributes information if this information is consistent across all locations this Folder is added to.

10. Click *Save* to apply your change(s).

Adding a Test to Multiple Controls

Sometimes Tests may be used to evaluate more than one Control. To eliminate performing multiple evaluations of the same Test you can attach a Test to more than one Control. The evaluator will only need to assess the Test once and the results will propagate throughout the location for that Test.

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Add a Test to a Control. (as above)

4. Hold down either the *Alt, Ctrl* or *Shift* key, then drag and drop the Test onto the Control it applies to.
   Alternatively, open the item and click the *Change Parent* button in the right panel toolbar. Select all items to which

this item should be added and click *Multi-Parent*.

5. The system will ask you if you are sure you want to add the Test to the Control. Select *OK.*

6. The same Test will now appear under both Controls and will be numbered identically.

Import Items from Pre-Built Frameworks

1. Click on **Design > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Click on the *Add from Pre-Built Frameworks* tab in the detail panel.

4. Using the drop down menu, select the framework that you want to import an item(s) from.

5. Expand the framework to find the section of the Pre-built Framework you want to import into your customized framework.

6. Click on the highest level item and drag it over to the framework panel and drop it onto the parent folder that you want the section to be grouped under.

If you hold the Ctrl key while dragging items from the Pre-built Framework, it will copy all items below it, not including itself, into the item it is dropped into.

7. The system will ask you if you are sure you want to add the selected items. Click *OK.*

8. Alternatively, you can use the check boxes to add only certain items from the Pre-built Framework into you customized framework.

9. Place a check mark beside the items you wish to add. All levels directly above the check marked item will automatically be marked as well.

10. Once all items are selected, select the top level item, drag and drop it onto the desired folder in your customized framework. Only items check marked will be transferred.

Contact Resolver if you wish to have a custom framework loaded into your site.

Framework Matrix Assessor

Attributes of multiple items can be assessed at one time through the matrix assessor in a spreadsheet style format.

Starting the Matrix Assessor

1. Click on A**dministration > Frameworks > Framework Library.**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Click the *Framework Actions* button and select *Assessed Checked Items in the Matrix Assessor.* The matrix assessor will load.

Using the Matrix Assessor

Once the Matrix Assessor loads you are able to assess Attributes of multiple items at once in a hierarchical structure. Only Attribute criteria will be editable. The Matrix Assessor has three tabs: *View, Show/Hide Columns* and *Autosize.*

1. Using the Matrix Assessor: View Tab.

2. Use the +/- boxes beside the item names (Folder, Risk, Control...) to expand or contract the level below in the framework.

3. Use the +/- box in each column header to show or hide that column.

4. Clicking in any of the cell of the Matrix Assessor will bring up an interface to evaluate that attribute criteria.

Remember to save frequently by clicking the Save All button. Note: After 20 minutes of inactivity the GRC Cloud window will turn gray, displaying a warning message that alerts you that there is 5 minutes to Refresh your session, otherwise after the 5 minutes elapses, you will be logged out. Clicking the Refresh button will reinstate your session.

Only the first instance of a Multi-Parent item in the Matrix Assessor can be edited, each instance after is locked out by the Matrix Assessor. The additional views of the multi-item are colored light blue to identify them as such. Changes made to the multi-parent item will be spread over all other instances.
To view help text for criteria, click on the [?] in the criteria name header.
An asterisk [*] is displayed in the criteria name header for any criteria that is required to be assessed in order to Sign-Off.

Using the Matrix Assessor: Show/Hide Columns Tab

1. Click on the *Show/Hide Columns* Tab to modify the visible columns.

2. For each Item Type, uncheck any column (Item Number, Name, Description, Item/Sub-Item Criteria) you would like to hide. Alternatively, you can click the *All* button to have all columns displayed.

3. Click the *Update View* button.

Using the Matrix Assessor: Autosize Tab

1. Click on the *Autosize* Tab to modify the row and column sizes.

2. In the Row Height section, choose a Minimum and Maximum number of rows using the drop down box, row height can be as small as 1 row to as large as 30 rows.

3. For each Column, a Column Width selection is available. Select from narrow, normal or wide by clicking to designate the width for each column.

4. Click the *Update View* button.

Delete an Item(s) from the Framework

1. Click on **Administration > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Click on the item you wish to delete.

4. The selected item's information will appear in the detail panel.

5. In the detail panel under the *Edit Information* tab, click the *Delete* button.

6. A pop-up will appear asking you to confirm that you wish to delete this item. Click *OK.*

7. You may see a pop-up telling you to uncheck items in your framework panel before proceeding. The system will not allow you to use this Delete button if you have items selected in the framework panel. Click *OK*, and then deselect the items in the framework panel before proceeding.

Alternatively,
1. Click on **Administration > Frameworks > Framework Library.**

2. From the drop down menu select the framework you wish to modify. The first framework in the list is open by default.

3. Check the box(s) beside the item(s) you wish to delete.

4. Right click on any item within the customized framework (framework panel) and select *Delete Checked Items* from the menu that appears,
    OR
    Click on the *Framework Items* button at the top-right of the framework panel and then select Delete All Checked Framework Items.

5. A pop-up will appear asking you to confirm that you wish to delete the selected item(s). Click *OK.*

Update and Propagate Frameworks in Use
(Once It Has Been Added to Locations & Evaluations Have Begun)

There are four ways changes can be made to a customized framework once it is built and assessments have begun.

1. **Save:** Using the Save button updates the changes made to the customized framework but does NOT update the changes made throughout the system. If you expand your organization and add the changed section(s) of the Framework to another Location, the updated items will be used.

2. **Update:** Using the Update button updates the changes made to the specific item for all instances of the item within any location. After modifying an item, click the update button to update every other instance of that item to reflect the new changes.

3. **Alternative Update Approach:**
    Users may find it convenient to Save items as they edit them and then just Update once, rather than clicking Update in each item. The Update button in the left hand panel will Update all items that have been checked in that panel.

4. **Propagate:**
    Using the Propagate button adds this item to all instances of its parent. After adding a new item, click Propagate to

place this new item in every location in which its parent exists. Propagate does not update any changes to the item to any existing instances of the item.

Org/Location Framework

The Org/Location Framework enables Administrators to create specific instances of Items by attaching them to locations such as countries, cities, divisions, departments, etc. associated with your organization.
On the Org/Location Framework page you can easily add locations and sub-locations and import Items from an existing Framework(s).

Location Building Basics

- Items are numbered sequentially in the order they are added. You can modify the numbering standard by allocating your own Item numbers.

- You can right-click on a location in the tree in the left panel to access a menu with more functions.

- You can only add folders to locations. You cannot add risks and controls directly to a location.

- It is recommended that you do not add folders to the top-level location because it will disrupt the process of building the location tree.

- Applications are set up in the Org/Location Framework and behave similarly to Locations.

- User Permissions are handled through Roles and the Role builder

The former Application Framework has been replaced with a capability to set up Applications within the Organization/Location Framework. This will provide more intuitive reporting of Applications and Application Controls or other centrally managed controls.

Note: Locations do not have to be geographical in nature. They can be divisions, subsidiaries, departments, projects, etc.

The Org/Location Framework

1. Click on **Administration > Frameworks > Org/Location.**

2. This will take you to the *Org/Location Framework* screen.

The Org/Location Framework homepage is divided into two panels similar to the Framework Library.

- The framework panel displays your location tree.

- On the detail panel under the *Edit Information* tab you can enter the number, name and description for selected locations and sub locations. Under the Add From Existing Framework tab you will select Items from your customized Framework(s) and add them to each Location in which they are present.

Building/Managing the Org/Location Framework

Add a Location to your Organization

1. Click on **Administration > Frameworks > Org/Location.**

2. Click on your organization's starting point, symbolized by the Earth icon.

3. In the detail panel under the *Edit Information* tab click the *Add a Sub-Location* button. Alternatively, you can mouse over the Org/Location's starting point (or a Location) to which you want to add a Sub-Location. Once it is highlighted, right click on the Location and select *Add a New Location* from the menu that appears.

4. Enter the number, name and description of the new location as required.

5. Any Item Attributes associated with the Location, Sub-Locations or Location Sub-type will appear below the description field. Administrators can fill in the Attributes information in this area, although Manage by Location is generally where Attributes are filled out.

6. Click *Save* to apply your change(s).

Locations and Sub-Locations can be moved to another Parent Location by dragging and dropping a Location onto a different Parent Location (This works the same as in the Framework Library.)

Add an Application to your Organization

1. Click on **Administration >Frameworks > Org/Location.**

2. Click on either the organization's starting point, symbolized by the Earth icon, or a location.

3. In the detail panel under the *Edit Information* tab click the *Add a Application* button. Alternatively, you can mouse over the Org/Location's starting point (or a Location) to which you want to add a Sub-Location. Once it is highlighted, right click on the Location and select *Add a New Application*from the menu that appears.

4. Enter the number, name and description of the new location as required.

5. Any Item Attributes associated with the Application or Sub-Type will appear below the description field. Administrators can fill in the Attributes information in this area, although Manage by Location is generally where Attributes are filled out.

6. Click *Save* to apply your change(s).

Add Processes, Risks and Controls to Locations

1. Click on **Administration >Frameworks > Org/Location.**

2. In the detail panel under the *Add From Existing Framework* tab, use the drop down menu next to 'Select a framework' and select the Framework you want to work from.

3. The Framework developed in the Framework Library section will appear on the detail panel.

4. Locate the Item(s) you want to import to a specific Location. Click on the parent Item in the Framework tree.

5. Drag the parent Item over and drop it onto the sub-location under which you want the Items to appear. (All sub-Items will be included in this drag and drop action.)

6. The system will verify that you do want to add the Items to the location. Click *OK.*

Click on any Item in the framework tree and in the detail panel under the Edit Information Tab, Item Attributes associated with the Item(s) or Item Sub-type(s) will appear below the description field. Administrators can fill in the Attributes

information in this area, although Manage by Location is generally where Attributes are filled out. If you hold the Ctrl key while dragging items from the Pre-built Framework, it will copy all items below it, not including itself, into the item it is dropped into. Instead of dragging an entire branch of a pre-existing framework, you can select certain sections or Items using the check boxes. (This works the same as in the Framework Library).

Folders and Folder Sub-Types can be moved to another Parent Location by dragging and dropping the Folder onto a different Parent Location (This works the same as in the Framework Library).

Delete an Item(s) from the Org/Location

1. Click on **Administration >Frameworks > Org/Location.**

2. In the Framework panel, click on the item you wish to delete.

3. The selected item's information will appear in the detail panel.

4. In the detail panel under the *Edit Information* tab, click the *Delete* button.

5. A pop-up will appear asking you to confirm that you wish to delete this item. Click *OK*.

6. You may see a pop-up telling you to uncheck items in your framework panel before proceeding. The system will not allow you to use this Delete button if you have items selected in the framework panel. Click *OK,* and then deselect the items in the framework panel before proceeding.

Once delete is clicked it will indicate to the user the number of descendants that will also be deleted. A delay is in place to ensure users take the time to acknowledge the implications of the delete. To disable this, simply check the box and OK will be available immediately. The delay will then be removed for for 24 hours. **(7.1)**
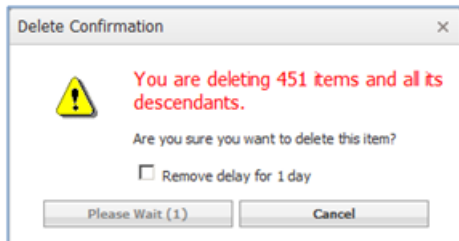
Alternatively,

1. Click on **Administration >Frameworks > Org/Location.**

2. In the Framework panel, locate the item(s) you wish to delete and check the box(s) beside the item(s).

3. Right click on any item within the organizational structure (framework panel) and select *Delete Checked Items* from the menu that appears.

4. A pop-up will appear asking you to confirm that you wish to delete the selected item(s). Click *OK.*

Note:

When you delete any Framework Items (Folders, Processes, Risks, Controls and Tests) added to a Location, the association with the Location is removed. However the item is not deleted permanently. When you delete a Location or Sub-Location, the item is deleted permanently.

The Organizational Starting Point cannot be deleted.

Scoping Item Framework

The purpose of scoping is to identify parts of the framework that do not require further assessment or evaluation work, or that in other words are "out of scope". For Sarbanes-Oxley or Canada Bill 198 users, this is typically done on the basis of the financial value related to specific business activities and so each business process and underlying risk and control can be connected to a scoping item line in the general ledger. This also enables the application to report the link between GL scoping items and processes in various locations, and allows you to dissect the data to understand how instances of processes, risks, and controls are affecting the accuracy and completeness of your financial statements. In other compliance frameworks, or in enterprise risk management programs the Scoping may be done on the basis of different criteria, such as potential risk impact.

In previous versions of GRC Cloud this functionality was referred to as the Account Framework, but is now renamed to reflect the diverse needs of different software users.

The functionality and layout of the Scoping Item Framework is predominantly the same as the Framework Library and Org/Location Framework. The framework panel displays the active Scoping Item Tree and the detail panel displays the org/location framework from which you import items.

The Scoping Item Building Functionality is referred to as Scoping Item Framework. This reflects the need of many organizations, particularly those not involved in Sarbanes-Oxley or Bill 198 compliance to use criteria for placing items in or out of scope for assessment that are not derived from the organization's scoping item structure. Administrators can also change the word "Scoping" to another term more suited to their organization. This customized terminology will then appear throughout the site's interface

Scoping Item Framework Building Basics

- Folders can be imported into a Scoping Item framework from the Location framework by dragging them across the screen. The folders will bring across additional items higher in the tree, such as other folders and locations. You can also choose which lower items, such as sub-folders risk and controls to import into the scoping item framework

- User Permissions are handled through Roles and the Role builder

Building/Managing the Scoping Item Framework

Create the Scoping Item Framework

1. Click on **Administration > Frameworks > Scoping Items.**

2. Click on the Scoping Items starting point or any Scoping Item.

3. In the detail panel under the *Edit Information* tab click the *Add a Sub-Scoping Item* button.

4. Enter the number, name and description of the new Scoping Item, as required.

5. Any Item Attributes associated with the Scoping Items or Scoping Item Sub-types will appear below the description field. Administrators can fill in the Attributes information in this area, although Manage by Scoping Item is

generally where Scoping Item Attributes are filled out.

6. Click *Save* to apply your change(s).

Scoping Items can be moved to another Parent Scoping Item by dragging and dropping the item onto a different Parent Scoping Item. (This works similarly to the Framework Library.)

Associate Items with a Scoping Item

Folders, risks and controls are added from existing location frameworks. When adding a folder, all items above it up to and including the locations are also included to provide a complete identifying reference in the scoping item framework. Any items beneath the folder can also be imported into the scoping item framework, and the Administrator can choose which folders, risks, controls are relevant and therefore should be dragged over and which are not.

Items are now imported into the Scoping Item Framework from the Location structure. Previously they were dragged over from the main framework. This change eliminates unwanted duplication of location-based processes under multiple locations in the scoping item framework.

The Admin can now specify specific sub-folders, risks and controls to be imported into the scoping item framework along with the selected item. In previous versions all lower items would be brought over with a folder.

1. Click on **Administration > Frameworks > Scoping Items.**

2. In the detail panel under the *Add from Existing Location tab,* select a folder to be added to the scoping item framework, by checking the appropriate box. Note that all boxes below and above the selected folder are also automatically checked.

3. Deselect any items below the selected folder that are not required to be included in the scoping item framework (i.e. sub-folders, risks, controls).

4. Drag the selected folder item to the required scoping item.

5. The system will verify that you to want to add the process to the scoping item. Click *OK.*

6. The selected folder will now appear under the selected scoping item. Between the scoping item and the folder are any higher folders and locations, so the instance of this folder (usually a process) can be easily identified.

All the functionality that is mention above (to build out the Scoping framework) is now available in Manage by Scoping. A new interface to select items directly from the Location Framework and add directly to the Scoping Framework can be accessed via the Add Folder button. This is available to both Administrators and normal users via the Roles and Permissions. Enabling the user to add folders to Scoping items will allow them to build out the tree in Manage by Scoping. (6.1)

1. **Manage > By Scoping Framework**

2. Select the Scoping item

3. Go to the *Folders* tab

4. click *Add New Folder*

   The Location Framework will appear in the View Item window

5. Users, based on permissions, can add the desired items to add to the Scoping Framework

Delete a Scoping Item or Top Level Folder from the Scoping Item Tree

1. Click on **Administration > Frameworks > Scoping Items.**

2. In the framework panel place a check mark beside the scoping item or top level folder you wish to delete.

3. Right-click anywhere on the Scoping Item Tree and select *Delete Checked Items* from the drop down menu that appears.

OR

1. Click on **Administration > Frameworks > Scoping Items.**

2. In the framework panel click on the scoping item or top level folder you wish to delete.

3. In the detail panel that appears, click the *Delete* button.

Once delete is clicked it will indicate to the user the number of descendants that will also be deleted. A delay is in place to ensure users take the time to acknowledge the implications of the delete. To disable this, simply check the box and OK will be available immediately.The delay will then be removed for 24 hours. (7.1)
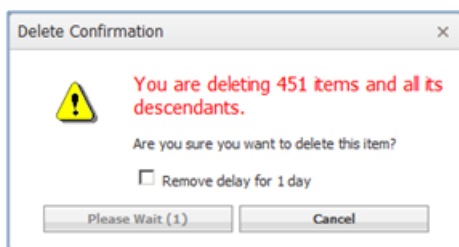
Completion Reminders (Schedules) - Functionality Retired in v8.0

The behavior of Completion Reminders set at the sub-type level in terms of whether the reminders are impacted my main type criteria is now configurable.

The Completion Reminders feature enables automated reminders to be sent to users to finish their evaluations before given dates. This is set up for each item type and sub-type if required. Multiple schedules can be designed and one selected as a default for that item type. The Administrator or a user with appropriate advanced permissions can override the default schedule with one of the other schedules for that item type in Manage by Location. The recipients of reminders and the number of reminders that are sent are managed in user roles.

Where an item has a completion reminder set on both the main item type and the a sub -type, only the sub-type completion reminder functions and the main type reminder is ignored. When configuring a sub-type completion reminder, the Admin-istrator can select whether or not criteria related to the main type should be checked when determining whether an item is complete or not and thus whether a reminder should be sent. A completion reminder on a sub-type cannot be configured to check the completion status of criteria attached to other sub-types. (A completion reminder set on the main type does not check the completion status of any sub-type criteria.)

1. Click on **Design > Item Templates.**

2. Select the Item Type (or sub-type) for which you will set the Completion Reminders.

3. Click on the *Schedule* tab.

4. Click Edit Schedules

5. Select the Schedule you wish to edit, from Annually, Semi-Annually, Quarterly or Monthly. The appropriate number of boxes for selecting dates will appear.

6. Select the months and days you wish the reminders to be sent for that schedule. Enter values from 1-12 in the month column and 1-31 in the day column.

7. If creating/editing a completion reminder for a sub-type, select whether the reminder should check for completion of just the criteria related to that sub-type or check the main type criteria in addition to the sub-type criteria.

8. Click Save. The system will validate that all the dates entered are possible combinations (for example 02 and 31 would not be a possible combination) and you will be instructed to re-enter if there are erroneous date combinations.

9. If an alternate schedule is required (example some risks may require more frequent or less frequent assessment than others), chooses another schedule and repeat steps 5-7.

10. Press Cancel/Go Back.

11. Select the Schedule that will be the Default for that item type or sub type. Click Set as Default Schedule.

GRC Programs

Introduction

This feature tackles an ongoing challenge in the GRC world, providing clear, effective instructions to a wide variety of end users.

There are many roles that participate in GRC: Issue owners, Auditors, Risk Managers, Reviewers, Approvers and more. Some roles will access the system daily, others once or twice a year. Even within a role, the degree of access can vary

significantly; for example, Joe may be the Process Owner for Accounts Receivable, but Mary might be a process owner for Payroll, Human Resources, Accounts Payable and Financial Reporting.

GRC Programs has been designed to help organizations provide clear, efficient access to areas of responsibility, so that users can get their work done quicker.

First some terminology:

> **GRC Programs** – The high level "Program" that you engage in e.g (Internal Control, NERC Compliance, Risk Management, Legislative Compliance…)

> **GRC Activities** – The "activities" that users perform within a program (Testing, Self-Assessment, Reporting…)

Since every organization is different GRC activities can be configured by administrators to match the internal processes. Navigate to "GRC Programs" under the Administration menu to configure programs and activities for your organization.

Configuring Programs and Activities

1. Activities can be linked to Roles to determine visibility.

2. Activities can be linked to Time Tracking to allow logging of time against these activities in the timesheet. Time Tracking is mapped to an activity via an item type and workflow states.
   Example 1: Auditors might like to log time spent doing Fieldwork on the Audits that are active.

3. Activities can be linked to Focus to allow users to choose an object to focus on which will drive navigation through the focus selector in the top left hand corner of the menu.
   Example 1: Process Owners might like to easily focus on different processes regardless of which state they are in.
   Example 2: Internal Control Testers might like to easily focus different processes that are in an Testing workflow state

Building Programs and Activities

By default all sites are equipped with a best practices pre-configuration of Programs and Activities. The pre-configuration covers all major programs within GRC.

Included Programs:

1. Internal Audit

2. Internal Control

3. Risk Management

4. Administration

5. Compliance

6. Incident Management

7. Balance Scorecarding

8. Legacy Time Tracking

Each of these programs are equipped with activities relevant to that program. This is simply a best practices guide and all programs and activities can be edited or /removed.

Programs / Activities

| Add Program | 🔍 |

Internal Audit

> Planning and Risk
> Assessment
>
> Fieldwork
>
> Reporting
>
> Follow-Up Review

Internal Control

Risk Management

Administration

Compliance

Incident Management

Balance Scorecarding

Legacy Timetracking

Planning and Risk Assessment 🟨 ▼

Roles

- Audit Manager
- Auditor In Charge
- IA Director

[Change Role Links]

Time Tracking

☑ Enabled on this Activity
Linked Item Types

Auditable Entity   Auditable Entity Status
☑ Risk Assessment
☑ In Scope
☑ Out of Scope

Audit Project   Status
☐ Project Scheduled
☑ Project Planning
☑ Fieldwork
☑ Project Closure
☐ Project Closed

[Change Item Type Links]

Focus

☑ Enabled on this Activity
Linked Item Types

Audit Project   Status
☑ Project Scheduled
☑ Project Planning
☐ Fieldwork
☐ Project Closure
☐ Project Closed

Focus Picker Need to Knows

The focus selector is available via the top left corner of the menu. A user will be presented with items that have been configured to be available to their role via the GRC Programs page. Selecting a focus will automatically zoom-in on that item. The users Dashboard, Manage By Location, Item Overview and Hierarchical Reports will all use the selected focus as a filter to show content in and below that item.

1. Searching: the search capabilities search all elements on the page (including the context).

2. Caching: the list of items seen in the picker is cached for 20 minutes. If you are not sure if it's up to date, click the refresh option.

3. Exception to #2: workflow transitions will automatically refresh the focus picker. Example: if a focus item (our any item in the focus picker has it's workflow transitioned making it no longer relevant to that user's list, it will update automitically when the user accesses the focus picker. They do not have to manually click the refresh option.

4. Filters: Activities and Item Types can be filtered as one or together.

5. Clear Focus: resets your focus back to the starting point defined in the User Profile.

6. Focus Reset: selecting a link that falls outside of the defined focus will navigate to that item and reset the focus.

7. Reports: once a focus is selected, saved reports, new reports, Homepage pie charts and Executive Dashboard will respect the new focus.

8. Focus does not apply to the following areas: Matrix assessor, Survey, Audit trail, Framework Library, Location Builder, Scoping Builder.

9. Workflow Emails: Clicking on a link from an email will automatically reset the focus.

10. Login: focus will be persisted upon login. Your last selection will be remembered.

11. Current Selection: will be highlighted in Red in the Focus Picker list of items.

Programs and Actions

Actions allow users to quickly navigate the system with ease. They drive users to the area of the application they require to get their work completed.

Actions

☑ Offline Enabled on this Activity

Linked Actions

Report **02. Corporate Objectives with Risks**	🖊
Report **01. Auditable Entities Risk Assessment Report**	🖊
Reference **Corporate Policy** (http://www.internal.ca)	🖊

[Reference] [Report] [Analytics]

Program and Activity: Action Types

1. **Offline**: provides an option for user to take all items below a specific focus point to an offline state.
    a. Navigate to Programs and Activities

    b. On the required activity (Example: fieldwork), scroll to the Actions.

c. Check off: Offline Enabled on this Activity.

Focus

☑ Enabled on this Activity

Linked Item Types

　Auditable Entity

Auditable Entity Status
☐ Risk Assessment
☑ In Scope
☐ Out of Scope

　Control Objective

Change Item Type Links

Actions

☑ Offline Enabled on this Activity

Create New Action

　　d. An Offline option will be available per item in the focus picker.

2. **Reference or Link**: Utilized to navigate users to a specific item in the hierarchy or an external link outside of GRC Cloud (webpage).
   a. Navigate to Programs and Activities.

   b. On the required activity (Example: fieldwork), scroll to the Actions.

   c. Click on Create New Action.

   d. Select Reference.

   e. Insert Name.

   f. Insert Url or Link (must contain http/https).

   g. Set Focus after clicking on action: Determine if focus should be set when action is clicked on. It is selected by default.

h. If required, link to open in a separate window by selecting the option to Open in another window.

Actions

☑ Offline Enabled on this Activity

Name [   ]   ☐ Open link in a new window

URL [   ]

[Add] [Cancel]

3. **Reports:** Utilized to link internal GRC Cloud reports to the focus picker.
   a. Navigate to Programs and Activities.

   b. On the required activity (Example: fieldwork), scroll to the Actions.

   c. Click on Create New Action.

   d. Select Reports: A list of all Administrative Reports will be available.

   e. Select report
      ● Only includes Item Overview and Hierarchical Reports. Summary reports are not available.

   f. No save required.

Actions

☑ Offline Enabled on this Activity

Linked Actions

Report **02. Corporate Objectives with Risks**   ✏

🔍 [   ]   [Cancel]

01. Auditable Entities Risk Assessment Report

01. Corporate Objectives

01. Risk Based Account Scoping Report

02. Corporate Objectives with Risks

   g. Set Focus after clicking on action: Determine if focus should be set when action is clicked on. It is selected by default.

- To deselect, click the pencil icon after report is selected and added to the list of actions - uncheck the 'Set Focus when clicking on action' option.

4. **Workflow Triggers:** embed a workflow trigger action that allows users to transition items from the focus picker.

   a. Execute High Level Task through the Focus Picker
      - Submit Audit Fieldwork

      - Close Audit Projects

      - Complete Risk Assessments

      - Send Engagement Letters

   b. Built in confirmation statements ensures all low level requirements have been met.

   c. Focus Picker auto updates after a workflow action
      - Removes the item if it is no longer applicable

   d. Customizable icon and name display

   e. Setup
      a. Via the Administration Menu option, open GRC Programs and select the applicable program & activity.

      b. Click *Create New Action.*

      c. Click *Triggers.*

      d. Based on the Item Types and states defined for the activity, a list of triggers are available to add to the activity.

      e. Select a trigger.

f. To customize the trigger text or icon, edit the action.

g. Notes:
   a. Regardless of the permissions, the trigger will show on the focus picker. Once clicked the actual permissions will be applied.

   b. Multiple Triggers can be added.

   c. Copying a workflow and republishing will maintain the triggers.

   d. Focus will not be set when the workflow trigger is executed.

   e. IMPORTANT: Un-publishing a workflow will remove the triggers from the activity. It will require the a reconfiguration. Best practice would be to copy and republish.

Analytics: Analytics are reports typically built through the Data Warehouse and 3rd Party reporting tools. This feature requires the Enterprise Edition of GRC Cloud.

   a. Navigate to Programs and Activities.

   b. On the required activity (Example: fieldwork), scroll to the Actions.

   c. Click on Create New Action.

d. Select Analytics.

e. Select an Analytic Report: Defined by list of all reports created in Manage Analytics. See Manage Analytics page.

f. Multiple actions can be added.

g. No save required.

h. Set Focus after clicking on action: Determine if focus should be set when action is clicked on. It is selected by default.
   - To deselect, click the pencil icon after report is selected and added to the list of actions - uncheck the 'Set Focus when clicking on action' option.

What are you working on today?

🔍 search by name, number, or path

☑ **2014 Payroll Audit**   [Remove Focus]
ABC Manufacturing Co

Fieldwork

Audit fieldwork concentrates on transaction testing and informal communications. It is during this phase that the auditor determines whether the controls identified during the preliminary review are operating properly and in the manner described by the client. The fieldwork stage concludes with a list of significant findings from which the auditor will prepare a draft of the audit report.

Take Offline   Audit Working Paper   Audit Schedule   Submit For Review

Have you attached all applicable evidence / documentation?
[Continue] [Attach Evidence]

☑ **2014 Payroll Audit**   [Fieldwork]
ABC Manufacturing Co

☑ **4) Procurement Audit**   [Fieldwork]
ABC Utility Co.

Focus Picker On-Going Improvements
Description

The description detailed in the setup of the activity will now be displayed in the focus picker (per item / per activity)

New way to Set the Focus

After clicking on the items a user wants to focus on, it will expand with the description, actions, and new option is displayed to *Focus on This*.

Focused Item will also remain at the Top

After setting the focus and opening the focus picker, the item selected will be at the top, expanded and highlighted in yellow.

Additional Changes

- The activity related to the focused item is indicate in the top left menu option to request the Focus Picker. If multiple activities, it will not show until an action is selected from an activity.
  This can be activate via the system settings: Show activity name in header = True.

- Auto Expand: if there are no homepage preferences on the homepage (Reports / Pie Charts), the Focus Picker will auto expand for the user.

- Indictor is given if more than 30 items are listed on the focus picker
  New Message: 1-30 of x focus items displayed. Search or filter to refine results.

- Selected a report will also set the focus.
    - Except offline and links

- Summary Report respects the focus selected.
    - Only applies when the user is ordering by framework

- Note: GRC Programs page is not supported in Internet Explorer 8.

To learn more about configuring GRC Programs for your organization, please contact **Resolver Client Care**.

Managing Advanced Reporting and Analytics

Manage analytics is the area of the application to configure advanced reporting and analytics. In most cases, these reporting tools require access to the data warehouse. Both components are available via Enterprise Edition of GRC Cloud.

Components of Managing Analytics:

1. **Report Name**: Name of the report.

2. **Description**: Shows in the Analytics report page.

3. **Visibility**: Type of users that can view the reports via the Analytics page.

   a. None: no users see it on the Analytics page

   b. Users: all users see it on the Analytics page

   c. Admins: only administrators see it on the Analytics page
   Note: Regardless of visibility the reports are available to administrators when creating actions in programs / activities.

4. **Filter by**: defines the starting point for the report.
   a. If enabled: the focus item used to access the report will be applied to the report as the 'starting point'.

   b. If disabled: the report defaults to the entire database.

5. **Type**: type of report
   a. External Reports: provides the ability to upload Excel, Word, PowerPoint and Visio documents to be displayed in the Focus Picker (See Programs/Activities).

   b. Tableau and Crystal reports: components that are part of GRC Cloud Enterprise Edition. Please contact Resolver Client Care or visit our website to learn more.

Note: the Manage Analytics page does not support the use of Internet Explorer 8. Please upgrade your browser. A message will be shown to the user.

To learn more about the **GRC Cloud Enterprise Edition**, please contact Resolver Client Care or visit our website.

Done Adding New Report

Name *

Description

Analytics Page Visibility
- ● None
- ○ Users
- ○ Administrators

Filter By
- ☐ Focused Item or Starting Point

Type
Tableau Report ▼

Report Definition *
Share View Url (Email)

Add

Manage Information

The Manage Information area is available to all Internal users (except Reporting Only users). It is the most widely used area of GRC Cloud where users document processes, risks, controls and other items, document tests and record results, identify issues and create mitigation plans where necessary and finally, where the objective is compliance with Sarbanes-Oxley Section 404 or Canada Bill 198 (NI 52-109) it is here users sign off or certify their area of responsibility.

The following functionality is documented in Help. Click the links below for further information.

1. Manage by Location vs. Manage by Scoping Item: Choice whether to view the hierarchy in terms of corporate organizational structure or in the context of the general ledger accounts impacted by the processes, risks and controls, or other appropriate criteria for determining whether items are in scope or out of scope. (In older versions of GRC Cloud, scoping was known as accounts).

2. Manage Attributes: Some users may have access to edit descriptive information relating to framework items.

3. Manage Evaluations: A key area of functionality where users assess and evaluate risks, controls and other items.

4. Manage Role Permissions: Setting access for users in specific Roles for different areas of the framework and criteria within those items.

5. Sign Off: The certification process necessary for key controls and related risks, processes, locations etc to meet the requirements of SOX 404 and Canada Bill 198 (NI 52-109). Sign-Off is not used for sites which have the optional Workflow functionality activated.

6. Manage Attachments: Uploading external documents into GRC Cloud, managing updates and access.

7. Change Log: Review listing of all changes made to any framework item.

8. Matrix Assessor: A convenient spreadsheet-like format for simultaneous assessment of multiple items.

9. Manage Non-Framework Items: Add items such as issues, action plans, tests and notes to the framework.

10. Manage Framework Items: Capability to amend sections of a framework for Administrators and users that are members of roles with advanced permissions.

11. Right Click Menu: Quick access to reporting, matrix assessor, and charting via a pop-up menu.

Context

Introduction to Context

Many organizations have the same processes and controls in multiple locations. Understanding that you are looking at a control in the Payroll Process in Denver instead of New York or Rome is an important distinction; however showing the entire path to the root of the tree can often include many layers of information that are not helpful for context.

For example the full path for the scenario above could be:

My Company > North America > USA > Colorado > Denver > Internal Control > Business Process > Payroll

My Company > North America > USA > New York > New York> Internal Control > Business Process > Pay-roll

My Company > Europe > Italy> Rome > Internal Control > Business Process > Payroll

The Item types and subtypes for this path are in order:

Organization> Continent > Country > State> City > Folder > Topic > Process

However the only path needed for Context would be:

Country > City > Process

USA > Denver > Payroll

USA > New York > Payroll

Italy> Rome > Payroll

Context allows administrators to identify which item types and subtypes are important and can then dramatically shorten the path to an item. This abbreviated context field shows up in the Item Overview reports, the Focus Picker, Timesheet and in the Hierarchical Report Details.

Customizing Context

As noted above, administrators have full control over what displays as the context throughout the application. Each item type and it's associated sub types have an option to display that type in the context. By default, the location/entity main type is selected.

Note: Context is responsive to the hierarchical rules applied throughout the application. For example, if focused on a risk, it will show the context of it's ancestors. It will not reference any descendants (ie: controls). Context path is not based on per-missions. It automatically assumes users have name permissions.

Steps to Set up Context:

1. Navigate to the Item Templates (Menu: Administration > Item Templates)

2. Select the item type (or sub type) to reference in the context

3. Check off *Path Context*

4. *Save* the Item Template

5. If desired, select another item type to show in the context

After saving, the item type will now show in the Areas of Applicability referenced below.

Areas of Applicability

Context can be referenced in multiple areas across the application: Item Overview, Focus Picker, Timesheets and Hierarchical Report Details.

Item Overview

When building an Item Overview report, an additional column to display is available to display the context in the report. Customizing the Item Templates will drive the context that is shown in the report. It will be the default. As noted above, if no item templates are selected to display the context, it will default to Location/Entities in the Path selector.

The default item types can be modified in the report. If saved, the modified selections will be applied to that report.

Focus Picker

Administrators have an option to show the context path in the Focus Picker header. This is defined via the System Settings
.

1. Navigate to the System Settings (Menu: Administration > System > System Settings)

2. Locate the setting: *Show Context in Header*

3. Set to True

4. *Save*

This action will input the context path in the header of the Focus Picker.
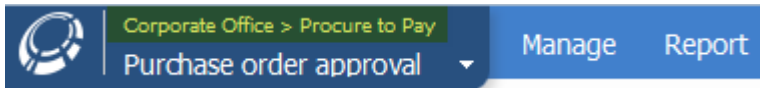
The Context Path will also be displayed under items listed in the Focus Picker. Note: this is not driven by the system setting. It is always visible.

Example: List of Audits referencing the Auditable Entity it is related to.

Timesheets

In the audit world, it's common to have multiple audits span the same period of time. Therefore, when tracking time, users are provided with additional context defining the relationship of the Audit.

Example: when selecting Audits to track time against, it provides a the context of the Audit Entity it's related to.

Timesheet for: *Stephenie the Audit Manager*

← **March 3rd - March 9th** →

	Activity	Item	3 Mon	4 Tues	5 Wed	6 Thurs	7 Fri	8 Sat	9 Sun	Total
★	Internal Audit : Planning and Risk Assessment	System Security and Configuration								0
★	Internal Audit : Planning and Risk Assessment	Customer Complaints and Recalls								0

Done Adding Row(s)

| | | Total: | 0 | 0 | 0 | 0 | 0 | 0 | 0 | |

Internal Audit: Planning and Risk Assessment

Select an Item

🔍

4) IT Systems and Projects

55) Customer Complaints and Recalls (Audit Project)
Customer Complaints and Recalls

59) IT Systems and Projects (Audit Project)
IT Systems and Projects

5) Cash Management and Deposits

67) Procurement (Audit Project)

Add to Timesheet

Hierarchical Report Details

To view the context in a Hierarchical Report, expand the details in the report header.

| Rebuild | Refresh | Save Snapshot | Assessor | Print | Export |

□ 6. Control Testing:

Starting: > Audit Project 123 - Accounts Receivable

Limit By:

Displaying: Audit Project, Control Activity, KRI, Process Control, ERM Control, IT Control

Filters:

Assessment	Status	Audit Year Completed	Start Date	End Date	Auditor in Charge	Objective	Control A
🎗 Audit Project 123 - Accounts Receivable	Project Closure	2012	1/10/2012	1/27/2012	Stephenie the Audit Manager	The overall objective of this audit was to assess whether the systems of internal control over Accounts	C System acc

Manage by Location vs. Manage by Scoping Item

GRC Cloud features two distinct ways to organize and manage your data: By Location or By Scoping Item.

Types of Frameworks:	Use:	Example:

Manage By Location Framework	*Manage By Location Framework provides access to your framework via the location it is attached to.* *For example to access the Sales process click on the location where that Sales process operates. In this case Toronto, Vancouver, San Diego or New York.*	**Manage By Location** □ 1) Company ABC 　□ North America 　　□ Canada 　　　□ Toronto 　　　　□ 1.1.1) Purchasing 　　　　□ 1.1.2) Sales 　　　□ Vancouver 　　　　□ 1.1.2) Sales 　　□ US 　　　□ New York 　　　　□ 1.1.1) Purchasing 　　　　□ 1.1.2) Sales 　　　□ San Diego 　　　　□ 1.1.2) Sales
Manage By Scoping Item Framework	*Manage by Scoping Items provides access to your framework by Scoping Framework first and Location second. This option is only available if your administrators have configured an association between your GRC framework and a given scoping criteria, such as account line. Since a process or activity must in real life occur in a physical location(s) there is also a required location association for scope-based or account based management. Processes that are linked to a scoping item must also be linked to a location where they occur. All locations where that process operates will then be independently displayed beneath that account line to allow evaluations that are distinct at each location.* *For example to access the same Sales process from the example above click under Receivables, Net (the Account line that the*	**Manage By Scoping Item** □ Accounts 　□ 1) Balance Sheet 　　□ 1.1) Current Assets 　　　□ 1.1.1) Cash and Cash Equivalents 　　　□ 1.1.2) Receivables, Net 　　　　□ New York > US > North America > Compan 　　　　　□ 1.1.2) Sales 　　　　□ San Diego > US > North America > Compa 　　　　　□ 1.1.2) Sales 　　　　□ Toronto > Canada > North America > Com 　　　　　□ 1.1.2) Sales 　　　　□ Vancouver > Canada > North America > C 　　　　　□ 1.1.2) Sales 　　　□ 1.1.3) Inventories 　　□ 1.2) Non-Current Assets
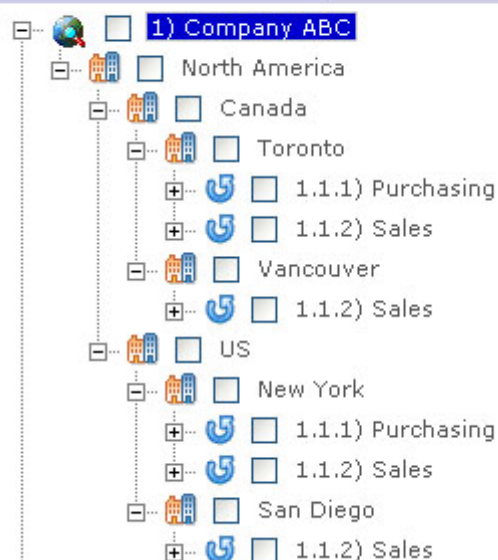
Sales Process has been attached to) and then under the location where that process operates.	

Synchronizing Manage by Trees (Scoping to Location)

Administrators can determine which item types in the system automatically sync to the Scoping Tree. Historically, this was a manually action placed on the user done through the Scoping tree after adding any new or framework items to the location tree. This feature gives the user and the administrators the reassurance the scoping tree is an up to date and accurate representation of the location tree.

Feature Overview:

- Administrators can define the item types to be synchronized

- Administrators can define what type the parent must be in order to synchronized (including subtypes)

- Adding items, either new or from the framework, to the Location tree automatically gets added (synchronized) to the scoping tree

- Mass synchronization: existing sites can enable the functionality and on Save will synchronize the two trees

Define Item Types to Synchronize

It has been designed to allow maximum flexibility when determine which items types get synchronized to which parents types. For each main and corresponding subtypes, it allows the admin to define 'synchronize this main and/or sub type(s), if the parent is of type(s) x AND exists in the scoping tree'.

For Example: Administrators can synchronize ERM Controls (subtype of control) to ERM Risks (subtype of risks), and only if they are present in the Scoping. tree.

This functionality will apply to all avenues of item creation and item addition in relation to the Manage by Location Tree.

- Propagate an item from the Framework Library

- Add new items in the Manage by Location tree

- Add existing items in the Manage by Location tree from the framework

- Add items in the Matrix Assessor

Steps

1. Main Menu > *Design* > *Item Templates* > Select an item type (or sub type)

2. On the *Overview* tab find *Synchronize Item Type*

3. Expand the drop down: it will contain all relevant hierarchical options that the item type can be synchronized with

4. Select the parent(s) to sync the item types

5. *Save*

Warning: Once saved, it will automatically go to the Manage by trees, find the defined relationships and synchronize them to the scoping tree. Upon refresh both trees will be synchronized with each other. Un-checking the synchronize option on the item template will NOT undo the synchronization. It will simple stop future actions from synchronizing.

Notes:

- Synchronizing the item type will override the system setting to *Disable Ability to Add New Items to all scoped parent items.* Item will auto-synchronize across both trees, regardless of this setting. See "System Settings" on page 250

Manage Attributes

A summary of Item information is displayed on the *Overview* tab including the parent Item, the Item description, whether the item is a Single Assessment Item, any Completion Reminder schedule (Functionality retired in v8.0) and the Item attribute criteria. The information on the *Overview* tab (i.e. Attributes) is meant to be input initially and is typically static for subsequent reporting periods. Information on *Overview* tab is used to produce reports and provide background information about an Item when performing evaluations. An asterisk (*) beside any field indicates it must be completed for the Item to be signed off.

GRC Cloud supports the use of foreign languages, including those with accented characters (for example, French, German, Czech, Vietnamese) and non Roman alphabet characters (for example Chinese, Russian, Greek, Japanese, Hindi) when entering information into fields.
Date formats and number formats also determined by a user's settings for "culture".

All criteria values can be cleared. For single line text boxes, rich text boxes and numerical fields the items may simply be deleted. For check boxes, items may be unselected by clicking the boxes. User lists are cleared by clicking the X next to a user's name. Radio buttons and date fields have a Clear option. Drop-down menus are cleared by selecting the "Select" choice in the menu.

Edit an Item's Attributes

1. Click on **Manage > By Location** or **Manage > By Scoping Items.**

1. Choose an Item from the tree in the framework panel.

2. In the detail panel under the *Overview* tab, you will see Item Attributes. Different Items have different Attributes. You can modify some or all of the fields depending upon your permissions.

3. Assess the Attribute Criteria using the drop down menus, check boxes, radio buttons, text fields, etc.
   Drop down criteria is searchable by label. Begin typing and the label options will match and narrow the selection. (6.2)

4. If the Item you are evaluating is also an Item Sub-Type, then all Attributes pertaining to the Sub-Type will also be listed below the Item Attributes. The Sub-Type icons will be displayed to indicate if the Attribute is associated with a Sub-Type.

5. Click *Save All Changes* to apply your change(s).

If you require more information about the Attribute Criteria and how to evaluate a field, click the question mark (?) help button to display the help text and guidelines entered by the Administrator.

Edit Attributes Via the Matrix Assessor

Attribute modifications can now be performed on multiple items at once.

1. Click on **Manage> By Location or Manage > By Scoping Items.**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Either, press the Assessor button at the top of the left hand panel,
   or
   right click on the text of the tree to make the pop-menu appear. Select *Assess Checked Items in the Matrix Assessor.*

4. The matrix assessor will load.

Note: Select only the items you wish to evaluate and items required for context. Selecting large amounts of items may result in performance degradation.

For more information on how to use the Matrix Assessor, see [Manage > Matrix Assessor >](#).

Manage Evaluations

All Assessment Criteria for the Item Type (and Item Sub-Type(s) if there are any) are listed on the *Evaluations* tab. This *Evaluation* tab includes all the criteria you will assess for each reporting period. An asterisk (*) beside any field indicates it must be completed for the item to be signed off.

Key features and content of the Evaluations Tab:

1. Evaluate via the Evaluations Tab

2. Viewing Past Period Data

3. Calculate Functions vie the Evaluations Tab

4. Evaluate via the <Child Item> Tab

5. Evaluate via The Matrix Assessor

All criteria values can be cleared. For single line text boxes, rich text boxes and numerical fields the items may simply be deleted. For check boxes, items may be unselected by clicking the boxes. User lists are cleared by clicking the X next to a user's name. Radio buttons and date fields have a Clear option. Drop-down menus are cleared by selecting the "Select" choice in the menu.

Evaluate Via the Evaluations Tab

1. Click on **Manage > By Location or Manage > By Scoping Item**.

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Evaluations* tab, you will see the Evaluations attached to that item.

4. Evaluate the Criteria using the drop down menus, check boxes, radio buttons, text fields, etc.
   Drop down criteria is searchable by label. Begin typing and the label options will match and narrow the selection. (6.2)

5. If the Item you are evaluating is also an Item Sub-Type, then all criteria pertaining to the Sub-Type will also be listed below the Item criteria. The Item and Sub-Type icons will be displayed to indicate with which Item or Sub-Type the criteria are associated.

6. Click *Save All Changes* to save your assessments.

If you require more information about the Evaluation Criteria and how to evaluate/fill in the item, click the question mark (?) help button to display the help text and guidelines entered by the Administrator.

Viewing Past Period Data

If the user's data preferences have been set to view specific previous periods and evaluation criteria, this information will automatically appear immediately below the current period data in the right hand panel on the Manage by Location screen. To set up your own user profile to see this see [Data Preferences in My Profile.](#) *Instructions for Administrators to set up this feature for other users is found in* [Data Preferences in User Management.](#)

Calculate Functions Via the Evaluations Tab

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the Evaluations tab, below the Criteria you will see the Functions Evaluations.

4. Displayed for each Function is: the name of the Function, the formula to calculate the Function and the date of the last evaluation. If set up during the creation or modification of the Function, Past Results and/or a Range will be displayed.

5. If the function has Past Results selected, click the + button to view the Previous Results. To return to the Latest Results, click the – button.

6. Calculate the Function by clicking the Calculate button.

7. Click Save *All Changes* to save your assessments.

Evaluate Via the <Child Item> Tab

When an Item has a Sub or Child Item that has evaluations attached to it and the user has evaluate permissions for that Child Item, then evaluations for that Child Item can be done via a tab on the Parent Item page.

This feature was removed in Release 6.3

Evaluate Via the Matrix Assessor

Evaluations can now be performed on multiple items at one time.

1. Click on **Manage > By Location** or **Manage > By Scoping Item**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Right click on the text of the tree.

4. A pop-menu appears. Choose *Assess Checked Items in the Matrix Assessor*.

5. The matrix assessor will load.

Note: Select only the items you wish to evaluate and items required for context. Selecting large amounts of items may result in performance degradation.

Managing Roles and Permissions in Manage by Location / Manage by Scoping Item

Administrators and other users with appropriate permissions can manage Role Membership and permissions within Manage by Location/ Manage by Scoping Item.

Also see:

- Understanding Roles and Permissions

- Setting up Roles and Permissions in Role Builder

- Syncing Multi User Picker with Permissions

Adding Roles and Users to Items

1. Click on **Manage > By Location** or **Manage > By Scoping Items**.

2. Choose an item and click the *Permissions* tab. If any Role permissions are already set up for this item, the role name(s) and user/group name(s) appear in a table. These role permissions may have been set up specifically for this item, or may have cascaded up or down from another item in the framework.

3. Click *Add Users/Groups*.

4. In the left hand column select one or more roles to be applied to this item. In the right hand column select one or more users or groups. This can be done by scrolling up and down the list of users, or by typing in the name of the user and then checking the box adjacent to the user name. (Users can be deselected by unchecking the box.)

5. Click *Save*.

6. Click *Go Back.* The selected Roles are now set for this item and the selected Users/Groups have the Role permissions for that item. In addition, if this Role features permissions for other item types, these permissions will cascade directly up and down the hierarchy for items of those types or sub types.

Removing Roles and Users from Items

1. In Manage by Location, open an item and click the Permissions tab.

2. Review the list of Role names and User/group names. If an *X* appears next to it then it can be deleted by clicking the *X*.

Note: In Manage by Location/Scoping Item, Role memberships can be deleted only at the item at which they were set up. This is referred to as the Anchor Point. If no X appears next to the Role and User/Group name it means that the permissions on this item cascaded from an item either higher or lower in the hierarchy. To delete this role permission it is necessary to browse higher level and lower level items to find the Anchor Point (i.e. where the X appears next to the Role and User/Group names) and delete it at that level. It will then be automatically deleted from all items to which the permissions were originally cascaded.

Copying Roles

To copy a role

1. Go to the Roles page.

2. Click the Copy icon beside the delete button.

3. Role gets copied and appends the name with _Copy.

4. Note: It will copy the entire permission configuration for that role (the permission tab in the role). It does not copy the user permissions or workflow associations.

Syncing Multi User Picker with Permissions (6.1)

During creation of the user list criteria, the administrator has the option to set the criteria to synchronize with a defined user role. It will add the user selected to the synched role while cascading to the relevant tree items as regular permissions would. It also works in the reverse by syncing any removal of permissions via the Role Builder or Permissions tab with the users in the criteria list.

Creating the Criteria

1. Administration > Item Templates > Select "Item Template"

2. Attributes or Evaluations tab

3. *Add New Criteria*

4. Select *User List* as *Criteria Type*

5. Select *Multiple* as *Selection Type*
   Note: Page will refresh with Permission management options

6. Check: 'Synchronize the user list with the defined role and applicable permissions'

7. Select the Role
   Note: users added to the user picker will be synced with these role and inherit the applicable permissions when the item template is saved.

This criteria will now be visible to the users in Matrix Assessor and Manage by Location/Scoping. Any users added to this criteria will be granted all applicable permissions granted via the role, using that item as the anchor node.

Cascading of permissions will be applied to the tree, however, the anchor nodes other levels will not be overridden. For further information on permissions and cascading please See "Understanding Roles and Permissions" on page 244

Syncing applies to both adding and deleting users from this criteria.

Sign Off

Items are Signed Off only after all required assessments have been completed. When an Item is Signed Off, access to the item is restricted to Read Only. Sign off of an item can only be completed when all the items below have been signed off and all required fields have been completed. (I.e. a Control needs to be Signed off before a Risk, a Risk before a Process and so on.) Sign off rolls up through the hierarchy, by default only Locations, Folders, Risks and Controls are configured for Sign off. If you wish to have other Items configured for sign off, please contact Resolver.

Setting Required Criteria

1. Click on **Design > Item Templates.**

2. Select the Item Type you wish to have required criteria for.

3. Click on the *Attributes* or the *Evaluations* tab.

4. Add Existing Criteria or Add New Criteria (For detailed instructions see Design > Item Types and Templates > Assign Criteria as an Attribute or Evaluation).

5. In the *Required* column, uncheck to make the criteria not required.

6. Click the *Save* button.

By Default, the *Required?* option is already checked. Each criterion attached to that Item will be Required unless the option is unchecked.

Sign Off a Location, Folder, Risk or Control

1. Click on **Manage > By Location.**

2. Choose a Location, Folder, Risk or Control you wish to Sign Off from the tree in the framework panel.

3. In the detail panel under the *Overview* tab you will see *Sign Off* button.

The Sign Off button is only available after all required fields have been completed and all child items have been signed off. Required fields are indicated by an asterisk (*) after the criteria name. Once all of the required fields are complete, the item is available to be Signed off; otherwise the *Sign Off* button will be grayed out.

4. Click the *Sign Off* button.

5. This item is now Signed Off. It cannot be modified and is restricted to Read Only access.

Re-open a Signed Off Location, Folder, Risk or Control

1. Click on **Manage > By Location.**

2. Choose a Location, Folder, Risk or Control you wish to Re-open from the tree in the framework panel.

3. In the detail panel under the *Edit Information* tab you will see *Re-open* button.

4. Click the *Re-open* button.

5. This item is now Re-Opened. It can now be modified and is no longer restricted to Read Only access.

The Sign off status of Locations, Folders, Risks and Controls is displayed at the top right of the detail panel.

Mass Sign-Off in Matrix Assessor

Matrix Assessor enables items to be signed off without having to manually sign off all lower items first, assuming all the lower level items have been signed off or are available to be signed off.

1. Click on **Manage > By Location** or **Manage > By Scoping Item**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Click the *Assessor* button
   or
   Right click on the text of the tree and a pop-menu appears. Choose *Assess Checked Items in the Matrix Assessor*
   .

4. Click *Sign Off All Items*

Re-Open Items in Matrix Assessor

Matrix Assessor enables items to be signed off without having to manually sign off all lower items first, assuming all the lower level items have been signed off or are available to be signed off.

1. Click on **Manage > By Location** or **Manage > By Scoping Item**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Click the *Assessor* button
   or
   Right click on the text of the tree and a pop-menu appears. Choose *Assess Checked Items in the Matrix Assessor*
   .

4. Click Re-Open All Items. Note that when re-opening only the level of items displayed in Matrix assessor is re-opened and not all the child items. This is to stop the inadvertent re-opening of lower level items that should remain signed off.

Manage Attachments (Files/Hyperlinks)

Under the Manage area of the program, users with permissions for a specific item are able to manage Attachments (Files or Hyperlinks) for that item.

Management functions include:

1. Attach a New File or Hyperlink

2. Attach an Existing File or Hyperlink

3. Download an Attached File to your Computer or View a Hyperlink

4. Remove an Attached File or Hyperlink

5. Delete a File or Hyperlink from the System

6. Update an Attached File or Hyperlink

7. Edit the Name, Description, or Keywords of an Attached File or Hyperlink

8. Modify File or Hyperlink Permissions

9. Check-In and Check-Out Files or Hyperlinks

Attach a New File or Hyperlink

All users have the ability to upload multiple file and attach to multiple items in the system. (6.3)

- Select a maximum of 5 files

- Can be added to an undefined set of items (no limitation)

- Available in all areas of the applicable files can be attached

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab, you will see the Files attached to that Item.

4. Click the *Add New File* button. The *Upload New File* page will appear.

5. Click the *Browse* button > Continue to add additional files (maximum of 5)

6. Add a Description or Keyword by expanding the arrow for the listed file.

7. Attach file to Multiple Items: the item selected in the tree will be automatically checked. Option to select additional items to attach the file(s) to.

8. Set the default File Permissions for this attachment. There are two settings and both, none or either can be selected. The options are:

   - All Users with permission for this item can read this file.

- *Users with higher-level permissions can read/edit this file.*

Setting Permissions

Selecting the first option means that any users who have any type of permission for the items (including read only) will automatically receive read only permission for this file. Selecting the second option means that any users who have any other type of permissions other than read (i.e. Edit Item, Edit Attributes, Evaluate, Owner, Local Admin, Sign Off) will be able to both read the file and check it out, edit and update it.

Notes: Any new users subsequently given permissions for the item will gain permissions for the file based on the options above. If an item is attached to two or more items and a user has Read permissions for one item, but another type of permission for the other item(s), the user will have read/edit permissions for that file under all items.

1. Click *Save.*
2. In addition to the default permissions, specific file permissions can be established for individual users and groups who have permissions for the item. Click the Permissions tab adjacent to the Overview tab.

3. The default permissions are grayed out, as they cannot be edited in this screen. The default permissions display is for information purposes. To add additional users, click Edit.

4. Click Add Users/Groups.

5. Select one or more users or groups from the user/group listing by checking the appropriate box(es) and click Add Checked Users/Groups.

6. For each added user or group select Read File or Edit File permission. (Edit file permission automatically gives that user/group permission to read the file. This may not be reflected on the current screen, but will be after the task is completed).

7. Click Save.

Attach an Existing File or Hyperlink

Note: You can only attach an existing file or hyperlink if you have already uploaded the file to GRC Cloud

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab you will see the Files attached to that Item.
4. Click the *Add Existing File(s)* button The *Search Existing Files* page will appear.

5. Optional: Enter the name, description or keywords of the File you are looking for.

6. Click the *Search* button.

7. Select the File(s) you wish to attach by placing a check mark beside the file. Any Files currently attached to the Item will already be checked.
8. Set whether the default File Permission for this attachment will be Read Only. If set to Yes then all users who have permissions for the item to which the file is attached will have Read access to the attachment. If set to No, the file

permission will be determined solely by the file permissions set for the User by the Administrator in the User Profile (either Read Only, Edit or None).

9. Click the *Attach Selected* button to attach the File(s).

10. Click the *View All Files* button to return to the list of all existing files after a search has been completed.

Download an Attached File to your Computer or View a Hyperlink

For Users using MS Office 2007 and below.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab you will see the Files attached to that Item.

4. Click on the File name of the File you would like to download.

5. The file overview page will appear showing all versions of the attached file.

6. To download the file click on the version you would like to download.

7. A *File Download* window will appear, choose *Open* or *Save* as appropriate.

Remove an Attached File or Hyperlink

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab, you will see the Files attached to that Item.

4. Place a checkmark beside the Attachments(s) you wish to remove, and click the **X** button.

5. A window will appear to confirm that you wish to remove the file. Click *OK*.

6. Using the new Interface to Attach File to Multiple Items, in the Selected Items section, removing an entry after save will not remove the file from the items. This feature is for addition of files only.
After saving, it will only list the item selected in the tree. (6.3)

Note: When you remove an Attachment from an Item, you are not deleting it from the system. You are just removing the association between the File and the Item. View the System Administration-File Management section of the help file to learn how to delete the Attachment entirely.

Delete a File or Hyperlink from the System

1. Click on **System > File Manager.**

2. Optional: In the area headed *"Search for files with the following keywords:"* Enter the name, description or key-words of the file you are searching for.

3. In the list of files that appears, check the box relating to all files to be deleted (clicking the check box on the top row of the table will select all items) and click the **X** button.

4. A window will appear to confirm that you wish to remove the file. Click *OK.*

Update an Attached File or Hyperlink via Download

For Users using MS Office 2007 and below.

1. Click on **Manage > By Location** or **Manage > By Scoping Item** Choose an Item from the tree in the left-side panel.

2. In the right-side panel under the *Attachments* tab, you will see the Files attached to that Item.

3. Click the on the File Name of the desired File.

4. The *Edit File* or *Attachment Information* window will appear. Click the *Edit* button at the top of the page, unless the Item has already been checked out by you.

5. **New in 6.3** Option to selected additional items to add to via the Attach to Multiple Items section.

If the Edit button does not appear, it is because the file has been checked out. The status of the file will say "Checked out to:...", and the file cannot be edited by other users until it has been checked back in. For more information on Check-in and Check-out status, see the [Check-in and Check-out Files and Hyperlinks](#) *section below.*

1. Click the *Upload New Version* button beside the File you'd like to update. The *Upload New Version* window will appear.

2. Type the new File location or click *Browse* to select the new File.

3. A *File Browser* window will appear. Choose the new version of the File and click *Open.*

4. Click *Save* to replace the old File with the new one.

5. The old version of the File is still retained and is itemized by version number, date and time in the *Edit File* or *Attachment Information* window.

Edit the Name, Description, or Keywords of an Attached File or Hyperlink

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab, you will see the Files attached to that Item.

4. Click the on the File Name of the desired File.

5. The *Edit File* or *Attachment Information* window will appear. Click the *Edit* button at the top of the page, unless the Item has already been checked out by you.

If the Edit button does not appear, it is because the file has been checked out. The status of the file will say "Checked out to:...", and the file cannot be edited until it has been checked back in. For more information on Check-in and Check-out status, see the [Check-in and Check-out Files and Hyperlinks](#)*section below.*

6. Modify the information as required.

7. Click *Save* to apply your change(s).

Modify File or Hyperlink Permissions

File Permissions may be set as follows:

Read File:	A user with this permission is able to view the File or Hyperlink.
Edit File:	A user with this permission is able to modify the File or Hyper-link: Status, Name, Version, Description and Keywords.
"None"	A user with no permissions is unable to view the file or any information relating to it.

Only Administrators and the File creator can assign File Permissions.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab, you will see the Files attached to that Item.

4. Click the on the File Name of the desired File.

5. The *Edit File* or *Attachment Information* window will appear.

6. In the detail panel under the Permissions tab, you will see existing permissions for that item.

7. If the file is checked-in then click the *Edit* button at the top of the panel.

8. Click the *Add Users/Groups* button to view a list of all users within the system that can be given various permissions to this Item.

9. Check the User Group(s) you want to assign permissions to or open a group by clicking on the plus sign to select individual members listed within that group.

10. Click the Add Selected User/Groups button. The users or groups selected will now appear in the list ready to be assigned specific permissions.

11. By default, each user or group added will be given Read File permissions. Use the check boxes to determine any additional permission for each user and group listed.

12. To edit existing permissions, check or uncheck the applicable boxes, or click the **X** to remove all permissions for a user or group.

13. Click *Save* to apply your change(s).

Check-In and Check-Out Files or Hyperlinks

The Check-in/Check-out feature is designed to protect the integrity of Files. Any time a file is edited; it is automatically Checked-Out, which prevents other users from also editing the file.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Choose an Item from the tree in the framework panel.

3. In the detail panel under the *Attachments* tab, you will see the Files attached to that Item.

4. Click on the File Name of the desired File.

5. The *Edit File* or *Attachment Information* window will appear.

6. Under *Status,* it will read "Checked-In" if the file is available for editing. Otherwise, it will read "Checked-Out to: [user name]".

7. If a file is checked-out by another user:

8. The *Edit* button will be unavailable.

9. The item cannot be edited unless it is checked-in by that user.

10. The item can be forced to check-in by an Administrator by clicking *Cancel Check-Out.*

11. If the File is checked-in, click the *Edit* button at the top of the page.

12. The File will be checked-out until the *Keep file Checked-out* option is unchecked.

13. Click *Save* to apply your change(s).

Preview an Excel File

Quickly preview the content of an attached Excel file via the preview option.

1. Only MS Excel file (supported types: xls / xlsx).

2. Only displays one sheet. Default is the first sheet.

3. To display a different sheet, simple save the file on that sheet and it will display in the preview. Example: if there are 5 sheets and the 3rd was open when the file was saved, the 3rd sheet will show in the preview.

4. Not all data can be displayed. There are limitations with charts, graphs, images, and intricate function results. XLS displays more limitations than xlsx.

5. No Internet Explorer 8 support.

6. Option can be disabled via the system settings: Enable Excel Preview = True / False

7. To enable, navigate to the system setting via the Administration menu. Set: Enable Excel Preview = True

C Process Control **Senior management ensures that the access controls, such as user ID and password**

Control Workflow ⬛	Testing
Description	Senior management ensures that the access controls, such as user ID and passwords, are used for each application ensuring that no unauthorized individual has access to the system.sddsad
	hjh
Key Control	Yes
Frequency	Monthly
Preventative or Detective	Preventative
F/S Assertions	Rights and Obligations

Design Effectiv

Operational Ef

T Test **Valida**

Procedure	
Population	
Testing Meth	
Suggested S	

TR Test Resu

Test Result	
Samples Te	
Result	
Tester Con	
# of Exceptions	10
Time spent testing (hours)	10

Files:

Control Testing Sample.xlsx 📄
Testing Documentation.xlsx 📄

⚠ **ICFR Deficiency 60) Senior management ensures that the access controls, such as user ID and password (New Issue)**

Control Testing Sample.xlsx - Preview (Read-Only)   □ ✕

SAMPLES TESTED FOR CONTROL

Sample	Randomly Generated Invoice Number	Invoice Date	Date of Test	Marked as Paid	Comments
1	INV2417	1-Apr	15-Jan	Yes	
2	INV2561	1-Jan	15-Jan	No	Invoice is not correct....
3	INV2480	1-Apr	15-Jan	Yes	
4	INV2492	1-May	15-Jan	Yes	
5	INV2453	1-Mar	15-Jan	No	Here's my comments.
6	INV1084	1-Apr-14	15-Jan	Yes	
7	INV2902	1-Apr-14	15-Jan	Yes	
8	INV2903	12-Jan	15-Jan	No	
	asdasd				

Editing File Attachments via WebDav

File management has become much easier and quicker to use.

Instant File Updates Overview

- Clicking on a file creates a version that is connected to server.

- User can continue to work and update changes back to the server.

- A token is granted to do this and expires after 8 hours.
  - Default – auto checked back in after 8 hours.

- Applies to: Word, Excel (includes XLSM), Powerpoint, Visio.

On open, it checks out the file so no other user can make modifications.

- Admin can cancel the check – user can upload back in if needed.
- Areas Instant File Updates are available:
  a. Framework Library
  b. Manage by
  c. Item Overview and Hierarchical Reports
  d. File manager
  e. Not supported in Matrix Assessor

Once Opened

- Saving will create a new version in the system.
- Saving will continue to update the new version, not create another version with each save.

Once Closed

- The file is checked back in.
- Version is updated and time stamped with the last update.
- User can continue to access the file via recent versions (if within the 8 hours).

System Setting

- Defines the token expiration (default 8 hours)
- Option to completely disable the Webdav technology used to support updates.
- It will revert back to original approach (download, make changes, re-upload)

Visio Files

If Visio is installed, it will show the user a message that will allow them to download the file. The file will not open in Web-Dav.

1. A red message will appear in the message bar.
2. Message: Click here if your file did not open successfully.
3. Clicking on link will download the file.

Working In Office

- MS Office has rules in place regarding file sharing and editing, these rules are respected

- Opening files
  - Cloud will allow 2 users to open, but the 2nd will be read only.

  - Once closed by the other user they will be notified it's ready to be edited.

  - Both will have their own token.

  - New version will be created for the original user that saves and closes.

Additional Notes

- Permissions are fully respected

- Note: if a user manually checks the file out and then proceed to click on the link to get live copy to edit, it will not give it to them. It will read the file as checked out regardless of whether or not it is the same user.

- Feature Requirements: MS office 2010 and above.

Change Log / Audit Trail

A complete record of every user action associated with the Item is displayed in the Change Log tab. This functionality is used for audit purposes and cannot be modified. The Date, User Name and Description of the action are displayed in chronological order with the most recent action first. Change log doesn't not record administrative actions (Role Permission building, framework building, etc)

By default, the Change Log tab is deactivated for non-Admin users.

Redlining and Highlighting Changes

Specific to the Rich Text Editor, all changes will be tracked highlighting any additions in green text and redlining any deleted text. This change makes it easier to quickly understand what changes have been made to rich text criteria. (6.2)

Note: when initially assessing the rich text editor and spreadsheet criteria, text will not be highlighted.
Note: Audit Trail and Change Log do not capture redlining and highlighting of changes for the Spreadsheet criteria. Only records the latest value. (7.0)

Matrix Assessor

Simultaneous assessment of multiple items can be achieved through the matrix assessor, which presents attribute and evaluation information in a spreadsheet-like format.

1. Using the Matrix Assessor: View Tab

2. Using the Matrix Assessor: Show/Hide Columns Tab

3. Using the Matrix Assessor: Autosize Tab

4. Viewing Previous Period Data in the Matrix Assessor

5. Adding Framework and Non-Framework Items via Matrix Assessor

6. Calculating Function Results in Matrix Assessor

7. Attaching Files in Matrix Assessor

8. Sign-Off/Re-Open in Matrix Assessor

Starting the Matrix Assessor

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor. Items may be selected from different levels within the framework. If you wish to view all items under a particular item, it is not necessary to click all items at this time as these can be toggled on or off one the matrix assessor is opened.

3. Right click on the text of the tree.

4. A pop-menu appears. Choose *Assess Checked Items* in the Matrix Assessor.

Alternatively

1. Click on **Report > Item Overview**(where Item is the item you wish to report on. i.e. Risks or any sub-type of Risks). The Item Overview page will appear.

2. Place check marks in the boxes next to each Item in the report you wish to view in the Matrix Assessor.

3. Click the *Assess* button at the top of the left panel. The matrix assessor will load.

Note: Select only the items you wish to evaluate and items required for context. Selecting large amounts of items may result in performance degradation.

Using the Matrix Assessor

When Matrix Assessor loads you can assess multiple items at once in a hierarchical structure. The permission structure applies to the Matrix Assessor, and only items and criteria users have edit permissions for will be editable. The Matrix Assessor has three tabs: View, Show/Hide Columns and Autosize, as described below.

Using the Matrix Assessor: View Tab

- *Use the +/- boxes beside the item names (Folder, Risk, Control...) to expand or contract the level below in the framework.*

- *Use the +/- box in each column header to show or hide that column.*

- *Clicking in any of the cell of the Matrix Assessor will bring up an interface to evaluate that attribute or evaluation criteria.*

- *Each instance of a Multi-Parent item in the Matrix Assessor can be viewed, but only the first instance may be edited. Each subsequent instance is grayed out within Matrix Assessor, to indicate that it cannot be edited in that position. However, all changes made to any multi-parent item will be replicated in its other instances.*

Note: The system is set to time out after 20 minutes of inactivity between the browser and the server for security purposes. A warning will appear after 15 minutes of inactivity. Ensure you save your assessments completed in the Matrix Assessor before 20 minutes pass to prevent timeout. To adjust the timeout period for your site, contact client-support@resolvergrc.com

Using the Matrix Assessor: Show/Hide Columns Tab

1. Click on the *Show/Hide Columns* Tab to modify the visible columns.

2. Uncheck any criteria you would like to hide.

3. Click *Update View*.

Using the Matrix Assessor: Autosize Tab

The Autosize feature sets the height and width of all the cells within Matrix Assessor.

1. Click on the *Autosize* Tab to modify the row and column sizes.

2. In the Row Height section, set the amount of information to be viewable without scrolling, by choosing a minimum and maximum number of rows using the right hand drop down box. Row height can range from 1 row to 30 rows.

3. The width of each column for any item in Matrix Assessor, is set by clicking the preferred option: Narrow, Normal or Wide.

4. Click the *Update View* button.

View Previous Period in Matrix Assessor

If the user's data preferences have been set to view specific previous periods and evaluation criteria, this information will automatically appear immediately below the current period data in the right hand panel on the Manage by Location screen. To set up your own user profile to see this see Data Preferences in My Profile. Instructions for Administrators to set up this feature for other users is found in Data Preferences in User Management.

Adding Framework Items and Non-Framework Items in Matrix Assessor

1. When Matrix Assessor is opened, icons will appear at the left hand and right hand ends of each row. These icons indicate the items that can be created at this level, depending on the user's permissions and the level of the hierarchy. For example, for an Admin user, when looking at a Risk, a Control may be added or when looking at a location either a location or a folder may be added. At all levels, and for all users, an Issue and a Step may be added.

2. Click on the appropriate icon. A window will open with all the appropriate fields for an item of that type. Complete as described in Manage Framework Items and Manage Non-Framework Items.

3. Click *Save* when completed.

Calculating Function Results in Matrix Assessor

1. When Matrix Assessor is opened, the current results of functions are included in the grid. These will typically appear toward the right of the screen.

2. Click *Calculate.* Review the list of all functions at this level of the framework and below.

3. Check the boxes adjacent to the functions to be updated, or choose *Select All Functions.* Note that only the functions related to this framework item are shown in Matrix Assessor, although any number of functions may be updated.

4. Click *Calculate* to update the calculations. Click *Close* to close the window and return to Matrix Assessor.

Adding File Attachments in Matrix Assessor

1. When Matrix Assessor is opened, icons appear at the left hand and right hand ends of each row. One of these enables the management of file attachments.

2. The Manage Files window appears and any existing files will be displayed. To add/delete or edit files follow the instructions discussed in Manage Attachments.

3. When completed, click *Close* to close the window and return to Matrix Assessor.

Mass Sign-Off in Matrix Assessor

Matrix Assessor enables items to be signed off without having to manually sign off all lower items first, assuming all the lower level items have been signed off or are available to be signed off.

1. Click on **Manage > By Location** or **Manage > By Scoping Item**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Click the *Assessor* button
   or
   Right click on the text of the tree and a pop-menu appears. Choose *Assess Checked Items in the Matrix Assessor*
   .

4. Click *Sign Off All Items*

Re-Open Items in Matrix Assessor

Matrix Assessor enables items to be signed off without having to manually sign off all lower items first, assuming all the lower level items have been signed off or are available to be signed off.

1. Click on **Manage > By Location** or **Manage > By Scoping Item**

2. Place check marks in the boxes next to each Item in the framework tree you wish to view in the Matrix Assessor.

3. Click the *Assessor* button
   or
   Right click on the text of the tree and a pop-menu appears. Choose *Assess Checked Items in the Matrix Assessor*
   .

4. Click Re-Open All Items. Note that when re-opening only the level of items displayed in Matrix assessor is re-opened and not all the child items. This is to stop the inadvertent re-opening of lower level items that should remain signed off.

Manage Framework Items (Locations, Folders, Risks, Controls, Standard Tests)

Framework Items include Locations, Folders, Risks, Controls, and Tests. In the Manage area of the program Administrators and other users who are members of roles with advanced permissions are able to add, edit and remove Framework Items, which will be reflected in the Framework and Location Trees.

1. Create a New Framework in your area of responsibility

2. Create a New Item in your area of responsibility

3. Remove an Existing item from your area of responsibility

Only Administrators and users in roles with the advanced permissions to Add/Delete Child Items and/or the advanced permission to Update the Library from Manage by Location can perform these tasks.

Add an Item from an Existing Framework to your Area of Responsibility

1. Click on **Manage > By Location.**

2. Choose an Item you wish to add a Child Item to from the tree in the framework panel.

3. In the detail panel, click on the tab that pertains to the Child Item Type you would like to add (available tabs are determined by the Items relationships).

4. Click *Add New <Item>* (where <Item> is the type of Child Item you would like to add).

5. If starting at a Location and there is more than one Framework available in the system, select the Framework that you wish to add Items from.

6. Select the Items that you wish to add using the check boxes provided.

7. Click *Add Checked Items.*

8. Click *Refresh* to see the new Child Item(s).

Create a New Framework in your Area of Responsibility

1. Click on **Manage > By Location.**

2. Choose a Location you wish to add a folder to from the tree in the framework panel.

3. In the detail panel, click on the *Folders* tab.

4. Click *Add New Folder.*

5. Click *Create New Framework.* The *Add New Folder* page will appear.

6. Enter the Framework details.

7. Click the *Create* button.

8. A new Framework will be created with only one item in it, the root folder.

9. Select the newly created folder using the check boxes provided.

10. Click *Add CheckedItems.*

If you wish to add more items to this new framework then click on the newly added folder and then Create a New Item in your Area of Responsibility.

Create a New Item in your Area of Responsibility

1. Click on **Manage > By Location.**

2. Choose an Item you wish to add a child Item to.

3. In the detail panel click on the tab that pertains to the item type you would like to add (available tabs are determined by the item type and the relationships that item type can have).

4. Click *Add New <Item>.* (Where <Item> is the type of sub item you would like to add.)

5. If the item that you selected in the framework panel is part of an existing framework then the *Add New <Item>* Page in the right side panel will show a branch of the framework with the selected item as the head of the branch.

6. Click *Create New Item.*

7. On the *Add New <Item>* page that appears, fill in at least basic information such as Item name and number.

8. Click *Save* to apply your change(s).

9. Click *Refresh* to see the newly added Items.

Creating a new item and attaching it as a child item will actually create a new item within the framework in the appropriate position.

Adding a new item in this way will save all attributes and descriptors with the item in the Framework. Previously, only the Descriptors (name, number, description and sub-type information was saved and the attributes were only saved for the instance of the item in that location. (5.4)

In addition to creating new items both in the location and adding a corresponding item to the framework, it is now possible for Administrators and Non-Administrators to edit items in the *Manage by* Screen and have those changes copied to the corresponding item in the framework library. (5.4)

Remove an Existing Item from your Area of Responsibility

1. Click on **Manage >By Location.**

2. Choose the Item you wish to delete.

3. In the detail panel on the toolbar click the *Delete* button.

OR

1. Click on **Manage > By Location.**

2. Choose the parent item of the sub Item you wish to delete.

3. In the right-side panel under the *<Item>* tab you will see existing Risks associated with that item (where <Item> is the name of the item type that you wish to delete).

4. Click *Delete* beside the Item you wish to delete.

Once delete is clicked it will indicate to the user the number of descendants that will also be deleted. A delay is in place to ensure users take the time to acknowledge the implications of the delete. To disable this, simply check the box and OK will be available immediately. The delay will then be removed for for 24 hours. (7.1)

Delete Confirmation

You are deleting 451 items and all its descendants.

Are you sure you want to delete this item?

☐ Remove delay for 1 day

Please Wait (1)   Cancel
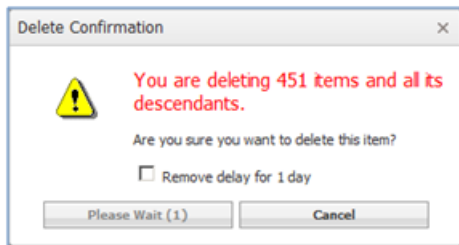
Updating the Framework version of an Existing Item from your Area of Responsibility

1. Click on **Manage >By Location.**

2. Choose the Item, make changes and click the *Update Library* button on the item to update the individual item.

3. Select criteria to update (8.0).

4. Changes are saved to the instance of the item being viewed in Manage by Location. In addition any changes to the attributes and descriptors (name, number, description and sub-type info) will also be made to the corresponding item in the framework library.

OR

1. Click on **Manage > By Location.**

2. Check items to be updated in the tree on the left side of the screen.

3. Click the *Update Library* button.

4. Select criteria to update (8.0). In this case multiple item types may be selected and can select criteria on a per item type basis.

5. The attribute and descriptor values in the checked items are copied to the corresponding items in the framework library.

Important Note: Prior to 8.0, blank values would be ignore. Now that the user can specify what criteria they can update, blank values will override any values.

Important Note: Permissions are respected in action. If user has read only permissions and they update all criteria, only the ones they have edit to will be update.

Moving Items between Locations in Area of Responsibility

1. Click on **Manage >By Location.**

2. Choose the Item you wish to move and click the *Change Parent* button.

3. A tree opens in the right hand screen. Select the new parent for the item and press the *Move* button.

4. Click *OK* to confirm the move.

Multi-ing Items within Locations in Area of Responsibility

1. Click on **Manage >By Location.**

2. Choose the Item you wish to attach to additional parents and click the *Change Parent* button.

3. A tree opens in the right hand screen. Select the additional parent(s) for the item and press the *Multi-Parent* button.

4. Click *OK* to confirm creating the multi-parent item.

Manage Non-Framework Items (Issues, Action Plans, Notes, Steps, Test Results)

Non-Framework Items include Issues, Action Plans, Notes, Steps, and Test Results. Under the Manage area of the program authorized users are able to add and remove Non-Framework Items as Child Items of an existing Item:

New in 5.2
All newly created Tests are framework items. It is no longer possible to create a non-framework test item.

Add a New Child Item

1. Click on **Manage > By Location.**

2. Choose an Item you wish to add a Child Item to from the tree in the framework panel.

3. In the detail panel click on the tab that pertains to the Child Item you would like to add. (Available tabs are determined by which Items are eligible Child Items for that Parent Item Type.)

4. Click *Add New <Item>.* (Where <Item> is the type of Child Item you would like to add.)

5. Complete at least basic information such as Item name.

6. Click *Save* to apply your change(s).

7. Click *Refresh* to see the newly added Items.

Example: Add an Issue to a Control

1. Click on **Manage > By Location.**

2. Choose the Control you wish to add an Issue to from the tree in the framework panel.

3. In the detail panel, click on the *Issue* tab.

4. Click *Add New Issue.*

5. On the *Add New Issue* page that appears, fill in the name, select a sub-type if applicable, fill in description, and any attributes associated with that Item Type or Sub-Type.

6. Click *Save* to apply your change(s).

7. Click *Refresh* to see the newly added Items.

Remove an Existing Child Item

1. Click on **Manage > By Location.**

2. Choose the Item you wish to delete from the tree in the framework panel.

3. In the detail panel on the toolbar click the *Delete* button.

Or

1. Click on **Manage > By Location.**

2. Choose the Parent Item of the Child Item you wish to delete from the tree in the framework panel.

3. In the detail panel under the *<Child Item>* tab you will see existing Child Items associated with that Item. (Where <Child-Item> is the name of the Item type that you wish to delete.)

4. Click *Delete* beside the Item you wish to delete.

Once delete is clicked it will indicate to the user the number of descendants that will also be deleted. A delay is in place to ensure users take the time to acknowledge the implications of the delete. To disable this, simply check the box and OK will be available immediately.The delay will then be removed for for 24 hours. (7.1)

Moving Items between Locations in Area of Responsibility

1. Click on **Manage >By Location.**

2. Choose the Item you wish to move and click the *Change Parent* button.

3. A tree opens in the right hand screen. Select the new parent for the item and press the *Move* button.

4. Click *OK* to confirm the move.

Multi-ing Items within Locations in Area of Responsibility

1. Click on **Manage >By Location.**

2. Choose the Item you wish to attach to additional parents and click the *Change Parent* button.

3. A tree opens in the right hand screen. Select the additional parent(s) for the item and press the *Multi-Parent* button.

4. Click *OK* to confirm creating the multi-parent item.

Users have the ability to multi all non framework items. (Added: Steps, Test Results, Action Plans)

Manage By Location / Manage By Scoping Item – Right Click Menu and Button Menu

Easy Menu Navigation
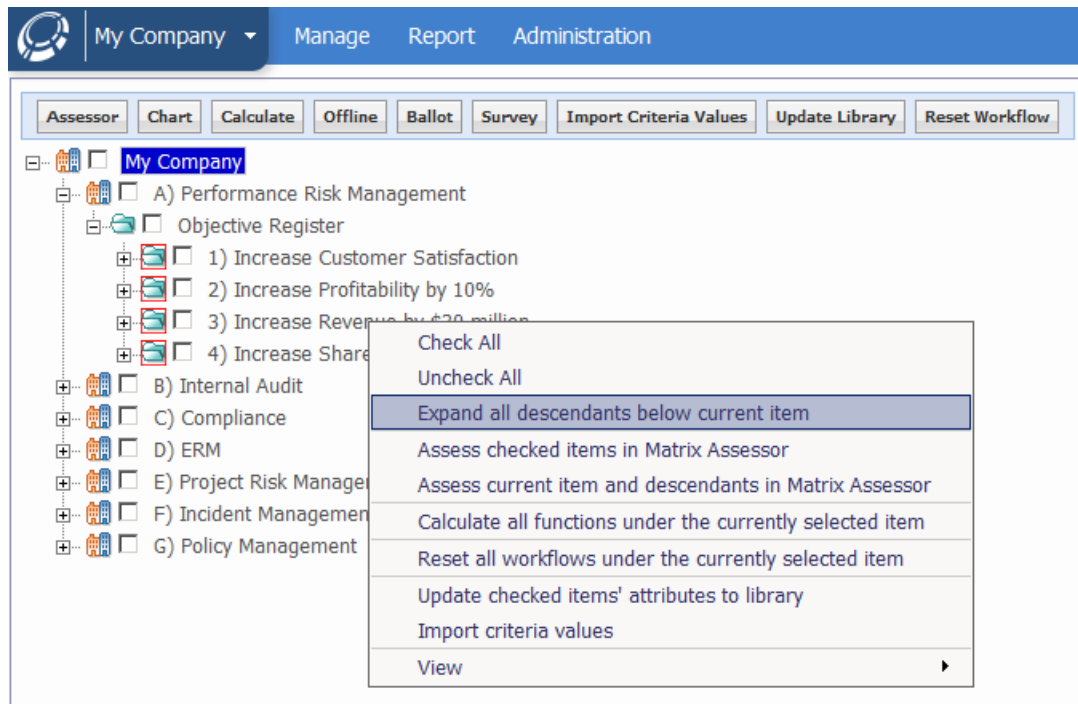
The menu contains seven main options including one sub-menu:

1. Check All: Checks all expanded items below the node clicked on.

2. Uncheck All: Reverts the above action.

3. Expand all descendants below current item

4. Assess checked items in Matrix Assessor

5. Assess current item and descendants in Matrix Assessor

6. Calculate Functions

7. Update checked items' attributes to library

8. From the pop up: select all or individual criteria

9. View <Items> Under this Item: loads the selected item type in the Item Overview

In addition, some options are available through gray buttons at the top of the left hand panel.

Expand all descendants below current item

This option enables the quick opening of multiple branches of the framework tree. This feature will display up to 200 items. This limitation is to ensure system performance. If an item with more than 200 descendants is chosen an error message will display.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. In the framework panel, right click the item below which you wish to display the descendants.

3. Select *Expand all descendants below current item*

Assess Checked Items in Matrix Assessor

All selected items will be displayed in the Matrix Assessor enabling quick assessments.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. In the framework panel, check off the items you wish to assess.

3. Click the *Assessor* button, or right click on any item in the framework tree to see the right click menu and choose the *Assess Checked Items* in Matrix Assessor option.

4. The screen will refresh displaying the Matrix Assessor (also limited to 200 items)

5. For more detailed information on Matrix Assessor see: **Manage > Matrix Assessor**

Assess current item and descendants in Matrix Assessor

As an alternative approach to checking multiple items, this option will open up to 200 items in Matrix Assessor, starting from the current item and from all lower items. The items will be displayed in the Matrix Assessor enabling quick assessments.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Right click on the highest level item in the framework tree to be viewed in Matrix Assessor.

3. Select the option *Assess current item and descendants in Matrix Assessor*.

4. The screen will refresh displaying the Matrix Assessor.

5. For more detailed information on Matrix Assessor see: **Manage > Matrix Assessor.**

View Checked Items in Chart Builder

Displays the selected items in a heat map in the right panel.

1. Click on **Manage > By Location** or **Manage > By Scoping Item**.

2. In the framework panel, check off the items you wish to be included in the chart data.

3. Click the Chart button, Chart Builder launches with the selected data included in the available data series. For more detailed information on Charts see: Chart Builder.

Export Selected Items to Resolver Ballot

Exports selected items and criteria to Resolver Ballot for group-based assessment.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. In the framework panel, check off the items you wish to export.

3. Click the *Ballot* button.The right panel will refresh displaying a Criteria list to export.

4. For more detailed information on Exporting to Ballot see: Report > Item Overview

Export Selected Items to Resolver Survey

Exports selected items and criteria to Survey for group-based assessment.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. In the framework panel, check off the items you wish to export.

3. Click the *Survey* button. The right panel will refresh displaying a Criteria list to export.

4. For more information on Exporting to Survey see Report > Item Overview.

Calculate Functions

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Click the *Calculate* button or right click on any item in the framework tree and choose the *Calculate all functions under the currently selected Item* option.

3. The right panel will refresh displaying a tree of the selected item and all items below it and lists the functions contained in these items.

4. To recalculate all functions within and under this item, check Select *All Functions.* Alternatively, to select specific functions navigate through the list by clicking the + signs to view all item types and functions.

5. Click *Calculate* to update all the function calculations with current data.

6. For more detailed information on Calculate Functions see: Design > Item Templates > Functions.

View <Items> Under This Item

Brings up a menu of all item types, choose to see all <items> under the item you right clicked on displayed in Item Overview.

1. Click on **Manage > By Location or Manage > By Scoping Item.**

2. Right click on any item in the framework tree.

3. Choose the *View* option.

4. Select which <items> you would like to view.

5. The page will refresh displaying the Item Overview screen for the selected Item Type.

6. For more detailed information on Item Overview see: Report > Item Overview.

Reset All Workflow Under the Current Selected Item

1. Cick on **Manage > By Location or Manage > By Scoping Item.**

2. Select item to act as a starting point for the reset

3. Click *Reset Workflow*

4. View item will refresh with a item type tree displaying all associated workflows

5. Select workflows to be rest

6. Click *Reset Workflow*

Updating the Library

1. Click on **Manage >By Location.**

2. Choose the Item, make changes and click the *Update Library* button on the item to update the individual item.

3. Select criteria to update (8.0).

4. Changes are saved to the instance of the item being viewed in Manage by Location. In addition any changes to the attributes and descriptors (name, number, description and sub-type info) will also be made to the corresponding item in the framework library.

OR

1. Click on **Manage > By Location.**

2. Check items to be updated in the tree on the left side of the screen.

3. Click the *Update Library* button.

4. Select criteria to update (8.0). In this case multiple item types may be selected and can select criteria on a per item type basis.

5. The attribute and descriptor values in the checked items are copied to the corresponding items in the framework library.

Important Note: Prior to 8.0, blank values would be ignore. Now that the user can specify what criteria they can update, blank values will override any values.

Important Note: Permissions are respected in action. If user has read only permissions and they update all criteria, only the ones they have edit to will be update.

Offline Assessments

The GRC Cloud Offline module enables users and non-users of the full GRC Cloud application to complete assessments within a desktop program rather than accessing web-based GRC Cloud.

Benefits include:

- Assessment may be completed when user is not connected to the Internet

Users of GRC Cloud Offline can:

- Assess any items and criteria to which the Administrator gives them access
  Exception for criteria: spreadsheet or multi user picker

- Save their work and return to it later

- Electronically submit their assessments when they next connect to the Internet.

Users of GRC Cloud Offline cannot:

- View any other areas of the organization's framework or locations, run reports etc.

- Assess spreadsheet or multi user picker.

- Transition workflows.

Exporting Items Offline

To engage the offline capabilities follow the steps below:

1. Navigate to Programs and Activities.

2. On the required activity (Example: fieldwork), scroll to the Actions.

3. Check off: Offline *Enabled on this Activity*.

4. An Offline option will be available per item in the focus picker.

5. Additional steps may need to be configured for the Activity to list items on the focus picker. See Programs and Activities.

Steps to Take Items Offline

1. Click on the offline icon in the focus picker.

2. User will be prompted by a pop up indicating:
   a. File name

   b. Instructions to install the client.

   c. Click on the link in the pop up to install the new offline client.

      Note: Previous versions are not compatible with a file exported after 8.1. Install is mandatory.

3. Click *Check out x Items*
   a. All items the user has permissions to below the focus point will be taken offline.

4. Items will be locked within GRC Cloud until export is canceled or resubmitted.
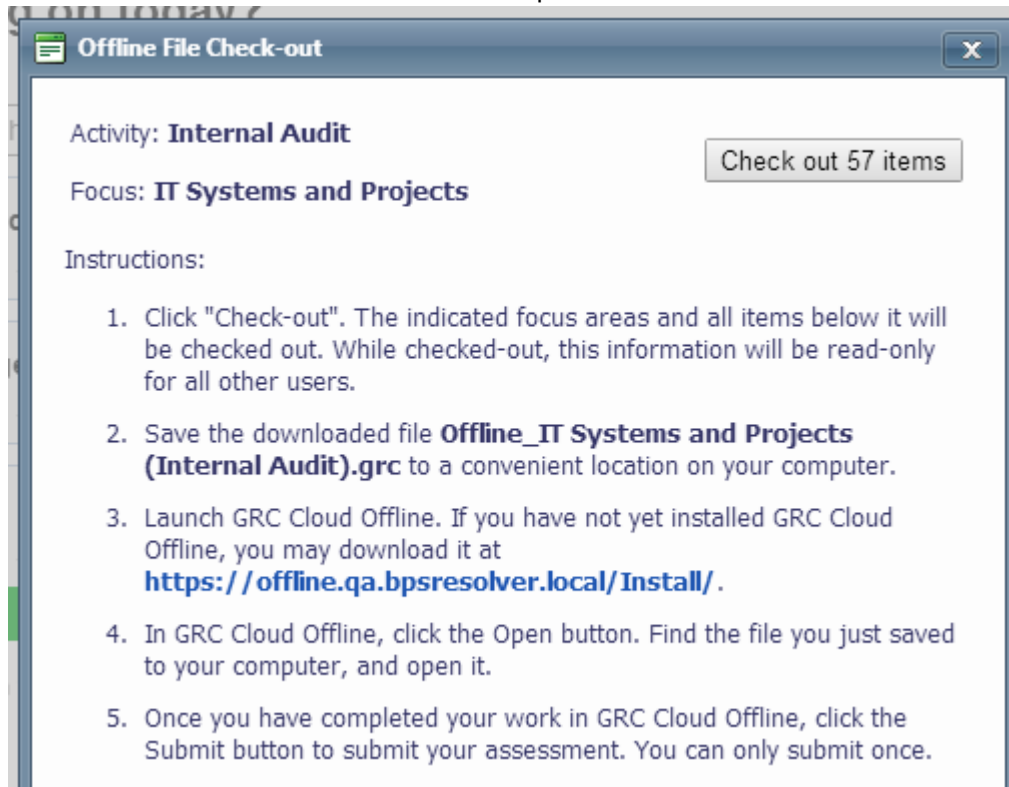
Re-Exporting the Same Items

1. If the user exports again from the same focus, after a file is already offline, it will cancel the file already exported.

2. User cannot submit the original file exported.
   Warning: You currently have this Focus exported. If exported again, the previous file is no longer valid for submission. Do you want to continue?

File Size

1. On Check Out / Export, any file that exceeds 500 items will not be supported. Please readjust the focus configuration.

2. Message: Your offline file exceeds 500 items and cannot be exported. Please contact your administrator to discuss reconfiguration of your focus.

Locked Item Management / Permission

When items are offline the system needs to ensure editing cannot be done internally when a user is working offline. To avoid any issues, a locking logic has been placed on the items.

Indication of Locked Item

1. As noted above, all items below the focus picker selected for offline will be locked from editing.

2. Applies to Manage by AND Editable reports: Item is read only and shows a lock.

3. All elements related to the file are locked (criteria, files, permissions, change parent).
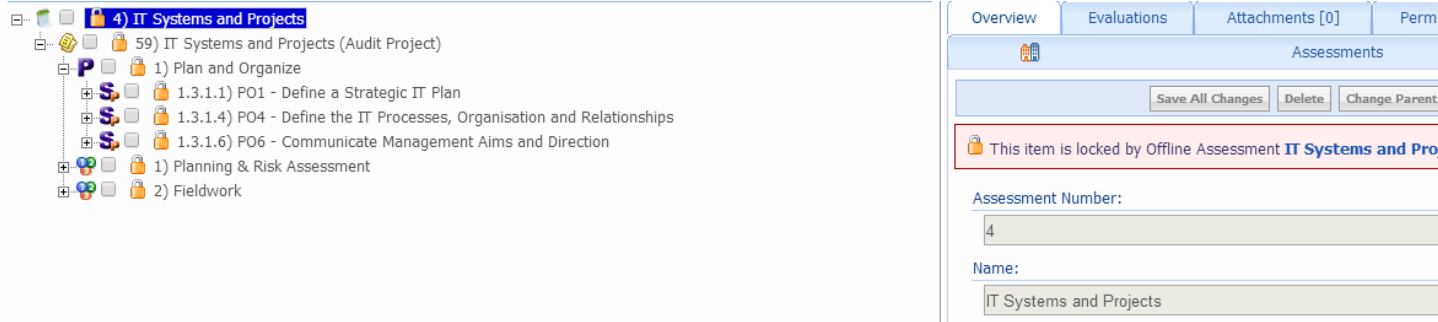
4. Exceptions to the Locking Logic:
   a. Administrative Changes via the Framework Library
      - Updates, moves, deletion from the Framework Library are possible. It is to the discretion of the administrator if these actions should be executed.

      - If offline files are pending, a message is given to the user.
        Warning: There are currently 'x' offline assessment(s) in a pending state. Any structural changes may impact these assessments. View the assessments currently offline.

   b. Period End

      - If files are checked out when a period end is run, a message is given to the user before they begin.

      - Items will remain locked after the period end completes. User can still submit their files.

   c. Workflow Linked Actions
      - Actions coming from linked workflows are still active.

   d. Functions
      - Functions requiring recalculation due to their inclusion of another function will be recalculated.

Locking Logic

1. No user can edit the items including administrators.

2. Administrators can cancel the lock by canceling the offline export.

3. Canceling an Exported Offline File
   a. Navigate to the Tools menu

   b. Click on Offline Assessments

c. Show: Pending

a. Click the X (Cancel button)

4. User can cancel their personal files.

5. Administrators can cancel all exported files.

6. All multi items will be locked will be locked. Example if a multied risk falls under two focus points and one is taken offline, both will be locked internally.

7. Permissions Internally
   a. If you do not have permissions to an item it will not lock / other users can cont to edit internally.

8. Items already offline: when exporting items to offline and an item is already locked by another user, it will be sent to the offline regardless of permissions. Two people cannot have the same item editable offline.
   a. Scenarios

      ● Multis: 2 users need to take their branch of the tree offline but each contains a multi item.

      ● High Level: a user wants to take a large section offline but a part of it is already offline.

   b. On submit, these items will not be included in the update

Offline Management

Via the Tools menu, the offline assessment page is accessible for all management and review of the offline files.
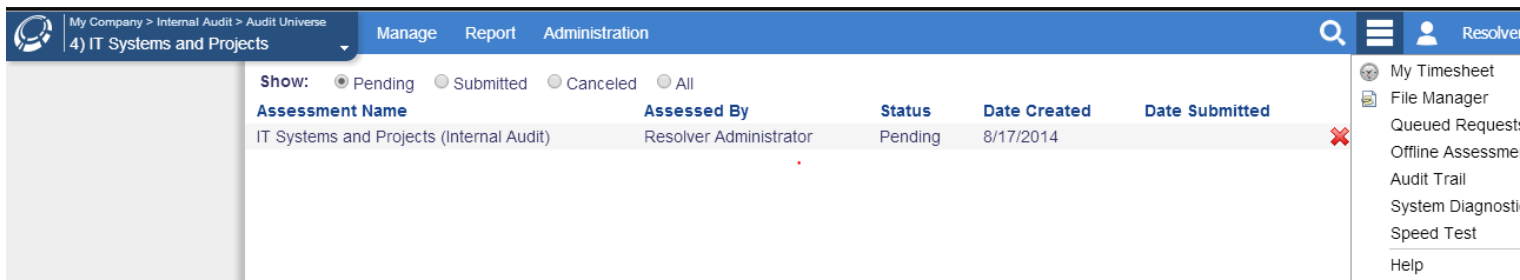
Error Messages

For each submitted offline file, it records all error messages captured during the import. This includes: structure changes, criteria deletions, item deletions.

Canceling Locked Items

1. Navigate to the Tools menu

2. Click on Offline Assessments

3. Show: Pending

4. Click the X (Cancel button)
   Warning Message: Canceling the lock will reopen the items but also render the exported file void. The user will not be able to submit it back into GRC Cloud. Are you sure you want to continue?

5. File is now void and cannot be submit by the user.

Working Offline

Once offline the experience is very similar to working internally in GRC Cloud.

How to Work Offline

1. Install the client via the link detailed in the pop up window when exporting items via the focus picker.

2. Save the file to your local computer (Local Folder or DeskTop).

3. Open the offline client.

4. Click Open in the menu.

5. Begin work.

Criteria

1. All criteria are supported in the offline client.
   Exception: Spreadsheet Criteria

Permissions

1. Permissions are fully respected and mirror the permissions in GRC Cloud online.
   Exception: if a user does not have permission to an item in the tree but does have visibility to items below it, the offline client will represent this item by displaying the item number and name ONLY.

Item Creation

Items can be created in the offline client in a similar fashion to item creation in GRC Cloud.

1. For each item, Add new item is available.
   a. Hierarchical structure applies as it does in GRC Cloud.

2. Click the desired item type to create.
   a. New Item name is set by default

   b. Item is inserted in the tree

3. Click on the item.

4. Assess the item. (Update name, attributes, files, etc.)

5. Notes:
   a. New item creation only applies to non framework items.
      - Item creation permissions are based of the parent add item permissions defined in GRC Cloud.

   b. Both main and sub type items can be created offline: Issues, Test Results, Action Plans, Steps (+ their applicable sub types).

   c. Item Numbering
      - On import new items need to tap into the auto numbering logic when being created and define the next applicable number.

      - If a number was defined in the offline client, it will ignore the numbering logic and import it with the new number defined in the offline.

6. Multiple items creation
   a. A user can create multiple new items.

   b. User can fill out those fields inline (after creation).

   c. User can delete the item if a mistake was made (only new items).

   d. On import of the offline file, the new item gets created in the hierarchy.

Submission of Offline Files

On Upload/Submit of the file back into Cloud a user is required to input their credentials.

Submitting an Offline File

1. In the *Menu* options, click Submit.
    a. On submit, the user will be prompted to insert their username and password.

2. Results get uploaded and the database gets update with new items, values, file attachments.

3. **Warning on Submit: Offline files can only be submitted once. Please ensure you have completed all your work before submitting the file.**

4. File Size: file size cannot exceed 50m.

5. Unsuccessful submissions: User is notified with a list of errors.

    a. File will remain editable and can be submitted.

    b. File can be submitted again until successful.

Submitting an Offline File via Single Sign On

1. In the *Menu* options, click *Submit*

2. User will be prompted detailing additional authentication will be required. Click *Submit via Browser*
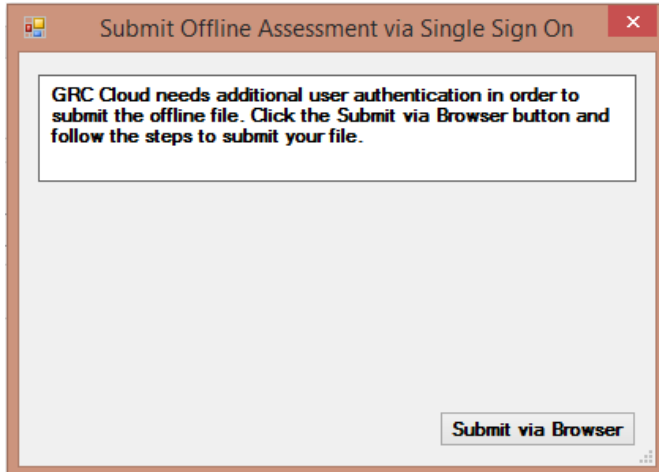
3. Once the user is authenticated, they will have the option to upload the file into GRC Cloud

4. *Choose File*
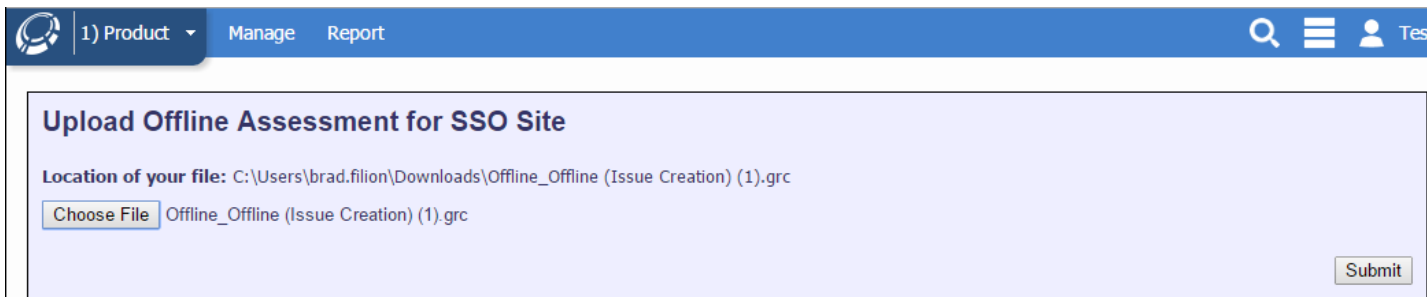
Note: the file name must match the file name indicated above in the *Location of your file.*

5. File has now been uploaded. As noted above, any error messages will be displayed to the user.

6. If the file has been accidentally canceled, administrators do have an option to force submit.
   a. Admin must be authenticating with their credentials.

   b. Clicking submit will route theme to the same submit page.

   c. Proceed with submit.

How to Import a Canceled File

1. If a file was accidentally canceled, there is an option to Force Submit. Only administrators can force submit files.

2. User must attempt to submit

3. User must send the file to the administrator (example: via email)

4. Administrator opens offline client.

5. Insert username and password.

6. Click Submit

Additional

1. XP is not supported.

Time Tracking v8

Used mostly by Audit and Compliance Teams, GRC Cloud's time tracking capabilities help organizations maximize coverage by capturing audit planning estimates and enabling efficient contrast and analysis with actual time spent on audit activities. In this release, Resolver has launched a brand new Time Sheet capability that enables rapid capture and logging of hours spent on all activities.

Time Tracking is configured via the GRC Programs page. Once the program is setup, selecting the Time Tracking checkbox will enable the ability to log time against the defined item types. Upon completion of the program, roles associated to that program can select items they have permissions to and log time via the time sheet (example: Audits).

Programs / Activities

Add Program   🔍

Internal Audit

> Planning and Risk Assessment
>
> Fieldwork
>
> Reporting
>
> Follow-Up Review

Internal Control

Risk Management

Administration

Compliance

Incident Management

Balance Scorecarding

Legacy Timetracking

Planning and Risk Assessment ▾

Roles

- Audit Manager
- Auditor In Charge
- IA Director

Change Role Links

Time Tracking

☑ Enabled on this Activity

Linked Item Types

🗒 Auditable Entity

Auditable Entity Status
☑ Risk Assessment
☑ In Scope
☑ Out of Scope

🗒 Audit Project

Status
☐ Project Scheduled
☑ Project Planning
☑ Fieldwork
☑ Project Closure
☐ Project Closed

Change Item Type Links

Time Tracking Need to Knows

1. Caching: the *Select an Item list* is cached for 20 minutes.

2. Saving: all elements of the page automatically save.

3. Favorites: selecting an entry as a favorite will persist it as user changes from week to week.

4. Changing Weeks: If an entry has no time associated to and not a favorite, it will remove/delete the entry.

5. Searching: item list can be searched.

6. Item List: Items in that list are defined by workflow states and permissions.

7. Flagging Cells:
   - If time entry exceeds 24 hours it will flag and stop the entry from being saved.
   - If a entry exceeds 8 hours, it gets flagged as yellow.
   - If the summation of time exceeds typical working hours (8 hours / day) it will get flagged as yellow or red (dependant on amount exceeded).

Timesheet for: *Kevin Smith*

← March 3rd - Mar

	Activity	Item	3 Mon	4 Tues	5 Wed	6 Thurs	7 Fri
⭐	Internal Audit : Fieldwork	2014 Procurement Audit					
⭐	Internal Audit : Fieldwork	2014 Revenue Audit					
⭐	Administration > Internal : Training						

Done Adding Row(s)

Total: 0 0 0 0 0

Internal Audit: Fieldwork

Select an Item

🔍 |

2014 Procurement Audit

2014 Revenue Audit

1) Audit Project 123 - Accounts Receivable

2) Audit Project 234 - Disbursements

Add t

Timesheet for: *Kevin Smith*

← March 3rd - Mar

	Activity	Item	3 Mon	4 Tues	5 Wed	6 Thurs	7 Fri
★	Internal Audit : Fieldwork	2014 Procurement Audit	12				
★	Internal Audit : Fieldwork	2014 Revenue Audit	3				
★	Administration > Internal : Training		23				
	Add New Row(s)						
		Total:	38	0	0	0	0

Time Tracking Reporting

a. Available via the data warehouse and 3rd party reporting or Excel.

b. All applicable dates are replicated in the warehouse to get maximum reporting value out of your data.

c. Please contact Resolver Client Care to learn more about Time Tracking Reporting.

To learn more about configuring GRC Programs for your organization, please contact [Resolver Client Care](#).

Time Tracking - Legacy Time Tracking

Time Tracking has been rebuilt. This functionality only exists for clients that utilized the feature prior the 8.0 Release. Learn how to use the new [Time Tracking](#).

The view item in manage by of the application contains an option for users and administrators to log and track time against any item type in the system. Users can separately log their time against any task/item they are assigned to, which will then cascade up the tree and be summarized at the parent levels.

Example: Internal Audit teams require users to track their time against each audit task. Tasks hours will then roll up to the overall audit level and help you gain an understanding if the hours budgeted were adequate or if it went over budget.

Time Tracking is currently not included in any permission sets within application. All users have access to log and track time in the view item.

Time tracking can be engaged on any item type in the system. Administrators can enable and continuously manage this setting for each individual item type in the system. (6.3)

Enabling Time Tracking:

1. Design > Item Templates > '*Select an Item Type - Main Type only*'
   Note: Only enabled on the main type and will apply to all subtypes

2. Check the box under heading Time Tracking

Steps to Logging Time:

1. Go to Manage by Location or Scoping

2. Select an item with Time Tracking enabled

3. *Time Tracking* will be an additional tab on the View Item (beside the Change Log)

4. Click *Log Time*

5. Insert time, date and comments (if necessary)

6. *Save*

   Time will be logged against the item as well as rolling up any hours logged against the children - Providing a total for all children and parent.

7. Entries can then be deleted

Rolling Up Logged Hours:

- Time Logged for this Item: reflects the hours logged for the item the user is viewing

- Time Summary for Current Item: totals the all hours logged for the item the user is viewing

- Time Summary for Current Item and Children: totals all hours logged for the item the user is viewing, plus totals all the child hours

Note: Multi items and Single Assessment items will not be duplicate. Hours will only be accounted for once in the total roll up.

Incident Logging Wizard

Via a separate link, all employees across your corporation, regardless of their status within Cloud, can access and log cases or incidents they witness in their daily activities. Although this simple and user friendly 3 step form has been designed to act as a complete separate entity to the end user, submissions made through the wizard will get created and properly managed in GRC Cloud.

Incident Logging Wizard can be implemented on any item type in the system; however, it currently involves Resolver administrators to provide a link to access the form. Please contact Resolver Customer Care for further inquiries. Client-support@resolvergrc.com

Feature Overview:

- Provide a link to all employees to submit Cases, Events or Incidents (can be applied to any item type)

- Straightforward wizard guides the user through the submission process

- Specifically define the area of the tree to create new items

- Starting point and item type created via the wizard is fully customizable

- Multiple links can be defined to create any item type in the system at any point in the tree

- Fully permission based process

- Add file attachments & print a copy of the results

Steps to Using Incident Logging Wizard

1. Contact Resolver Customer Care to discuss implementation

2. Login via the link provided

3. Select parent to attach item (only one can be selected)

4. Click *Next*

5. Assess available fields

6. Attach files

7. Click available workflow trigger(s)

8. Report overview is available

9. *Create Another* "Item Type" if applicable

10. *Print* a Copy if applicable

Workflow Tables of Contents

Workflow: Overview

What is a workflow?

A workflow is a sequence of steps which can be repeated for an item of any given type, or subtype. Through workflows, responsibility for working on an item can be passed between users based on their roles. At any point in a workflow, an item is said to be in a specific state. That state defines which roles can work on the item and which criteria can be seen and edited at that point in the workflow. Users enact triggers to change the state of the item. This change is called a transition. As items transition from one state to another, e-mail notifications alert users that they now have to work on the item.

Transitions can also incorporate "smart" routing to different states depending on what fields have been filled out, what the criteria values are and other factors. Transitions can also be configured to check that all relevant data has been entered before allowing a move to another state and to save information to the item at the time of the transition.

Workflows are configured by administrators through the item template.

Administrators and other users can track the progress of tasks by checking the state they are in and workflow state can be displayed in reports and home page dashboards.

Creating Workflows

A workflow is first created as a draft, where all the attributes of the workflow (its states, permissions, notifications, triggers, transitions etc) are defined and can be edited. For items to be able to follow a workflow, the workflow must be published. Once published, some limited edits are possible within a workflow. The changes allowed on published workflows are relatively minor and do not affect the overall structure of the workflow, such as states, and the sequence of the states.

Workflow Map

New in 7.0 and Improved in 7.1

An extension of the Workflow Overview page - that defines states, triggers and transitions - the Workflow Map provides an additional view of the workflow. This will help the administrators gain insight while building the workflow, as well as, confirm completion.

Feature Overview:

- Drag states around the page to customize the layout - Changes are saved in the database (7.1)

- Transition names are detailed, but can be toggled to not show names.

- Hoover over transition arms will highlight its next state.

- Full screen and print options.
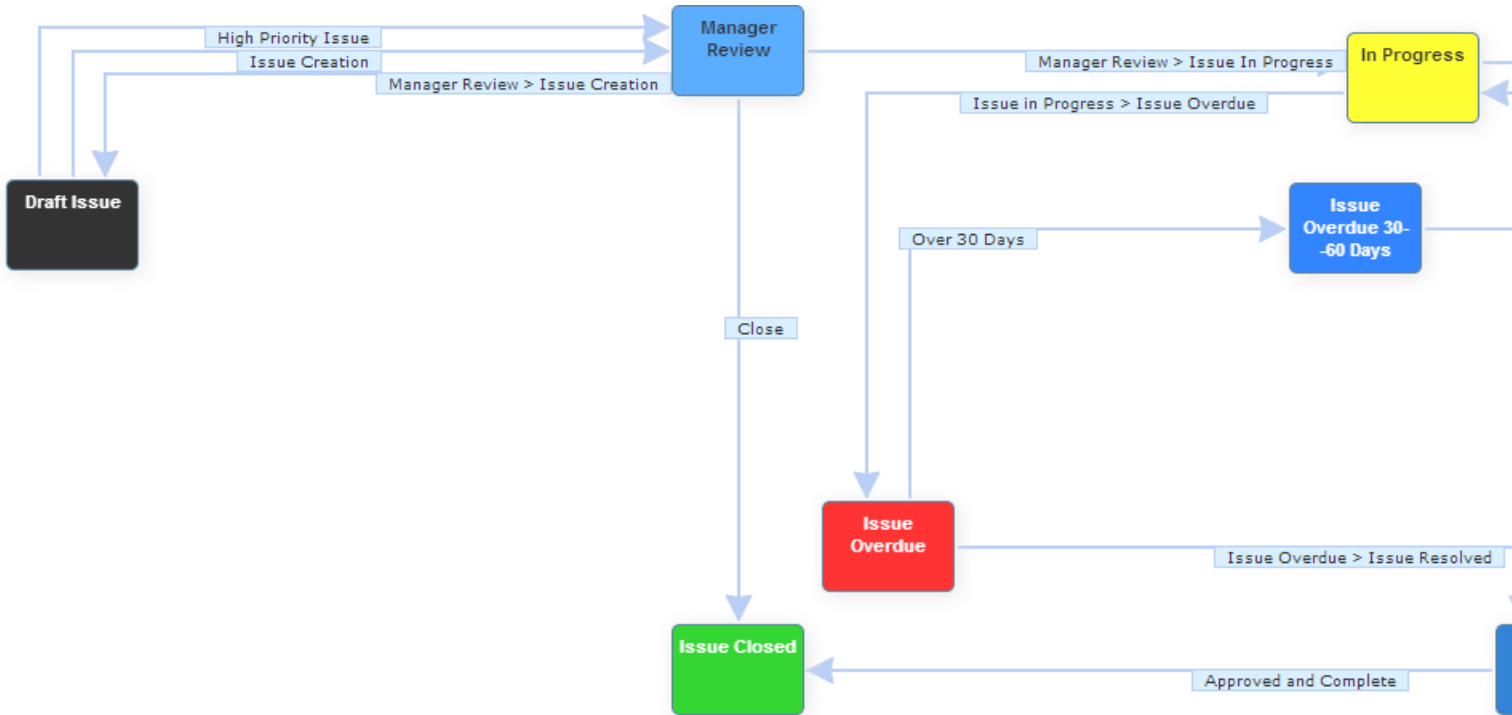
Workflow: Glossary

The following is a list of terms used in the GRC Cloud workflow screens and in the documentation.

State

A State is a phase in a workflow which identifies the work to be performed. Two or more states together compose a workflow and each state represents the status of the item as it progresses through the workflow. Users interact with items while in a state and that state can be designed so that only specific user roles can interact with the item it in that state and so that only selected fields can be viewed or changed while the items in the state. The item passes from one state to another as a result of a transition.

Transition

A transition is the movement or path of an item from one state to another. Triggers cause transitions. A transition may have optional characteristics used to define business rules related to the transition, namely conditional routing of the workflow based on criteria values and other factors, validation that the items have been filled out appropriately prior to the transition and the automated saving of information to an item immediately before a transition. Workflows can be automatically routed based on business rules by combining multiple transitions to a state, each of which has a different condition.

Trigger

A Trigger is an action or event that initiates a transition from one state to another. A Trigger may be the clicking of a button, passing a specified date, a predefined duration since the last transition or a change made to a framework.

Condition

A Condition determines which path (transition) an item should follow once a trigger is executed. Conditions enable Triggers to transition to one of several next States, based on a rule such as a criteria value (or range of values), whether files are attached to an item and other factors.

Validation

A confirmation by the workflow engine that all necessary steps to achieve a transition have occurred; this includes, the completion of mandatory criteria and the setting of specific values or attachment of files.

Action

An event that occurs as an item transitions out of a state, such as the setting of a criteria value, or the addition of a subtype to an item.

Default Permissions

Default Permissions encompass both permissions for criteria and advanced permissions. Default permissions are established for members of a role across all states of a workflow. These permissions are separate from any permissions set up in the Role Builder (although those settings may be imported into a workflow). Workflow default permissions are only in effect while an item is in a running workflow. Permissions can also be configured specifically for each state (see State Permissions). The term Permissive is used to describe different levels of permissions. For example, edit permissions are more permissive than read permissions and read permissions are more permissive than no access.

State Permissions

Permissions can be configured for one or more roles at each state of a workflow. These will override the workflow's default permissions and permissions set in the Role Builder. State permissions also include Trigger permissions which are used to determine which role(s) can see and click button-based triggers. The term Permissive is used to describe different levels of permissions. For example, edit permissions are more permissive than read permissions and read permissions are more permissive than no access.

Responsible and Informed E-mail Notification Recipients

E-mail notifications may be automatically generated as a result of a transition occurring. E-mail notifications are highly configurable. For each message, there can be versions for two groups:

•*Responsible recipients*: Persons who are expected to perform some task based on the transition or state change. These will often be a person in a role who will interact with an item in its new state.

• *Informed recipients*: Persons who may not work directly with the item(s) in the workflow, but need to be aware of the item`s current state.

Notifications can be configured to be sent to one of these groups, both or neither for each transition. Although the process for creating notifications and the way the notifications work is the same for both groups, the ability to have two discrete groups enables more appropriate customization of the messages.

Workflow: Creation Overview

Stages of Workflow Creation

1. Create a workflow

2. (Optional) Define default workflow permissions for each role. These can be Field permissions and Advanced permissions

a. It is also possible to import existing roles and permissions for this item type or subtype. This will copy the existing permissions for a given role to the workflow to provide a starting point for defining the field level permissions for each state. Note that this is purely a copy of the existing permissions. Subsequent changes to the permissions defined in the role will not change the permissions for items that are in workflows or that have workflows assigned to them.

Note: When importing main and subtype permissions together, any conflicts, the most permissive will be applied. Example: Name permission – read for subtype & Edit for main type = Edit permissions.

b. Create a default permission set. This will exist regardless of any existing permissions for the role and will define a set of field permissions for that role for items within the workflow. These can then be varied by state.

3. Build out states.

These are the stages of a workflow. Note: All workflows commence with a Start state. Details can be edited, but this state is always the starting point for any workflow design and cannot be deleted.

a. Name, instructions (to appear on screen) and color. Color affects how the state name appears in Manage by screens, Matrix Assessor and reports.

b. Manage state order (for reporting, position in menus).

4. Add Triggers.

Triggers are the actions that execute an item's transition from the current state to another state. Triggers typically appear as buttons in the Manage by screens and as a drop down menu in Matrix Assessor, although dates and changes to a framework can also be triggers.

a. Add the Trigger name for button-based triggers. This is the text that will appear on the button in the Manage by screens and in a drop down list in Matrix Assessor.

b. Add Instructions that are available as a mouse over of the trigger in Manage by.

c. Add a transition name and identify the destination state of the transition.

d. (Optional) Design the Confirmation Statement. The confirmation statement appears before the user transitions the item from the current state to the next state. The Confirmation statement consists of a rich text

field and a two editable buttons for the confirm and reject options. The user needs to confirm the confirmation statement in order to proceed to the next state.

5. Add or Edit transitions.

GRC Cloud can create sophisticated transitions that follow business rules and that update an item with specific information at the time of the transition. Simple transitions consist of a name a next state and, optionally, a confirmation statement.

However, it is possible to add alternative transitions to a trigger. While adding and editing transitions it is possible to:

a. Route workflows depending on values of fields in the items or other factors, by setting up multiple possible transitions, each with different business rules called conditions.

b. Ensure that specific fields have been filled or other requirements have been met before allowing an item to transition from one state to another.

c. Set criteria values within an item at the time of a transition to record useful information such as the name of the user working on the item and the date of the transition.

6. State Permissions

a. Add a Role

b. Determine if members of this role see items in this state in their homepage My Tasks window.

c. For each criteria, choose specific Field Permissions for this state. The choices are Default, None, Read and Edit. Choosing Default will apply the default permissions described earlier.

d. Choose specific Advanced Permissions for this state. The choices are Default, None and Execute. The Execute option is equivalent to checking the appropriate advanced permission box in the Role profile. Note that the Enable Permissions Management option relates to setting permissions for other Roles. The Roles available are those that have already been attached to this workflow, not all roles in the system.

e. Choose Trigger Permissions for this state for each role. The available buttons to transition to another state can be limited by Role.

7. Add E-mail Notifications

For each available transition, an e-mail notification may be authored. The text can be customized for users defined as Responsible Recipients which is typically the primary role in the next state of the workflow and Informed Recipients, which are other roles that need to know the status or be informed of the item`s progress. External users can also be configured to receive updates.

a. Enter the text for the Responsible recipient. If any external users are responsible for the next state they may be added in as additional responsible recipients, as external users are not members of roles.

b. Enter the text for the additional informed recipient. If any external users need to be informed they may be added in as additional informed recipients, as external users are not members of roles.

Workflow: Creating and Editing of a Workflow

Create a Workflow

1. Navigate to Design > Item Templates > <Item Template> and click the Workflows tab. Any existing workflows for this item type will be displayed as either Published or Draft.

Note:
When an item main type is selected, workflows that are attached to both the main type and all sub-types are displayed under the Workflows tab. However, if viewing an item subtype, only the workflows relating to that sub type and the main type are displayed. Workflows relating to other subtypes are not available.

2. Click Add New to create a new workflow.

3. Enter a name for the workflow and a description (optional). Check which sub types the workflow will be attached to. A workflow can operate on an item main time, a single sub type or multiple sub types, but can not be attached to a combination of main type and sub type(s). For more information see Concepts: Managing Subtypes.

4. Press Save. The main workflow editing screen is displayed.

Editing Existing Workflows – Published and Draft

Many features of a workflow cannot be edited once it is published, as structural changes may corrupt the routing of items and business rules associated with the workflow. Elements that may be edited in a published workflow are:

Workflow Overview:

• Can edit workflow name and description but not what sub-types it can be linked to.

States:

• Name & Instructions

• Color

• Administrator State Interaction

Triggers:

• Name & Instructions

• Confirmation Statement

Transitions:

• All condition, validation and action features

E-mail templates:

• Aggregate Template properties

• All recipient and recipient settings

Note: Administrators cannot add/delete states or triggers, or modify permissions.

Workflow: Building States

Building Workflow States

1. From within the Workflow Editor, click the Overview tab. The default initial state, called Start State appears.

2. Click Add State to create a new state.

3. Enter a name and (optionally) add Instructions. The instructions will appear in Manage by… screens, under the heading State Instructions at the top of the right hand panel, to advise users as to what they are expected to do in this state of the workflow. The text will also appear when the user runs their mouse over a state name in Matrix Assessor.

4. Check, the following options as appropriate:

  • **Read only state for Administrators**: Check to confirm that Administrators can view but not interact with an item in this workflow state. This means that Administrators can neither:

    i. change the values of criteria

    ii. transition the item to another state

    iii. edit permissions

    iv. attach files

  • **Block Item Updates from Framework Library**: Check to confirm that any changes made to the framework versions of an item in this workflow state cannot be updated to this item (or any instance of it) while it is in this workflow state.

5. Select a color for the state by launching the color picker. The color is used in the user interface (Manage by… and Matrix Assessor screens) and in reporting and pie charts.

  It is recommended that light colors such as white, light gray and yellow not be used as these will not be easily visible to users in Manage by.

6. Press Save.

7. To add further states repeat the steps above. To edit an existing state, click the pencil icon next to the state name.

8. The order in which states appear in reports and pie charts can be managed using the order drop-down on the left hand side of the screen. Selecting a position in the order for one of the states will make appropriate changes to the order of the other states.

Workflow: Setting Default Permissions

Set Default Workflow Permissions

A workflow´s default permissions define how users in one or more roles interact with an item that is in a running workflow. Workflow default permissions can be configured to be different from the standard permissions for items of the same type when they are not in a workflow (i.e. the permission set in the Role Builder). Permissions are further customized on a state basis later in the workflow building process.

There are two approaches to creating the default permissions. Building the permissions within the Workflow designer OR importing the existing roles and permissions as designed in the Role Builder and modifying them as needed.

Creating New Default Roles and Permissions

1. Click the Default Permissions tab.

2. Click Add Role. A list of all Roles in the system is displayed, including those which do not currently have any permission for this item type. Check all Roles that are to have permissions for items in a workflow. Click Save.

3. The Roles are listed in the left hand column. Select the Role whose permissions you wish to edit. As the role is selected the current permissions are displayed in the right hand panel. They are separated into two tabs for Field Permissions and Advanced Permissions. By default all permissions are set to None.

4. Under the Field Permissions tab use the radio button, for each available permission, to determine whether the default permission for this role is None, Read or Edit. The Set All option in the top right corner can be used to set all permissions to one of these three settings and then individual permissions can be edited individually.

5. When complete click Save in the top left corner.

6. Under the Advanced Permissions tab use the radio button for each available permission to determine whether the default permission for this role is None or Execute. In this context the word Execute indicates that a member of this role has the ability to use this permission. The wording shown in Role Builder may be more specific depending on the nature of the advanced permission. The Set All option in the top right corner can be used to set all permissions to one of these three settings and then individual permissions can be edited individually.

7. When complete click Save in the top left corner.

8. To edit permission for this Role or other Roles select the Role from the left column and repeat steps 4-7.

Importing Existing Roles and Default roles and Permissions

1. Click the Default Permissions tab.

2. Click Import Roles and Permissions. A warning message appears to advise that if the imported role information has conflicting permissions the most permissive will prevail.

Example: When importing main and subtype permissions together, any conflicts, the most permissive will be applied. Name permission – read for subtype & Edit for main type = Edit permissions.

3. A list of all Roles in the system with permissions to this item type is displayed. Click Save.

4. The Role permissions can now be edited. The changes will apply only to items in this workflow and will not affect the permissions set up in the Role Builder. Select the Role whose permissions you wish to edit. As the role is selected, the imported permissions (from the role builder) are displayed in the right hand panel. Under the Role Builder column, it details the permission set imported from the Role Builder, and by default, all default permissions are set to the state to which they were imported into the workflow.

If the permissions were to change in the Role Builder, the Role Builder column in the Default Permissions will automatically update to reflect that change; however, it will not modify the permissions set in the workflow. It is simple for reference.

They are separated into two tabs for **Field Permissions** and **Advanced Permissions.**

5. Under the Field Permissions tab use the radio button for each available permission to determine whether the default permission for this role should be edited via the None, Read or Edit. Or if the permissions set in the Role Builder is correct, no additional permissions management is required. The Set All option in the top right corner can be used to set all permissions to one of these three settings and then individual permissions can be edited individually.

6. When complete click Save in the top left corner.

7. Under the Advanced Permissions tab use the radio button for each available permission to determine whether the default permission for this role should be edited via the None or Execute. In this context the word Execute indicates that a member of this role has the ability to use this permission. The wording shown in Role Builder may be more specific depending in the nature of the advanced permission. The Set All option in the top right corner can be used to set all permissions to one of these three settings and then individual permissions can be edited individually.

8. When complete click Save in the top left corner.

9. To edit permission for other Roles select the Role from the left column and repeat steps 5-8.

Workflow Creating Triggers

Creating Triggers

Triggers are events that cause transitions to occur and can be of three types: Buttons, Conditional Dates and Framework Updates. Buttons are pressed by users in a workflow to manually transition an item from one state to another. Conditional Dates and Framework Updates, to the end user, are perceived as system or admin updates.

Button Triggers

1. From the Overview tab click the add icon next to the state the trigger will be added.

OR

2. From the Overview tab in the workflow builder, select the state to which the button will be added by clicking the name of the state.

3. In the upper panel, the name of the current state is displayed in the You Are Here box. Add a trigger by clicking the green plus icon in the Outgoing Triggers box.
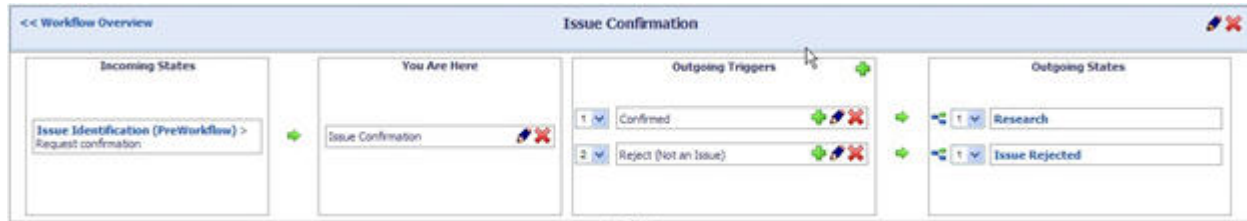
4. Enter the name of the trigger. This will be the text that appears on the button. Ensure Button is the selected trigger type.

5. Optionally, enter instructions which will appear as mouseover text when the user places the mouse cursor over the button in the Manage By… screens.

6. Enter the name of the transition that this button will initiate. (The purpose of transitions and how they are constructed is covered in more detail later.)

7. Select the Next State form the drop down menu.

8. If required, enter Confirmation Statement details as described below.

9. Click Save.

Confirmation Statements

Confirmation Statements are an optional component of a transition. A Confirmation Statement is a pop-up window that appears before a transition, requiring a user to explicitly confirm information or to express an intention to continue with the workflow.

Follow these steps to create a confirmation statement:

1. In the Add Trigger or Edit Trigger dialog, check the Should Show Confirmation statement box.

2. Enter the text of the confirmation statement. This text should be written as something that is either confirmed our rejected. The text field supports simple text formatting using the buttons at the top of the text editing window. A spell checker is also included.

3. If required, edit the default text for the confirmation button ("OK") and the rejection button ("Cancel")

4. Press Save.

Note: Confirmation statements can include hyperlinks. To include a hyperlink, paste the URL from a browser or another document. Please note that the URL must be pasted into the confirmation statement to insert the appropriate right-clickable link to be displayed in the Confirmation Statement. Typing an http address will not create a link.

Framework Update Triggers

1. From the Overview tab click the add icon next to the state the trigger will be added.

OR

2. From the Overview tab in the workflow builder, select the state to which the button will be added by clicking the name of the state.

3. In the upper panel, the name of the current state is displayed in the You Are Here box. Add a trigger by clicking the green plus icon in the Outgoing Triggers box.

4. Enter the name of the trigger. This will be the text that appears on the button. Ensure Framework Update is the selected trigger type.

5. Enter the name of the transition that this button will initiate. (The purpose of transitions and how they are constructed is covered in more detail later.)

6. Select the Next State form the drop down menu.

7. Click Save.

Conditional Date Triggers

Note: Conditional Date Triggers are executed on a daily frequency

1. From the Overview tab click the add icon next to the state the trigger will be added.

OR

2. From the Overview tab in the workflow builder, select the state to which the button will be added by clicking the name of the state.

3. In the upper panel, the name of the current state is displayed in the You Are Here box. Add a trigger by clicking the green plus icon in the Outgoing Triggers box.

4. Enter the name of the trigger. This will be the text that appears on the button. Ensure Conditional Date is the selected trigger type.

5. Enter the name of the transition that this button will initiate. (The purpose of transitions and how they are constructed is covered in more detail later.)

6. Select the Next State from the drop down menu.

7. Click Save.

9. Conditions can then be added to the trigger.

Note: These conditions act as a primary check to see if the trigger should execute, if they pass then it will continue to transition. If it fails, the trigger is not executed. In order to create these conditions on the trigger, the trigger must first be saved and reopened.

9. Add a date condition (or any other type of condition) to the trigger.

10. Create multiple the types of condition that will be checked against today's the selected frequency.

    a. A list of dates

    b. Criteria to be checked for completeness

    c. Criteria to be checked for certain values or ranges of values

    d. Whether a file is attached

Note: Details of how to create conditions are discussed fully in the section Adding Conditions to a Transition.

11. Click Save.

Other details regarding date triggers

    • Each state can have only one conditional date trigger attached to it to avoid contradictory logic being placed on a state.

    • Any transition and state change caused by a date trigger will be recorded in the Audit Trail and Change Log. The user name attached to the change will be displayed as "Automated".

Editing an Existing Trigger

To edit a trigger that has already been created, click on the pencil edit icon next to its name in the top panel in the Workflow Builder. Then follow the steps for creating Button Triggers and Confirmation Statements. Not all fields are editable once a trigger has been created. Once the trigger is created, all the transition information (Transition Name, Next State, Confirmation Statement) is moved to the transition and can be edit via the edit transition pop up. (See Editing Transitions section)

Workflow: Working with Transitions

Understanding Transitions

Although a transition is often just the simple passing of an item from one state to another, GRC Cloud can create more sophisticated transitions that follow business rules and that update an item with specific information at the time of the transition.

As stated in the section on creating triggers, the transition is created when defining a trigger. The transition consists of a name (which although not seen by users is important for the administrator building the workflow) a next state and, optionally, a transition statement.

It is possible to edit the transition created with the trigger and add alternative transitions to a trigger.

While adding and editing transitions it is possible to:

    • Route workflows depending on values of fields in the items or other factors, by setting up multiple possible transitions, each with different business rules called conditions. See "Workflow: Adding Conditions" on page 151

• Ensure that specific fields have been filled or other requirements have been met before allowing an item to transition from one state to another. See "Workflow: Adding Validations" on page 156

• Set values of criteria within an item at the time of a transition to record useful information such as the name of the user working on the item and the date of the transition.See "Workflow: Adding Actions" on page 161

Editing an Existing Transition

Transitions are automatically created when triggers are created. Some pertinent information entered when creating a trigger is populated into the transition dialog box when editing the transition.

1. On the State Editor screen, click the blue and green transition icon in the Outgoing States box adjacent to the name of the outgoing state identified when defining the trigger.
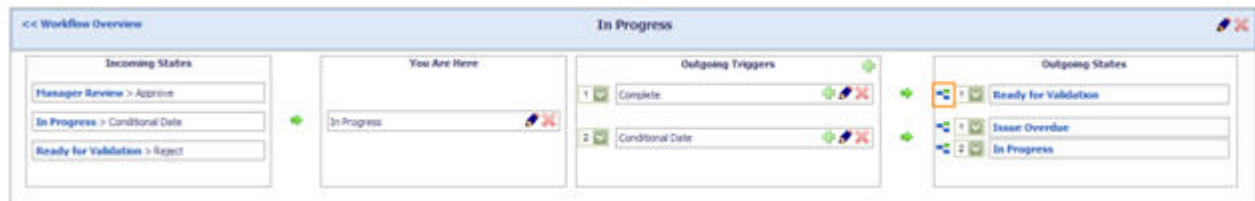
2. On the Transition screen click the edit pencil icon in the top right corner.

3. The name of the transition and the next state, which were defined when the trigger was created, are displayed in the dialog box and may be edited.

4. Click Save.

Adding Additional Transitions to a Trigger

1. On the State Editor screen, click the green plus icon adjacent to the name of the appropriate outgoing trigger.

2. Enter a name for the transition and identify the Next State that the transition will route to.

3. Optionally add a confirmation statement if needed. (Confirmation Statements are described in more detail in Adding Triggers.)

4. Click Save.

Managing the order of transitions

Transitions are checked in a specific order. This priority is set as follows.

1. In the State Editor screen, transitions are not displayed, but the Outgoing States of a transition are displayed.

Workflow: Adding Conditions

Adding Conditions to a Transition

The workflow engine uses **two different types of conditions:**

Check Value

Compares the value of a criteria or of a function result with the condition. Also compares today's date with a list of predefined dates. If the value meets the condition then the transition will be allowed (assuming validations are also met).

Check values can be run only on the following criteria types:

Radio Buttons & Drop Down Lists: The value in the criteria can be

- The same as a specified value

- Different from a specified value

- Greater than a specified value

- Greater than or equal to specified value

- Less than a specified value

- Less than or equal to a specified value

Date fields: Compares the date the transition is occurring (i.e. today's date) with a date criteria on the item.

The condition can be set so that the transition date is:

- The same as the date in the criteria

- Different from the date in the criteria

- Greater than a fixed number of days before the date in the criteria

- Greater than or equal to a fixed number of days before the date in the criteria

- Less than a fixed number of days before the date in the criteria

- Less than or equal to a fixed number of days before the date in the criteria

- Greater than a fixed number of days after the date in the criteria

- Greater than or equal to a fixed number of days after the date in the criteria

- Less than a fixed number of days after the date in the criteria

- Less than or equal to a fixed number of days after the date in the criteria

Scheduled dates: when a trigger executes, instead of comparing today's date with a criteria, it compares today's date with a predefined list of dates.

If today's date matches one of the listed dates for the transition, the transition will proceed (assuming other conditions are met and validations are passed).

Functions: Check values can also be run on function results. The condition can be set so that the value of the function result can be

- The same as a specified value

- Different from a specified value

- Greater than a specified value

- Greater than or equal to specified value

- Less than a specified value

- Less than or equal to a specified value

Note: Invalid or not calculated functions fail the condition.

Child Items (Self): Check to determine whether a certain item type exists below that item being transitioned.

- At least 1 item exists below the item being transitioned matches

the defined item type selected.

- If it does have that item type, the condition / validation passes and the item continues down the transition.

- If it does not have that item type, the condition is not met and continues to the next condition

- If validation fails, the transition is canceled and user is notified the item could not be transitioned.

Child Items (Ancestor): Check the ancestor(s) of an item on transition of the workflow to determine whether a certain item type exists below the specified ancestor

- Cascades the tree above searching for the first item found that matches the defined item type.

- Once it finds that item type, it will check to see if at least 1 item exists below it that matches the defined item type selected.

- Checks there is at least 1 item of that type below.

- If it does, the condition / validation passes and the item continues down the transition

- If it does not, the condition is not met and continues to the next condition.

- If validation fails, the transition is canceled and user notified item could not be transitioned.

Additional Child Item Notes:

- It will check both trees

i. If transition executed in the Scoping tree, but the item searching for is not linked, but is in MBL, it will recognize it as attached.

ii. If running the transition on the Scoping tree and going to look for a risk, and that risk is not linked, but the folder is, it will not pass successfully.

- When set on main type (looking for a step) the transition will pass if child it's looking for exists and is main or sub type.

- Self condition for Scoping tree items does not contain locations as an option. Nor do applications have Scoping as an item.

Workflow States for Item Type (7.1)

- On transition of an item, it can cascade either direction of the tree and check for an item type that is in a specific workflow state.

> Example: Prior to signing-off on a process, audit or other item verify that all descendants are in their signed-off state.

- It applies to Siblings, Parent, Children, Descendants and Ancestors

- If the item defined in the condition does not exist in the tree, it will pass the condition. To identify if an item exists in the tree, a Child Item condition/validation can be set up to accommodate this (see above).

Has Value

Simply checks to ensure that:

- Any value exists for one or more specified criteria (any criteria type)

- Any value exists for a one or more function results (i.e. it is neither invalid nor not calculated)

- The item is a specific item sub type.

- A user in one or more specific roles is attached to the item

- At least one file is attached to the item

Steps to Adding/Editing Conditions

1. To edit a transition, click the transition icon in the Outgoing States box in the state editor screen. The transition name, which was created when the related trigger was defined, appears at the top of the screen.

2. Click the Conditions tab.

3. Click the green plus icon labeled Condition and select either a Check Value condition or Has Value condition.

4. For a Check Value condition, enter the name of the Condition (this is not displayed to users but is an identifier for the Administrator designing the workflow) and select the condition type (criteria, function or scheduled date).

5. Select the specific criteria or function result to be compared to the condition: condition type (greater than, less than, equal to etc.) and the value the criteria or function result will be compared to) For date criteria there is a field to enter a number of days and a Before/After field. For scheduled date, enter one or more dates to be compared with today's date.

6. For a Has Value condition, enter the name of the Condition (this is not displayed to users but is an identifier for the Administrator designing the workflow)

7. For each condition type except file (i.e. criteria, function, subtype, file or role), select the condition type from the drop down menu and click the radio buttons for the appropriate fields. For the file condition there are no check boxes as the condition simply checks that there is a file attached to the item. All choices are combined into the one condition.

8. Click Save.

9. More than one condition can be attached to a transition. In order for the transition to occur, all conditions must be passed. To add further conditions repeat steps 3-8 as appropriate.

10. To edit a condition, click the pencil icon adjacent to the Condition name. There are limitations as to what can be changed while editing and it may be necessary to delete a condition and create a new one.

Setting up a Child Item Condition

1. Same 1-4 steps as above

2. Select an item type from: *Define Type of Check*

> - Self: checks items directly below the item being transitioned

> - Ancestor: cascades up and checks below the item defined

3. For Self: select the item to exist from the *Define Item Type to Confirm Existence* drop down

3b. *Save*

4. For Ancestor: select an item type to cascade up the tree from the *Define Ancestor to Check Below* drop down

5. For Ancestor: select the item type to exist from the Define Item *Type to Confirm Existence* drop down

6. *Save*

Setting up a Workflow States for Item Type Condition (7.1)

1. Same 1-4 steps as above

2. Select an item type from: *Define Type of Check*: Ancestors / Parent / Siblings / Children / Descendants

3. *Define Item Type* to check: this is the item the condition will look for and determine it's state

4. *Define the State Name*: this must come from the list of states associated with the workflow attached to the item type above

5. *Save*

Workflow: Adding Validations

Adding Validations to a Transition

The workflow engine uses two different types of validations.

Check Value

Compares the value of a criteria or of a function result with the validation. If the value passes the validation then the transition will be allowed.

Check values can be run only on the following criteria types:

Radio Buttons & Drop Down Lists: The value in the criteria can be

- The same as a specified value

- Different from a specified value

- Greater than a specified value

- Greater than or equal to specified value

- Less than a specified value

- Less than or equal to a specified value

Date fields: Compares the date the transition is occurring (i.e. today's date) with a date criteria on the item.

The validation can be set so that the transition date is:

- The same as the date in the criteria

- Different from the date in the criteria

- Greater than a fixed number of days before the date in the criteria

- Greater than or equal to a fixed number of days before the date in the criteria

- Less than a fixed number of days before the date in the criteria

- Less than or equal to a fixed number of days before the date in the criteria

- Greater than a fixed number of days after the date in the criteria

- Greater than or equal to a fixed number of days after the date in the criteria

- Less than a fixed number of days after the date in the criteria

- Less than or equal to a fixed number of days after the date in the criteria

Scheduled dates: when a trigger executes, instead of comparing today's date with a criteria, it compares today's date with a predefined list of dates.

If today's date matches one of the listed dates for the transition, the transition will proceed (assuming other conditions are met and validations are passed).

Functions: Check values can also be run on function results. The condition can be set so that the value of the function result can be

- The same as a specified value

- Different from a specified value

- Greater than a specified value

- Greater than or equal to specified value

- Less than a specified value

- Less than or equal to a specified value

Note: Invalid or not calculated functions fail the validation.

Child Items (Self): Check to determine whether a certain item type exists below that item being transitioned.

- At least 1 item exists below the item being transitioned matches

the defined item type selected.

- If it does have that item type, the condition / validation passes and the item continues down the transition.

- If it does not have that item type, the condition is not met and continues to the next condition

- If validation fails, the transition is canceled and user is notified the item could not be transitioned.

Child Items (Ancestor): Check the ancestor(s) of an item on transition of the workflow to determine whether a certain item type exists below the specified ancestor

- Cascades the tree above searching for the first item found that matches the defined item type.

- Once it finds that item type, it will check to see if at least 1 item exists below it that matches the defined item type selected.

- Checks there is at least 1 item of that type below.

- If it does, the condition / validation passes and the item continues down the transition

- If it does not, the condition is not met and continues to the next condition.

- If validation fails, the transition is canceled and user notified item could not be transitioned.

Additional Child Item Notes:

- It will check both trees

i. If transition executed in the Scoping tree, but the item searching for is not linked, but is in MBL, it will recognize it as attached.

ii. If running the transition on the Scoping tree and going to look for a risk, and that risk is not linked, but the folder is, it will not pass successfully.

- When set on main type (looking for a step) the transition will pass if child it's looking for exists and is main or sub type.

- Self condition for Scoping tree items does not contain locations as an option. Nor do applications have Scoping as an item.

Workflow States for Item Type (7.1)

- On transition of an item, it can cascade either direction of the tree and check for an item type that is in a specific workflow state.

> Example: Prior to signing-off on a process, audit or other item verify that all descendants are in their signed-off state.

- It applies to Siblings, Parent, Children, Descendants and Ancestors

- If the item defined in the validation does not exist in the tree, it will pass the condition. To identify if an item exists in the tree, a Child Item condition/validation can be set up to accommodate this (see above).

Has Value

Simply checks to ensure that:

- Any value exists for one or more specified criteria (any criteria type)

- Any value exists for one or more function results (i.e. it is neither invalid nor not calculated)

- The item is a specific item sub type.

- A user in one or more specific roles is attached to the item

- At least one file is attached to the item

Steps to Adding/Editing Validations

1. To edit a transition, click the transition icon in the Outgoing States box in the state editor screen. The transition name, which was created when the related trigger was defined, appears at the top of the screen.

2. Click the Validations tab.

3. Click the green plus icon labeled Validation and select either a Check Value validation or Has Value condition.

4. For a Check Value validation, enter the name of the validation (this is not displayed to users but is an identifier for the Administrator designing the workflow) and select the validation type (criteria, function or scheduled date).

5. Select the specific criteria or function result to be compared to the validation, the validation type (greater than, less than, equal to etc. and the value the criteria or function result will be compared to.) For date criteria there is a field to enter a number of days and a Before/After field. For scheduled date, enter one or more dates to be compared with today's date. For a Has Value validation, enter the name of the validation (this is not displayed to users but is an identifier for the Administrator designing the workflow)

6. For each validation type except file (i.e. criteria, function, subtype, file or role), select the validation type from the drop down menu and click the radio buttons for the appropriate fields. For the file validation there are no check boxes as the validation simply checks that there is a file attached to the item. All choices are combined into the one validation.

7. Click Save.

8. More than one validation can be attached to a transition. In order for the transition to occur, all validations must be passed. To add further validations repeat steps 3-8 as appropriate.

9. To edit a validation, click the pencil icon adjacent to the validation name. There are limitations as to what can be changed while editing and it may be necessary to delete a validation and create a new one.

New in 7.0 Setting up a Child Item Condition

1. Same 1-4 steps as above

2. Select an item type from: *Define Type of Check*

    - Self: checks items directly below the item being transitioned

    - Ancestor: cascades up and checks below the item defined

3. For Self: select the item to exist from the *Define Item Type to Confirm Existence* drop down

3b. Save

4. For Ancestor: select an item type to cascade up the tree from the *Define Ancestor to Check Below* drop down

5. For Ancestor: select the item type to exist from the Define Item *Type to Confirm Existence* drop down

6. *Save*

New in 7.1 Setting up a Workflow States for Item Type Validation

1. Same 1-4 steps as above

2. Select an item type from: *Define Type of Check*: Ancestors / Parent / Siblings / Children / Descendants

3. *Define Item Type* to check: this is the item the validation will look for and determine it's state

4. *Define the State Name*: this must come from the list of states associated with the workflow attached to the item type above

5. Save

Workflow: Adding Actions

Adding Actions to a Transition

1. To edit a transition, click the transition icon in the Outgoing States box in the state editor screen. The transition name, which was created when the related trigger was defined, appears at the top of the screen.

2. Click the Actions tab.

3. Click the green plus icon labeled Action.

4. Enter the name of the action (this is not displayed to users but is an identifier for the Administrator designing the workflow) and select the action type (Criteria, Subtypes, Child Item, Calculate Functions, Add Role Membership**,** Clear Criteria Values **(7.0)**

5. For a criteria, select the specific criteria to be set.

  - For drop down menus and radio buttons, select the value to be set.

  - For date fields, select either today's date or a date before or after today's date to be set, entering the number of days before or after.

  - For the user picker, the user who effected the transition will be entered into the item. This option is not configurable.

  - For functions, select the function(s) you would like calculate after the transition.

  - For Child Item, select the type of child item to be created and define the naming convention. Note: If selecting Name and Tag, it will be truncated if it exceeds 80 characters when the item is next saved .
  Ability to create Location and Scoping Items (now applies to all non framework items in the system)

  - Add Role Membership: adds the current user (user transitioning the item) to the permission tab; allowing for quick, on the fly reassignment of permissions. Administrators will define the

role the user is added to when creating the action. Applies to single and multi user pickers. (8.0)

6. Set a subtype: select one subtype to be added to the item. Only subtypes that the workflow is attached to are available in this feature.

7. Remove a subtype

    a. When creating an action for a transition:

        i. The options available are the sub types associated to the workflow.

        Ex1: if running on a Main Type > showw all sub types

        Ex2: if running on specific sub types > show only those applicable sub types.

    b. On Transition

        i. Removes the associated sub type.

        ii. IMPORTANT: if this breaks the workflow (removes all applicable sub types) it will proceed to the next state, but not remove all subtypes. One must remain. It this occurs, it's a misconfiguration.

        iii. If additional actions are set that apply to the removed or added subtypes > they will be ignored.

7. For Clear Criteria Value, select as many criteria applicable to be cleared. (Change log will be updated with "Automated Workflow" as the user that cleared the criteria.) (7.0)

8. Click Save.

Workflow: Transitioning Workflow States - Combining Conditions/Validations/Actions

Understanding the Processing of Conditions, Validations and Actions within Transitions

Where multiple transitions are attached to a trigger, they are handled in a prescribed order as discussed in Adding Transitions.

The elements of a transition are processed in the order: Condition (including confirmation statement where appropriate), Validation, Action. Any combination of single or multiple conditions, validations and actions can be combined in a transition, but all must pass. Only after the completion of these is the item successfully transitioned to the next state.

Conditions

After the trigger has been executed, the workflow checks the conditions attached to the first transition. If the

conditions are met (and any confirmation statement has been accepted), the workflow checks all the validations. If the conditions are not met, the workflow will attempt the next transition. If there are no more transitions, the user will be informed that the item could not be transitioned. However, if no transitions are possible due to conditions this would normally indicate that the transitions and conditions have been poorly constructed.

Validations

The workflow checks all validations. If all validations pass, then actions occur. If not, the user is advised that the item is incomplete for transition to the next state. The user can add missing values or change existing values as appropriate and re-execute the trigger. The workflow will not attempt another transition due to a missing/failed validation.

Actions

Actions occur on a transition only after all conditions and validations have been passed.

Successful Transition

The successful transition occurs immediately after the actions are completed. Any e-mail notifications are also sent at this time (see Creating Email Notifications).

Ensuring all Necessary Information is in Place for a Transition to Take Place using Validations.

Validations are used to ensure that the appropriate information has been entered into or attached to an item so that it is ready to transition to the next state of the workflow. Validations are checked only after a transition has passed any conditions that may be attached.

Validations ensure that all fields that are required to be completed in a given workflow state have been completed. It can also ensure that an appropriate value has been entered into the item before allowing a transition to take place, that the item has a file attached, or that it is of a certain sub-type and has a user assigned to it in a specific role. The transition to the next state can only take place if the item passes this validation.

Example 1: If there is a trigger button called "Escalate Issue" a validation could check field values (such as the value of a radio button or a date field) to ensure the information recorded supported the need to escalate the issue.

Example 2: It may be necessary to attach a file to transition an item to the next state. A validation can be used to check that a file is attached.

Note: Validations can be attached only to transitions executed through button triggers. Validations cannot be attached to date triggers and framework update triggers.

Capturing Information at the Time of a Transition using Actions.

The Actions feature is a powerful element of transitions enabling a change to be made automatically to an

item at the time of the transition. (The change is made to the item the user is transitioning from, rather than the item being transitioned to.)

An action can be used to:

- **Set a criteria value** for the following types:

    o Drop-down

    o Radio button

    o Date

    o User picker

    o Note: It cannot update text fields, numerical fields or check boxes

- **Add a new subtype** to the item. Note that subtypes may be added, but not removed.

- **Calculating Functions**. Update function values after transition of the item.

- **Creating a Child Item.** Create a defined child item after the transition of an item.

Actions are useful for:

- Setting a specific value within an item that has not been set by a user, such as a priority ranking or categorization of an item where that categorization is related to the transition and the workflow path being taken.

- Recording either the date an item was transitioned or a related date for a follow-up or other purpose

- Recording the name of the user who worked on an item in this state and effected the transition.

- Changing the nature of an item by changing its sub-type. (Either adding a sub type to an item without a current sub type or adding additional sub types to items that already have one or more sub-types.) This change may expose different fields for completion, commence a workflow dedicated to that sub-type and enable the item to be categorized differently in reports filtered by sub-type.

- Calculating the functions of a item to ensure the values are up to date in the system for reporting and users interacting with the item in the next state.

- Create a child item on successful transition of an item, the action will create a child item based off the assessments (or routing) of the item. Administrators will create the action for a specific transition and define which non-framework item type will be created

Managing the Workflow Using Multiple Transitions and Conditions.

Having multiple transitions attached to a trigger enables business rules, called conditions, to be attached to

each transition and used to route the workflow based on the definition of that condition, based on information entered into the item.

Conditions can either check that a value exists or that the value is a specific value or a range of values. When the trigger is executed (i.e. the button is pressed or the date trigger or framework trigger is executed) the workflow engine will try to complete the first transition in the list. To do this, it checks the conditions in the transition. If the item meets all the conditions then the transition will occur (unless it has to run through validations which are discussed later). If any one of the conditions is not met, then the transition will not occur and the workflow engine will attempt to process the second condition, and so on.

To facilitate this, transitions are attached to a trigger in a prescribed order.

Example:

In a compliance department, breaches are investigated differently based on the severity of the breach.

There is one trigger button called "Investigate" in a workflow state. However the next state in the workflow is determined by how a field called "Severity of Breach" is answered. The possible values of this field, which appears as a drop down menu, are:

- Critical (4)

- Severe (3)

- Moderate (2)

- Minor (1)

Critical and Severe issues are routed to the Director of Compliance, whereas other items are handled by junior compliance officers.

Two transitions can be attached to the "Investigate" button trigger, each with a different condition and a different next state. The first transition, called "High Priority" features a condition that states that if the "Severity of Breach" field has a value of 3 or greater, then it should be routed to an urgent review state, which is handled by the Director of Compliance. The second transition, called "Regular Priority" features a condition that if the value is 2 or lower it is routed to a regular review state, handled by the compliance office. In addition, the second transition could feature a confirmation statement where the user declares that they have reviewed all pertinent information and determined that the issue is not a high priority.

When the trigger button is clicked, the workflow engine runs the conditions on the first transition. If for example the value in the field was 2/Moderate, the item would fail the condition and therefore the transition would not take place. It would however pass the second condition and would display the Confirmation Statement for the 2nd transition. When the user clicks OK, it would transition to the state identified in the Regular Priority transition.

Identifying Failed Validations (7.1)

When transitioning an item, validations may be in place to ensure all work is completed before the transition completes and moves to the next state. Failed transitions are now identified to the user in Editable Reports and Mange by areas of the application (Matrix Assessor not supported).

If a transitions fails due to validations, users will see the messages below. Note: Pop up message in the Editable Reports does not have to be closed. It can remain up as the user addresses the failed validations.

Editable Reports:

Manage by:

Workflow: Defining State Permissions

Steps to Defining State Permissions

Although default permissions for items within a workflow are typically set up at the start of the workflow creation process, permissions can be further refined so that only users who are members of specific roles have read or edit permissions for specific criteria and access to advanced permissions in a particular state. This ensures that only the correct users can work with items in a specific workflow state.

1. Navigate to the state whose permissions are to be edited in the Workflow Overview screen. The state editor screen will appear with the name of the State in the blue horizontal bar at the top of the screen. (The name of the state being edited also appears in the You Are Here box.)

2. Click the Field Permissions tab.

3. Click Add Role. A list of all Roles in the system is displayed, including those which do not currently have any permission for this item type. Check all Roles that are to have permissions for items in a workflow. Click Save.

4. The Roles are listed in the left hand column. Select the Role whose permissions you wish to edit. As the role is selected the current permissions are displayed in the right hand panel. They are separated into three tabs for Field Permissions, Advanced Permissions and Trigger Permissions.

5. Use the Items Appear in My Tasks drop-down menu to determine whether items in this state should appear in the My Tasks table on a user's home page. When this is set to Yes any items in this state will be shown as requiring attention by a user with permission for this item when he or she logs into GRC Cloud.

6. Under the Field Permissions tab use the radio button for each available permission to determine whether the state permission for this role is None, Read, Edit or Default. Unless edited, the setting for each field is Default, which means that the permission level in the default permissions will apply in this state. The Set All option in the top right corner can be used to set all permissions to one of these four settings and then field permissions can be edited individually.

7. When complete click Save in the top left corner.

8. Under the Advanced Permissions tab use the radio button for each available permission to determine whether the state permission for this role is None, Execute or Default. In this context the word Execute indicates that a member of this role has the ability to use this permission. The wording shown in Role Builder may be more specific depending in the nature of the advanced permission. Unless edited, the setting for each field is Default, which means that the permission level in the default permissions will apply in this state. The Set All option in the top right corner can be used to set all permissions to one of these three settings and then permissions can be edited individually.

9. When complete click Save in the top left corner.

10. Under the Trigger Permissions tab use the radio button for each trigger button to determine whether users in this role can see and click the trigger buttons to transition the item. All the button triggers for the current state appear in the list. The available trigger permissions are None or Execute. In this context the word

Execute indicates that a member of this role has the ability to see and click the button. Unless edited the setting for each field is None. The Set All option in the top right corner can be used to set all trigger permissions to one of these settings and then trigger permissions can be edited individually.

11. To edit state permissions for this Role or other Roles, select the Role from the left column and repeat steps 4-10. Roles that have been assigned to a workflow state are viewable in the workflow overview screen.

Workflow: Creating E-mail Notifications

Steps to Creating E-Mail Notifications

Part A: Building Workflow Templates

Templates are new in the 8.0 version and allow administrators design a specific template for each transition in the workflow. An unlimited number of templates can be created.

1. From the workflow overview screen, click the Email Templates tab.

2. By Default, 3 templates will be listed (Responsible / Informed / Immediate).

3. Click on the template to modify the details or add a new template by clicking on the Add Template drop down (3 types can be added).

4. Name or rename the template.

5. Determine the frequency of the emails to be sent.

6. Modify the header name. The workflow name will be inserted by default. The header name acts as the introduction to that template (see below).

7. Add in an Email body (if applicable): this is a brief description to why the user is receiving the email and what tasks are associated with the items sent.

8. Define the **Columns to Display** (8.0): select from the 3 drop downs (Workflow Attributes / Criteria / Functions) what information will be displayed in the email. Note: Spreadsheet criteria is not supported.

9. Order criteria, functions, and workflow attributes. Do this by dragging and dropping the high-lighted arrows seen in the image below.

10. Save

Note: Function and criteria values in the email are based off the value in the database at the time the email is sent.

Part B: Associating templates to each possible transition

Now that the templates are created, they can be associated to the transition and complete the notifications for that transition.

1. From the workflow overview screen, click the Email Notifications tab.

2. All the possible transitions within the workflow are automatically listed in the format "(Initial) State Name > Trigger (Button Text) > Transition Name > (New) State Name".

3. To author the e-mail transition templates for a specific transition, click the pencil Edit icon for that transition change.

4. Select the relevant type of email (responsible / informed / immediate) from the tabs.

5. Define the Email template (the types of templates available will match type (tab) selected).

5. Select the Role(s) who will receive the Responsible Recipients message from the role drop-down menu. Only roles associated with the workflow are shown.

5. Add any additional external users who should receive the Responsible Recipients messages. The user picker menu will display only external users.

6. Write the text of the Responsible Recipients message. This message will appear in the transition message field of the email table (see below) in the finished message.

7. Select the Role(s) who will receive the Informed Recipients message from the role drop down menu. Only roles associated with the workflow are shown.

8. Add any additional external users who should receive the Informed Recipients messages. The user picker menu will display only external users.

9. Write the text of the Informed Recipients message. This message will appear in the transition message field of the email table (see below) in the finished message.

10. Select a report to be sent to the user for the transition. (7.0)

    a. Users loading the report via email must have live report access granted.
       Note: if a user does not have access previously granted via the live report, it will automatically grant access to it when the user clicks the report and enters the system.

    b. It will remove the default link to assess items in the Matrix Assessor.

     c. If an aggregate email has multiple transitions for the same item type, multiple links will be available in the email. Each transition that has a report link defined will be available to the user.

     d. Administrators will have access to all Item Overview and Hierarchical reports they have permission to.

     e. Clicking in the link will always load the report, not the report builder

11. Press Save.

12. The number of Responsible and Informed Recipients will be updated on the Email Notification tab.

Part C: Add Aggregate Email Template message

This message will appear immediately before a table indicating the details for all recently occurring transitions in a workflow.

1. From the workflow overview screen, click the Email Notifications tab.

2. To author the aggregate e-mail template, click the Edit Aggregate Email pencil icon.

3. Determine the aggregate e-mail notifications content for responsible recipients and/or informed recipients by working on the appropriate tab. The following instructions refer to either tab.

4. Determine the frequency of the message, ranging from every 4 hours to monthly.

5. Write the email body for the notification

6. Press Save.

Important Information about Aggregated Email Notifications

In any GRC Cloud site there may be workflows running on multiple item types and therefore a user may receive notifications about multiple workflows. The e-mail message generated is aggregated across all workflows.

The frequency for notifications may be set differently for different workflows. In this case, e-mail notifications will be sent at all times determined in each workflow's notifications schedule, but will contain information for all workflows and the information displayed for each workflow reflects what has occurred since the most recent e-mail notification only.

Example:

There are three workflows configured with email notification frequencies of nightly, 8 hours and 12 hours,

with e-mails scheduled as follows:

> • Workflow A: Assume the nightly e-mail is generated at 12:01am
>
> • Workflow B: Assume the 8 hour e-mails are generated at 12:01am,8:01am and 4:01pm
>
> • Workflow C: Assume the 12 hour e-mails are generated at 12:01am and 12:01pm.

Assume these are all new workflows that have been initiated sometime between midnight and 8am on the first day.

GRC Cloud will check every 4 hours to determine whether an e-mail notification should be sent (because 4 hours I the most frequent possible schedule for generating e-mail notifications.)

For each workflow, information is only displayed if there has been activity since the last scheduled e-mail. Details on earlier transitions are not included (i.e. there is no "reminder" that items are ready to be handled, if the user has been informed previously). If there has been no activity in any workflow since the last e-mail, no notification is sent.

NOTE 1: Times used are for example purposes only and do not reflect the actual times emails will be sent.

NOTE 2: Function and criteria values in the email are based off the value in the database at the time the email is sent.

Workflow: Immediate Emails

Upon transition of an item, an email can now be sent immediately to notify the individual(s) responsible in the next state of the workflow in real time. Administrators have the capability, via an enhanced email setup design, to determine:

a. The specific users receiving the email

b. Define a separate more urgent message

c. Select columns to display (including: criteria, functions and workflow attributes)

d. Define Email properties specific for the immediate email

e. Define multiple templates for each immediate email per transition

Part A: Building Workflow Templates

Templates are new in the 8.0 version and allow administrators design a specific template for each transition in the workflow. An unlimited number of templates can be created.

1. From the workflow overview screen, click the Email Templates tab.

2. By Default, 3 templates will be listed (Responsible / Informed / Immediate).

3. Click on the Immediate template to modify the details or add a new template by clicking on the Add Template drop down.
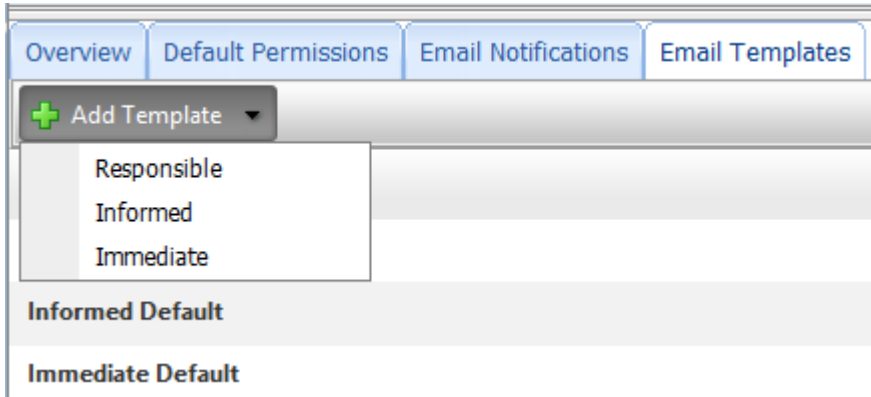
4. Name or rename the template.

5. Name or rename the header name. The workflow name will be inserted by default. The header name acts as the introduction to that template (see below).
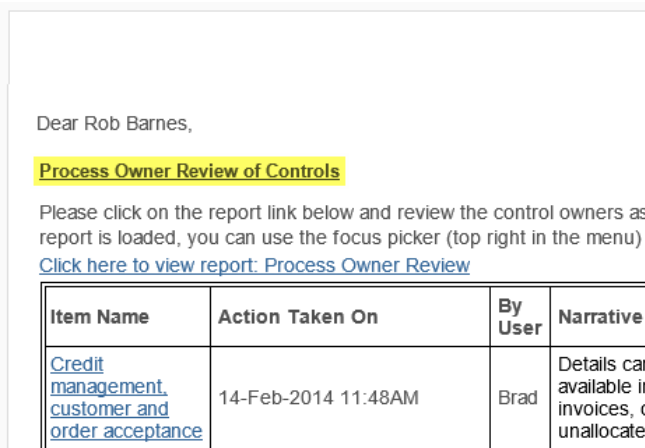

6. Add in an Email body (if applicable): this is a brief description to why the user is receiving the email and what tasks are associated with the item being sent.

7. Define the **Columns to Display** (8.0): select from the 3 drop downs (Workflow Attributes / Criteria / Functions) what information will be displayed in the email. Note: Spreadsheet criteria is not supported.

8. Order criteria, functions, and workflow attributes. Do this by dragging and dropping the highlighted arrows seen in the image below.

9. Save

Steps to Creating an Immediate Email

1. From the Workflow Designer > Email Notifications Tab

2. Per transition, click on the blue pencil

3. Select the *Immediate Email* tab

4. Define the Email template (the types of templates available will match type (tab) selected)

5. Option to customize the Email Subject

6. Select the roles for Immediate Recipients

7. Select any additional roles that would need to receive the email

8. Provide a transitions message, if applicable, that will be inserted into the email table

9. **:**Select a report to be sent to the user for the transition
   Note: administrators will have access to all Item Overview and Hierarchical reports they have permission to.

10. *Save* > Immediate Column will be updated on the Email Notification tab with the number of roles receiving the email

Customizing Immediate Emails (7.1)

Immediate emails enable administrators to completely customize the contents that the end user receives. Administrators can get more information out to their users and possibly reduce the amount of times the user needs to login to complete quick trivial tasks. Input additional information into the email: Trigger Names, Criteria Values, Function Values, plus all other information that is available in the workflow table.

Steps to Customizing an Email Body

1. From the Workflow Designer > Email Notifications Tab

2. Click the pencil icon

3. Select the *Immediate Email* tab

4. Within the *Message Body Text* rich text editor, input any text and formatting required

5. To reference the elements of the item and attributes of the workflow input the below tags where they lie in the text

6. The tags will reference the value of each element (example: T=>TriggerName will input the name of the trigger only).

7. Each tag requires two percentage symbols around the tag (Example: **%%**Tag Reference**%%**)

8. **New Tag Options:**
   a. T=>TriggerName:Inserts the trigger name into the email. Link is active and behaves like an internal trigger. Example: %%T=>Submit for Review%%

   b. C=>ItemType=>CriteriaName: Inserts the value of the criteria reference in the tag into the email. Example: %%C=>Risk=>Residual Impact%%
   Note: All criteria are supported; however, some rich text formatting is stripped from Rich Text Editor and Spreadsheet criteria.

   c. F=>FunctionName: Inserts the function value and label into the email. Example: %%F=>Residual Risk%%

The **remaining tags existed** in the previous version of Cloud via the Email Table. Administrators have the option to disable the table in the immediate email if they would prefer to add the information in via the tags below. All tags get formatted with the %%Tag Reference%% as described above.

   a. ActionTaken

   b. ActionTakenOn

   c. ByUser

   d. CurrentState

   e. InformedUsers

   f. ItemName

   g. ItemType

   h. PreviousState

   i. ResponsibleUsers

   j. UsersNotified

        k. StateMessage

        l. ItemNumber

9. To disable the table, go to the Workflow Designer > Email Notifications Tab

10. Click the *Edit Email Templates*

11. Deselect the option to: *Include a table containing the properties below*
For more information See "Workflow: Creating E-mail Notifications" on page 168

Linking Workflows

Working together as one! The first phase of linking workflows introduces the concept of sending and receiving events from one workflow to another. On completion of a workflow transition an action can be created to send out a 'message/event' for all workflows to receive and trigger a transition in the workflow.

Example 1: An audit, although not complete, has been flagged as closed at the audit project level; however, tests and controls remain open. Once the Audit has been closed, a message will be sent to all the children below to go to a closed state.

Example 2: Users can close an Issue and automatically close any Action Items attached to that issue.

Example 3: Signing off on a Process will trigger all Controls to go to a signed off state.

Building Linked Workflows

Creating Linked workflows is a two step process as one workflow needs to send an event while the other receives and engages. An action can be created on the transition of an item to throw an event to all other workflow in the system. In the below steps we will detail Example #2 noted above.

Creating the ACTION that Sends the Event

1. Access the workflow that will be sending the message: this is the workflow that determines whether other workflows need to do something. Example: Issue.

2. Determine which transition will dictate a message sent to others. Example: Ready for Validation > Issue is Approved & Closed.

3. Click on that transition .

4. Go to the *Actions* tab.

5. Add a new action.

6. Name the Action. Example: Close Children.

7. *Select the type of action*: Workflow Event.

8. Create or Select the Event to be Sent: this is the event that other workflows need to consume/ receive when the transition completes (explained more in the next section).

9. *Indicate which Target Items should receive the Event:* same concept as functions, the event needs to know which direction in the tree it needs to go. In this case, descendants.

10. Save.

On save, the event is created in the system and can be consumed by all other workflows. To help search for this when building other workflows, the Event field is searchable (explained below).

Notes:

- Workflow event cannot be created on a conditional date trigger

- A workflow event cannot be created on a transition that consumes an event. It could potential create an infinite loop.

- Created events cannot be deleted, but if renamed and not consumed by another event, if will disappear from the list.

Creating the TRIGGER that Receives the Event

Based on the above example #2, descendant workflows need to receive the event that was created. For example: Action Plans.

1. Navigate to the desired workflow. In this scenario, Action Plans.

2. Define which states the event applies to. For example, if the issue close, the action plan should close regardless of what state the action plan is in. To create a trigger that applies to all states see the section below: Setting up Global Triggers.

3. To set up a single trigger to consume an event, click add trigger button on the workflow overview page for the desired stated. Example: In Progress.

4. Name the trigger.

5. Select *Type: Workflow Event* from the drop down.

6. Name the transition.

7. Define the next state.

8. In the *Create or Select the Event to be Received:* in this case, click on the box. A list of workflow events come up that are currently in the system.

9. Select the desired Event to consume. This will initiate the transition of the item.

10. *Select the Priority.* When multiple events are thrown to a state this setting determines which event/trigger takes priority. If all triggers are set to Default, the trigger selection will be random. If priority is set, the trigger with the highest priority will be accepted.

Notes:

- If the trigger is consuming an event, an Action cannot be created to throw another event.

- Modifying an existing trigger by renaming the event, the previous event will remain in the system if the event is being used elsewhere. If the event is not being used it will no longer be shown in the list as it's not referenced anywhere, therefore cannot be in the list to select.

- Conditional date triggers vs event: Event always win – if an event and a conditional trigger happen simultaneous, the event always overrides

Setting up Global Triggers

Global workflow event triggers allow to set up one trigger that applies to all the states in the receiving workflow. This will be the most common use case when building workflows in Part 1 of Linked Workflows. In most scenarios, the event thrown will be to sent to all items regardless of where it currently resides. S

1. Navigate to the desired workflow.

2. At the top of the Workflow Overview page, a Global state is indicated.

3. Follow steps 3-10 from above: Creating the trigger that receives the Event

Anytime an event is thrown from another workflow, regardless of what state the item is in, it will transition.

Identifying State Status of Linked Workflows

Above covered the concept of sending and receiving messages between workflows that trigger the movement from state to state. In addition to that, a new condition has been put in place to determine whether an item in that linked workflow is in a specific state.

Example: Prior to signing-off on a process, audit or other item verify that all descendants are in their signed-off state.

To learn how to create this condition, see Workflow Adding Conditions.

Workflow: Managing Subtypes

Managing Subtypes Overview

Administrators may attach workflows both to item main types and item subtypes. However an individual workflow may be set only at **either** the main type level or the sub type level. One workflow can be linked to multiple item sub types, but a workflow cannot be attached to a combination of main type and some sub type(s).

Multiple published workflows within an item type may be linked to specific but discrete subtypes. However if one published workflow is linked to the main type (and therefore all items of that type, regardless of subtype), it is not possible to publish workflows for the individual subtypes, and vice versa.

An individual item can be linked to only one workflow. At the time of publishing a workflow, the framework is analyzed to ensure that no items could be linked to multiple workflows. If any item(s) in the framework have a combination of subtypes that would put them in that position, the workflow cannot be published. Similarly, where multiple published workflows are already in place for relevant subtypes it will not be possible to add new items or edit existing items' subtype settings if those changes would result in linking an item to multiple workflows.

Managing Subtypes – Detailed Information

Although draft workflows may be created from either the main type or a sub-type item template designer screen, they are then available to be linked to that main item type or any of its sub-types.

As discussed in Managing Subtypes Overview, a workflow may be:

- Linked to the item main type and therefore available to all items of that type regardless of whether they are in subtype templates or not.

OR

- Linked to one or more sub-types without being linked to the main type.

When a workflow is linked to a subtype, any item of that subtype will run that workflow. Items that are not part of that subtype will not be able to run the workflow.

Therefore different workflows can be attached to different but discrete subtypes. If a workflow is published for a main type, workflows may not be published for the subtypes. Once a workflow is linked to a subtype and published, no other workflow can be linked to and published for that subtype. Similarly if a workflow is published for a subtype, no workflow may be published for a main type.

When a workflow is published, and where the user has the permission to modify subtypes in the view item and subtype column in Matrix Assessor, the choice of subtype is limited to the subtypes that may be attached to that workflow. Therefore:

• Main type items will show all subtypes

• Items that are of a given subtype will only display the other subtypes to which that item`s workflow can be attached.

In addition, a user with appropriate permissions may remove the workflow subtypes from an item, but only when it is in the start state. This option is not available in other states, where subtypes may be added or removed but only those that apply to the workflow.

In other states, text if a user attempts to remove a subtype, on clicking of the trigger in Manage By… or Matrix Assessor, a message will be displayed advising the user that this cannot be done during a workflow and the transition will not be allowed. (In Matrix Assessor this will also result in a red Workflow Action cell).

Workflow: Resetting Workflow on Item(s)

Resetting Workflows on Item(s)

Administrators can reset a workflow on one or more items. Resetting returns the item to the initial "Start State". However, it doesn't remove or change any criteria values, subtype settings, attachments etc.

The reset process may be necessary when an item has been incorrectly completed and arrived in a state it cannot move on from, or other situations when an override may be necessary. For example, when workflows relate to an activity that is seasonally, the reset workflow feature can be used to "re-boot" the items for the new period.

Resetting Workflows from "Manage By…" Screens

1. In the Manage By screen, click the highest level item that needs to be reset, or an item higher in the hierarchy than all the items that need to be reset.

2. Click the Reset Workflow button above the left panel.

3. In the right panel select the appropriate workflows to be reset by checking boxes for item types, item subtypes or workflows.

4. Click the Reset Workflow button above the right panel.

Resetting Workflows during Period End

Administrators can reset workflows on one or more items during the period end process.

1. In Step 4 of the Period End process generate a filtered list of all items that are required to be reset.

2. On the Clear Results tab, check items whose workflows are to be reset.

3. Click the Reset Workflow button.

4. Continue with the remainder of the Period End process which is discussed in further detail in Period End.

Workflow Reporting

Reporting on Workflow States - Overview

All report types can display the current state of the item. The display features the name of the state and the background is the colour assigned to the state when the workflow was designed. The order in which states appear is also defined in the workflow.

In report design, states are like criteria and the state information can be included or excluded from a report and charts may be filtered by specific states.

The homepage can also be configured to show the state of workflow items in the form of a pie chart. These pie charts are available for selection with all the other charts of criteria values.

Reporting on Workflow States

Reports can include Workflow State information and filter based on this information, similar to how they report and filter on other item data. In addition, workflow states can be included in homepage pie charts and in the Executive Dashboard.

Hierarchical and Item overview Reports

1. Set up Hierarchical report, Item Overview report or Summary report as normal.

2. In the report filters locate the section called <Item Time or Subtype> Filterable Attributes and Criteria>

3. Check all state names for which items will be included in the report

4. Scroll down to the Select the columns to display section.

5. For the current period, select the State fields to be included. The options are in the format "<Item Time or Subtype>: <Workflow Name> State"

6. For hierarchical reports, repeat this for all required item types.

7. For summary reports, locate the option relating to the appropriate sub type(s) an check the field in the format "<Item Time or Subtype>: <Workflow Name> State"

8. Run the report as normal.

Home Page Pie Charts

1. Go to Username > Edit My Profile > Homepage Preferences.

2. Check the workflow state pie chart. Its format is "<Item Time or Subtype>: <Workflow Name>"

3. Press Save.

4. Managing default pie chart choices for groups can be done similarly in Administration > Groups > Homepage Preferences

Workflow: User Interaction (Manage By & Matrix Assessor)

Using Workflows – "Manage By…" Screens

In Manage By Location / Manage By Scoping, the current state of the item appears in the top right corner of the right hand panel. The state name appears in square brackets. The colour of this text is defined by the Administrator who built the workflow and the colour is also used in Matrix Assessor and Reports. The Administrator may have included explanatory text for this state. This will appear at the top of the right hand panel under the heading *State Instructions*.

As the workflow state determines which criteria can be seen by different roles at different times, it is possible that a user can read or edit different fields when an item is in a workflow than when it is not.

The Trigger buttons that transition between states are in the blue bar below the tabs in the right hand panel. There may be any number of trigger buttons, although typically just one or two, and these are on the left of the list of buttons.

When a trigger button is clicked, the item is validated to ensure that mandatory criteria have been filled out. Other actions such as attaching a file may also be classed as mandatory.

It may be necessary to complete a transition statement. This may be a statement asking a user to confirm that they want to proceed with a transition or a message requiring an attestation that the information entered is complete and correct. There will be a button to concur with the confirmation statement and another to reject the statement, which will cancel the workflow transition. The wording is defined in the workflow.

If it is not possible to transition to the next state for any reason, a message is displayed.

Using Workflows – "Matrix Assessor"

In Matrix Assessor, it is possible both to move individual items from state to state and to move all items of a certain type or subtype. The background colour in the Workflow Action column indicates the current state of each item. The Administrator may have included explanatory text (State Instructions) for this state. This can be displayed by holding the mouse cursor over the state name.

Transitioning individual items. This can be done using drop down menus in the Workflow Action column for each item. When you Save and Refresh the Matrix Assessor, the required state changes will occur, assuming all mandatory fields have been completed. When a transition is successful, the Workflow Action cell will be colored green. If unsuccessful, a message will appear at the top of the screen and the Workflow action cell will be red.

Transitioning all items of a certain type or subtype: Using the Set Workflow Transition menu option, the user can select all items of a certain type and subtype and determine which state they should be transitioned to next. On pressing Save and Refresh all items that can be transitioned to the selected state will be.

It may be necessary to complete a confirmation statement. This is a statement asking a user to confirm that they want to proceed with a transition or a message requiring an attestation that the information entered is complete and correct. The wording is defined in the workflow. As multiple items are being transitioned in matrix assessor, the screen will display appropriate confirmation messages for all items types and sub-types and list the items being transitioned.

When multiple confirmation statements are presented, the user can choose to either approve or reject each one individually or use the Set all to affirmative check box in the top left of the window to approve all items for transitions simultaneously.

Any items that could not be processed in this transition in Matrix Assessor, because they did not pass conditions will be identified at the bottom of the confirmation statement.

The Workflow action column will detail all items with a red (fail) or a green (pass).

Workflow User Interaction (Emails)

Workflow E-Mail Notifications

Users may receive e-mail notifications when items go through a transition. These e-mail notifications are set up by the administrator who designed the workflows.

A user may be either a responsible recipient of an e-mail, i.e. a person who needs to interact with the item in its new workflow state or an informed recipient, i.e. a manager or other individual who needs to be aware of each item's state. The recipients are based on roles and the relationship between roles and workflow and their individual states.

E-mails are scheduled to run at a certain frequency and will typically summarize all activity for a given time period. Links within the e-mails enable users to work on individual items in the Manage By… screens or to work on all items listed in the e-mail using Matrix Assessor.

Administrators can set up emails to send a specific link to a report allowing the user to load items directly in that report. Users receive an email, as seen in 6.3, however, administrators can substitute the "Assess all items in Assessor" with a link the brings them to a pre-defined report. For more information, See "Workflow: Creating E-mail Notifications" on page 168

   a. Users loading the report via email must have live report access granted.

   b. It will remove the default link to assess items in the Matrix Assessor.

   c. If an aggregate email has multiple transitions for the same item type, multiple links will be available in the email. Each transition that has a report link defined will be available to the user.

   d. Administrators will have access to all Item Overview and Hierarchical reports they have permission to.

   e. Clicking in the link will always load the report, not the report builder.

Dear Rob Barnes,

Approved Process Digest

Below is a list of all process you own and have approved this wee
time.

Click here to view report: Process Owner Review

Item Name	Current State	Narrative
Invoice payments	Approved	All invoices are reviewed by the office administrator and final review is completed by the senior accountant. Invoices are then paid with the accounting software and are approved by the COO prior to payment. Once payment has been initiated by the software, notifications are sent to all relevant parties and an entry is made in the software's audit log.

Email Transition Template   ☒

Save   Cancel

Responsible | Informed | Immediate

Recipients and message will be added to the Aggregate Email when the workflow executes this transition.

Template Name
Please select an email template
Responsible Default ▼

Responsible Recipients:

To: Select Role ▼   Add

Issue Owner **X**   Issue Manager **X**   Auditor In Charge **X**

Additional Responsible Recipients:

To: Select User ▼   Add

Transition Message:

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An issue has been created. Please login to review and provide feedback.

Email Notification will now indicate the users Full Name, opposed to the Username. If a full name is not provided upon creation of the user profile, it will auto-insert the username into the full name field.

Workflow User Interaction (My Tasks)

Interacting with My Tasks via the Homepage

The My Tasks dashboard on the user home page is a valuable tool to let users know when their attention in required for items in specific workflow states. The table displays:

- Item number

- Item name

- Workflow

- Current State

- Action Taken (the last trigger executed)

- Previous State

State names are highlighted in their assigned color as set up in the workflow State Editor. The items are grouped in the following order:

- By Workflow

- By Current State

- By Action Taken

There are **two** ways to navigate from the list into the items.

1. For individual items, click on the item name. The item will be viewed in the Manage by Location or Manage by Scoping Item screen.

2. For multiple items, click the appropriate check boxes (the check box at the top of the table selects all items) and click the *Take Check Items to Assessor* button to open the items in Matrix Assessor.

Setting up the My Tasks dashboard

1. Go to Username in Menu> Edit My Profile > Homepage Preferences.

2. In the section Include Information Boxes, check My Tasks

3. Press Save.

4. Managing default pie chart choices for groups can be done similarly in Administration > Groups > Home-page Preferences

Report

Reporting Introduction

Reporting is an ongoing process that generates useful and meaningful data on the status of your governance, risk management, compliance or other program across the organization. Reports can be generated as frequently as required in both tabular and chart form and some parameters can be saved to facilitate the easy update of standard reports.

The key functionality and report types are

- Executive Dashboard

- Item Overview Reports

- Summary Report

- Hierarchical Reports

- Saving, Sharing and Retrieving Reports

- Charting

- Audit Trail / Change Log

To enhance usability and efficiency large reports may be generated using a Parallel Processing Engine, which means that the user can continue working while reports are generated. See Creating Reports using Parallel Processing Engine for further information.

Executive Dashboard

The Executive Dashboard provides a high level overview of your Governance, Risk and Compliance management program. Using pie-charts, the Executive Dashboard displays the results for graphable criteria linked to the following items: Locations, Folders, Risks, Controls, Issues, Action Plans, Tests and Test Results. Sign off charts for Locations, Folder, Risks and Controls are also displayed.

The information visible in all reports is restricted to items the user has read (or greater) permission to.

1. Click on **Report > Executive Dashboard**.

2. Use the drop down menu to choose your starting point for the information displayed in the Executive Dashboard graphs. This enables you to analyze a specific area in your organization.. The default Starting Point is set in the user's profile under homepage preferences.

3. Select the required pie charts from the check boxes.

4. Click *Generate Report*

5. When you click on a particular criteria value displayed in a pie-chart (either on a piece of the pie directly or on the legend), it automatically brings up an *Item Overview* page containing a list of Items that have been filtered according to the selected criteria values.

Export the Executive Dashboard to Excel

1. Click on **Report > Executive Dashboard.**

2. Click the *Export to Excel* button found in the top right hand corner.

3. The File Download window will appear. Open or save the file as desired.

4. Each Item Type in the system will appear on a separate sheet in the file and include all evaluation criteria. No pie charts are included in the export.

When clicking on a pie chart based on a criteria used only in an item sub-type, the resulting report will include only the criteria for that item type and item sub-type. Criteria relating to other sub-types is excluded in order to make the report easier to read and more relevant.

Item Overview Reports

Item Overview Reports enable Users to analyze and report on each of the Item Types and Sub-Types in the system.

Administrators will see all Items in the system in this report. All other users will only see the Items to which they have been given at least Read permission.

The Item Overview Menu displays all 12 reportable Item Types. Sub-Types are indented to the right of the drop down menu.

Additional Filter: enables reports to be built by placing focus on the user generating and reviewing the report. User lists now contain an additional checkbox to select 'Current User', when the report is generated it will apply the user running the report as the filter for the defined criteria. (6.3)

Past Period data, archived in the period end process, is now reported in Item Overview reports. (5.3)

 Role information may be included in Hierarchical Report and Item Overview Reports. This is controlled by a System Setting: "Disable the ability to report on Roles in Hierachical Report" (5.2)

1. Click on **Report > Item Overview > <Item Name>** (Where <Item Name> is the item type you wish to report on. e.g. Risks). The Item Overview Report Builder page appears. This displays all filterable criteria (starting point, attributes ,evaluations, functions and roles) for the Item and Item Sub-Types.

2. Use the drop down menu to choose the starting point for the information displayed in the Item Overview. This enables you to analyze a specific area in your organization. You can choose a starting point based on the Location framework or Scoping item framework. The default Starting Point is set in the user's profile under homepage preferences.

3. Choose the Filter Type, either *And* or *Or.* When you select *And* the system will filter and display items that match the complete list of conditions. When you select *Or,* the system will filter and display items that match at least one of the conditions.

4. Determine the display attributes you wish to show in the report based on any Item Sub-Types.

5. Check off the Context column. Context helps the user understand the relationship the item when reviewing the report. (8.0)

6. Define the Context by selecting the appropriate item types to show in the column. (8.0)

7. Use the *Limit By* function to determine the Item Type/Sub-Type(s) displayed in the report. If you leave all unchecked, all types will be included in the report.

8. Select the past periods to display, if required. This is done by using the radio button to either select the number of most recent previous periods, or by selecting individual past periods to display. The first of these is particularly useful for saved reports which will be run again in the future and need to report over the same periods of time (e.g. quarters).The selection will default to the user's Data Preferences in the **Username in Menu > Edit my Profile** or **Administration > Users > Data Preferences** screens.

9. Next, determine the filter conditions by selecting item attributes and evaluation criteria. A check mark beside the criteria option will indicate you wish to filter your report based on the criteria option.

10. Filtering functions: select the applicable ranges for each item type to filter the items.
Note: filtering for functions will only be available if the function is set to *Report using ranges* when creating the function.

11. Choose which columns to display in the filtered report by placing/removing a check mark next to the criteria name in the box labeled *Select the Columns to Display.*

12. Click the *Generate Report* button to employ the filter and produce the report.

13. To remove the filters and return to the original list of Items, click the *Remove Filters* button on the *Filter* tab.

If the item is not required to be evaluated on a category, an N/A will appear in the column (e.g. the criteria are asked only of a certain Item Sub-Type). If the item is required to be evaluated on a criteria but has not yet been evaluated, a – (dash) will appear in the column.

Sort Items on the Item Overview Pages

1. Click on **Report > Item Overview** (where Item is the item you wish to report on. i.e. Risks or any sub-type of Risks).

2. The *Item Overview* page will appear.

3. Click on a criteria column header to sort the items in descending order from highest to lowest.

4. Click on the same criteria column header again to sort in ascending order.

Criteria headers colored black cannot be sorted as the criteria they reference are unable to be sorted, such as check box criteria, single and multi line text boxes, etc. Only blue colored criteria headers can be sorted. Clicking on the name/description of an Item will direct you to the instance of that item in Manage by Location.

Export Items to Matrix Assessor

Matrix Assessor enables the rapid completion of assessments of a multiple Items in a table-like interface.

1. Click on **Report > Item Overview** (where Item is the item you wish to report on. i.e. Risks or any sub-type of Risks).

2. The *Item Overview* page will appear.

3. Select the Items you wish to export by placing a checkmark in the box to the left of the Item name.

4. Use the *Export Select Items* to: drop down menu to select Matrix Assessor.

5. Click the *Go* button to export the items to Matrix Assessor and to access the Matrix Assessor function.

Export Items to Chart Builder

GRC Cloud includes graphing and charting capabilities to help users understand trends and results. A variety of charts can be created from both the Item Overview pages, Hierarchical Reports and the Location Tree. GRC Cloud also integrates seamlessly with Resolver's Ballot and Survey products to enable group discussions, risk and control self-assessments and surveys outside GRC Cloud.

Export to Heat Maps or Line Charts from the Item Overview Page

1. Click on **Report > Item Overview** (where Item is the item you wish to report on. e.g. risks). The *Item Overview* page will appear.

2. Select the Items you wish to export by placing a checkmark in the box to the left of the Item name.

3. Use the *Export Select Items to:* drop down menu to select the type of export you desire.

4. Click the *Go* button when you are ready to export. The page will refresh displaying the chart.

5. Reformat the chart to display the desired characteristics. Using the drop down menus change the X and Y axis criteria, the chart size, the evaluation period and the items included in the graph.

Export to Resolver Survey

When Exporting to Survey, none of the current evaluations will be exported, just the item information, criteria scale and choices.

Exports to Survey prompt the user to choose the criteria to export and enable the user to download the file. In order to open Ballot files you must have the Ballot application installed on your computer.

1. Click on **Report > Item Overview** (where Item is the item you wish to report on. e.g. risks). The Item Overview page will appear.

2. Select the Items you wish to export by placing a checkmark in the box to the left of each Item name.

3. Click the *Survey* button.

4. Select the criteria to include in the export. Place a checkmark beside the criteria to include in the export file. Only single-choice criteria (i.e. those that appear as radio buttons or drop-down menus) will be available for export.

5. Click the *Export* button. Use the *File Download* pop-up window that appears, save the document to your computer.

6. Once the download is complete, open Assessment Manager in Survey and use the **Import from File** function.

Export to Resolver Ballot

When Exporting to Ballot, none of the current evaluations will be exported, just the item information and, optionally, criteria scale and choices.

Exports to Ballot prompt the user to choose the criteria to export and enable the user to download the file. In order to open Ballot files you must have the Ballot application installed on your computer.

1. Click on **Report > Item Overview** (where Item is the item you wish to report on. e.g. risks). The Item Overview page will appear.

2. Select the Items you wish to export by placing a checkmark in the box to the left of each Item name.

3. Click the *Ballot* button.

4. Indicate whether to use the description text within GRC Cloud to appear as the Item text in Ballot. If the option is left unchecked the Item Name in GRC Cloud will be used as the Item Text in Ballot.

5. Select the criteria to include in the export. Place a checkmark beside the criteria to include in the export file. Only single-choice criteria (i.e. those that appear as radio buttons or drop-down menus) will be available for export.

6. Click the *Export* button. Using the *File Download* pop-up window that appears, save the document to your computer.

7. Once the download is complete you can go into Ballot and use the **File > Import > Import from Resolver** function.

Export Items Listed on the Item Overview Page to Word or Excel.

1. Click on **Report > Item Overview** (where Item is the Item you wish to report on. e.g. Risks)

2. The Item Overview page will appear. Click on the *Filter* tab.

3. Sort and filter the Items as desired.

4. Use the *Export* drop down menu to select the type of file to be exported to.

   - PDF: Generates an Adobe Acrobat file of the HTML report.

   - Excel Formatted: Creates an Excel spreadsheet. Any text entered through the rich text editor is presented with the formatting as originally entered. This may result in extra rows being created in the spreadsheet to accommodate rows in tables.

   - Excel Unformatted: Creates an Excel spreadsheet. Any fields entered through the rich text editor will not be displayed as rich text and therefore may be difficult to read. Other text appears normally.

   - Word Formatted: Creates a Word document. Any text entered through the rich text editor is presented with the formatting as originally entered. This may result in complex tables created in the document to display the text entered through the rich text editor.

- Word Unformatted: Creates a Word document. Any fields entered through the rich text editor will not be displayed as rich text and therefore may be difficult to read.

5. The *File Download* window will appear. Open or save the file as desired.

6. The Excel or Word file will include all the Items listed on the Item Overview page. PDF output will feature all items in the report.

Note: PDF export will include all items generated by the Item Overview Report, whereas the Word or Excel export will include only the checked items.

Print Items Listed on the Item Overview

1. Click on **Report > Item Overview** (where Item is the Item you wish to report on. e.g. Risks).

2. The Item Overview page will appear.

3. Click the *Print* button.

4. A window will pop up with a printer-friendly version of the item overview screen will appear.

5. Print using Internet Explorer general settings.

Saved Reports

There are two ways to save reports in GRC Cloud: Save Settings or Save Snapshot. Save Settings allows you to configure and customize a report to produce exactly what you want and then save those settings to be re-run at a later date. Saved Settings will always produce reports with the latest data. Saved Snapshots will capture the data that you have generated in your report and save the content as of that point in time. If you view a Saved Snapshot at a later date the content is the content as of the date you originally ran the report).For detailed steps for Saved Reports, see the section in Report > Saved Reports.

Fixed Headers

Reports can be large and difficult to interpret, fixed headers gives users a better understanding of what they are viewing in the report by providing the ability to reference the column headers at all times. As the user scrolls the page the headers remain fixed to the top and visible at all times. (7.1)

Note:

- Available in Item Overview, Matrix Merged / Unmerged, Spreadsheet

- Only available for IE9 and Firebox browsers. This feature is not supported in **IE 8**.

- Header does not remain fixed when transitioning workflow in editable reports.

Summary Report

The *Summary Report Builder* enables you to create customized HTML reports on a specific Item Type and its current evaluations. You can also display specific items filtered by sub-type (if there are sub-types for the item).

The information visible in all reports is restricted to items the user has read permission to. Administrators members can see all items.

Summary Report Builder

1. Click on **Report > Summary Report** The Summary Report Builder page will appear.

Reports can be organized by either Location/Location Process or by Organization-wide process.

Location or Location Process:	Summary of items based on the location. The summary will report on all items below the Location selected.
Organization-wide Process:	Summary of items based on the customized frameworks built in the Framework Library. The summary will report on all items for the chosen section of the framework regardless of location. You can also choose to specify the results by location.

Each number that appears is clickable. It automatically brings up an *Item Overview* page containing a list of Items that have been sorted according to the columns values.

Location or Location Process Summary Report

1. Click on **Report > Summary Report.**

2. The *Summary Report Builder* page will appear.

3. Choose the points within the locations framework for which you wish to view an Item summary for. The report will display a summary for all items points selected.

4. Next choose which item type you would like to summarize.

5. Check off the *Attributes and Criteria to Display* and check off what you would like it to Limit To.

6. Click the *Generate Report* button to generate the results.

7. Use the horizontal scroll bar to view all the results. Click on a number to view the detailed information (in an Item Overview page) of those Items.

8. Click the *Rebuild* button to create a new summary on another Item type.

Organization-Wide Process Summary Report

1. Click on **Report > Summary Report.**

2. The *Summary Report Builder* page will appear.

3. Choose the customized framework from the second drop down menu on which you wish to summarize Items.

4. Choose the starting point within the Locations Framework below which you wish to view an Item summary for. The default Starting Point is set in the user's profile under homepage preferences.

5. Then choose the points within the Framework for which you wish to view an Item summary for. The report will display a summary for all Items selected.

6. Next choose which Item Type you would like to summarize.

Only Items that have criteria that can be summarized (i.e. criteria with discrete options like drop down lists, check boxes and radio buttons) will be listed.

7. Check off the *Attributes and Criteria to Display* and check off what you would like it to Limit to.

8. Click the *Generate Report* button to generate the results.

9. Use the horizontal scroll bar to view all the results. Click on a number to view the detailed information (in an Item Overview page) of those Items.

10. Click the *Rebuild* button to create a new summary on another item type.

Export Summary Report to Excel, Word or PDF

1. Click on **Report > Summary Report.**

2. The *Summary Report Builder* page will appear.

3. Build your report as above.

4. Click the *Export* button which is found at the top middle of the page. Select either Word, Excel or PDF.

5. The *File Download* window will appear. Open or save the file as desired.

Print Items Listed on the Summary Report

1. Click on **Report > Summary Report** (where Item is the Item you wish to report on. e.g. Risks).

2. The *Summary Report Builder* page will appear.

3. Build your report as above.

4. Click the *Print* button.

5. A window will pop up with a printer-friendly version of the Summary Report screen will appear.

6. Print using Internet Explorer general settings.

Saved Reports

There are two ways to save reports in GRC Cloud: Save Settings or Save Snapshot. Save Settings allows you to configure and customize a report to produce exactly what you want and then save those settings to be re-run at a later date. Saved Settings will always produce reports with the latest data. Saved Snapshots will capture the data that you have generated in your report and save the content as of that point in time. If you view a Saved Snapshot at a later date the content is the con-

.

Hierarchical Report

Hierarchical Reports provide a view that illustrates the relationships between items in the systems. You can chose from six report designs and include or exclude any combination of item types and criteria, plus filter results based on criteria values. The report's starting point (level in the hierarchy) can be selected and the information can be organized around the location view, the scoping item view or an applications view. Information visible in reports is restricted to items for which that user has read permissions or other permissions. Administrators and Reporting Group members can see all items in the report.

Files available in all styles of reports (7.0)
All styles of Hierarchical reports display the files attached to the items.
Matrix (Merged / Unmerged) and Spreadsheet showed file attachments in 6.3. In 7.0. files now show in List (Vertical / Horizontal) and Unformatted List.

Enables reports to be built by placing focus on the user generating and reviewing the report. User lists now contain an additional checkbox to select 'Current User', when the report is generated it will apply the user running the report as the filter for the defined criteria. (6.3)

File Attachment names may be included in Hierarchical Reports in the following report formats: Matrix Merged, Matrix Unmerged, Spreadsheet.

New in 5.2
Reports that include file names can now be used to generate a ZIP file of all attachments in the system.

New in 5.2
Role information may be included in Hierarchical Report and Item Overview Reports. This is controlled by a System Setting: "Disable the ability to report on Roles in Hierachical Report"

Hierarchical Report Formats

There are six report formats, each of which represents the information within in the framework in a different way.

- **Matrix (Unmerged):** Presents the data in a table form with rows for each item and columns for each criteria. Each lowest level item in the report will appear once, with higher level items being displayed next to the lowest level item so that the hierarchy can be interpreted. Framework items and non-framework items can both be included in this report.
- **Matrix (Merged):** Presents the data in a table form, but with rows for each item and columns for each criteria. In the Matrix (Merged) report each item appears once. To show the relationships between items at different levels, the table cells for higher level items may be several rows deep. For example if three controls were related to one risk, then the risk cell will be three rows deep so that the relationship to all three controls can be represented. If two risks were related to one process and each of those risks had three controls, the process would be represented in a cell six rows deep and so on. Due to the complex structure of this report, non-framework items (test results, issues, action plans) are not shown as they would disrupt the layout of the hierarchical structure.

- **Spreadsheet:** Similar to matrix unmerged, but there is only one item per row. (Parent items are not replicated in multiple rows). The hierarchical relationship is indicated by indenting the different items on the left of the report by hierarchy level.
- **List Horizontal:** Lists all selected items and criteria as a list, displayed in the order the items appear in the hierarchy. The hierarchical relationship is represented by indenting the items on the left side of the report. To use screen space effectively all information relating to attributes appears in the left hand column and all information pertaining to evaluations in the right hand column.
- **List Vertical:** Displays the same information as List Horizontal except that all fields fill in entire width of the screen rather than having Attributes and Evaluations in parallel columns. The hierarchical relationship is represented by indenting the items on the left side of the report.
- **Unformatted List:** Unformatted List is similar to List Vertical except items such as colored text and background, icons are removed, although formatted text entered through the Rich Text editor is retained. The formatting is minimized specifically to streamline the report for export to Microsoft Word. This report is useful for auditors who need to extract information form GRC Cloud and incorporate it into other documents they use.

Hierarchical Report Builder Screen

The Hierarchical Report builder is accessed from **Report > Hierarchical Report** or by right clicking a hierarchical report name in the My Reports box in the home page and selecting *Review/Edit Report Content/Filters.*

The top of the Hierarchical Report Builder screen consists of a number of blue tabs: a General tab, a Saved Reports tab and a tab for each Item Type included in the framework. The page opens with the General Tab open. The General tab features two panels.

The top panel organizes and sets the scope of the report, in terms of the report presentation style, how it is organized, the starting points and limits related to framework items and locations.

The bottom panel is used to select the criteria types and sub type to be included in the report.

Build a Hierarchical Report

1. Click on **Report > Hierarchical Report** to view the General Tab of the Hierarchical Report Builder.

2. Select the Report Presentation style as defined above.

3. Select whether all instances of multi-parent items should be shown or just the first incidence. Selecting the first option means that a multi parent item can be seen in each location it appears in the hierarchy, whereas the second option limits this to being just displayed one time.

4. Select the *Order,* by choosing either the Location Framework (the structure as seen in Manage by Location), or the Scoping Item Framework (the structure as seen in Manage by Scoping Item Framework)

5. Select the *Starting Point.* This is the item in the hierarchy that will be displayed as the highest level in the report. Any item in the hierarchy can be set as the starting point. The default Starting Point is set in the user's profile under homepage preferences.

6. Choose whether to limit the display of items by a certain framework. This is used where GRC Cloud has been set up with multiple frameworks. For example, there could be Sarbanes-Oxley compliance framework, an Enterprise Risk Management Framework and a health & Safety Framework. Checking this option and using the two drop-

down menus to select one framework and potentially a specific folder within that framework, can be used to restrict the scope of the report.

7. Choose whether to limit the scope of the report by a specific location. This can be used in conjunction with the Order option (see Step 4 above) to limit the scope of the report to a specific location or sub-location attached to a scoping item, such as an account line, while still enabling the locations above the one selected in the "Limit by" option to be viewed within the report.

8. In the lower panel select all Item types that are to be included in the report. If a main item type is selected (for example All Locations or All Controls), all associated subtypes are immediately selected also. Alternatively, one or more item sub-types may be selected. For example, if there were multiple types of risks, but only health and safety risks were required in this report, and health & safety risks had been set up as a sub-type, then these can be selected, by leaving the "All Risks" box unchecked, while checking the "Health & Safety Risks" box.

9. Filter the report by certain criteria values or responses, by clicking the blue tab for an item type and checking the responses that will be included in the report. For example, if a Risk Likelihood Criteria had five possible responses, but this report was only concerned with selecting Very High and High Likelihood responses, check these two boxes. Selections can also be made for text fields, numeric fields and date fields. Selections can be made for several criteria, however, the filtering will only select items that meet all the filters selected. This process can be repeated for all other item types, by clicking on the related tab and making selections there.

10. Filtering functions: select the applicable ranges to filter the items.
    Note: filtering for functions will only be available if the function is set to *Report using ranges* when creating the function.

11. Choose which criteria to include/exclude from the report, by clicking the blue tab relating to the item type and scrolling to the bottom of the page. There is a list of all criteria for this type and associated sub-types and criteria may be checked or unchecked.

12. To see the report created by these parameters, click *Generate Report.* Note that large reports may be submitted to a report queue for processing. This maximizes the efficiency of the applications resources. If the report needs to be queued, you are advised of this. The status of queued reports can be viewed under Tools > Queued Reports.

13. To see a chart based on the selected items and criteria, click *Generate Chart.*

14. To take the selected items and criteria and view them in Matrix Assessor, so that assessment criteria may be completed, click *Assessor.*

Hierarchical Report Viewer Screen

After following step 11 above, you will view the report in the Hierarchical Report Viewer Screen. The entire report is shown in one screen. This can take time to generate within the browser if the report is large. There are several options on this screen.

To edit or save the parameters of the report, or to share the report with other users, click *Rebuild.*

● To save a Snapshot of the report, click *Snapshot.* Note that a Snapshot saves the data of the report, not the parameters (starting point, limit options, items types, criteria filters etc.) that would enable you to re-run a report regularly with current data. To save report parameters, click *Rebuild.*

- To view the content of the report in Matrix assessor, so that assessment and evaluations may be completed, click *Assessor.*

- To print the report click Print. A Printer-Friendly version of the page will be shown. Use the browser controls to send this document to the printer.

- To export the report to Adobe Acrobat PDF, Excel spreadsheet or Word document, click the *Export* button and select the appropriate option. See next section for details.

- Page View Mode: To view a report in a document mode (example: MS Word) an option in the report header is available to toggle the report from draft mode to document mode. Available in Hierarchical reports: List Horizontal / Vertical, Unformatted List

Page View Enabled (indicated by blue button and orange text) - Now document size and great for printing / exporting
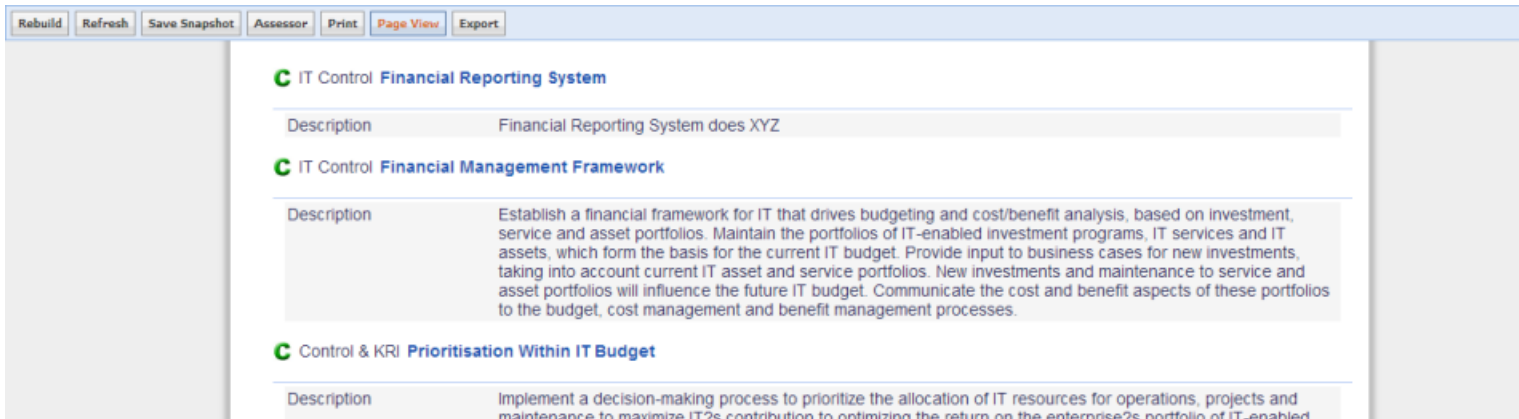
Export Hierarchical Report to PDF, Excel or Word

1. Click on **Report > Hierarchical Report.** The Hierarchical Report Builder page appears.

2. Build a report as described in the previous section.

3. Click the *Export* button and choose the appropriate option:

- **PDF:** Generates an Adobe Acrobat file of the HTML report

- **Excel Formatted:** Creates an Excel spreadsheet. Any text entered through the rich text editor is presented with the formatting as originally entered. This may result in extra rows being created in the spreadsheet to accommodate rows in tables.

- **Excel Unformatted:** Creates an Excel spreadsheet. Any fields entered through the rich text editor will not be displayed as rich text and therefore may be difficult to read. Other text appears normally.

- **Word Formatted:** Creates a Word document. Any text entered through the rich text editor is presented with the formatting as originally entered. This may result in complex tables created in the document to display the text entered through the rich text editor.

- **Word Unformatted:** Creates a Word document. Any fields entered through the rich text editor will not be displayed as rich text and therefore may be difficult to read.

Note: The Spreadsheet Report cannot be exported to Word.

Note: Color coding in original reports will be displayed in all PDF, Word and Excel output if the Print Reports With Color option is set to True in System Settings.

Using Hierarchical Report Data in Chart Builder

The Hierarchical Report and its capability of saving settings provides the most flexible and useful way of using Chart Builder. Use the general tab to decide which items you wish to include in your chart. (More filtering is available in the Chart Builder itself.) Use the following steps to select data for charting:

Use the following steps to select data for charting:

1. Navigate to **Report > Hierarchical Report.** You will be at the *General* tab.

2. In the upper panel make the appropriate selection in the *Order By* and *Starting* drop down menus. The other options have no effect on the information to be included in the chart.

3. In the lower panel select all the items that may be required in the chart.

4. Open the tabs for each item type to be incorporated into the chart and scroll to select the columns to display .

5. Check all the criteria whose values are needed for display in the chart. Repeat this for each item type to be included in the chart.

6. Click *Generate Chart.*

For further information on Chart Builder, see Chart Builder.

Exporting File Attachments

Administrators can generate a ZIP file of attached files and download them to the desktop.

For any Hierarchical Report where Files have been included (using the check boxes in the Select Columns to Display section) an Administrator can now create an export package consisting of:

- Copies of files

- Html and Excel versions of the report, which contain links to the files in the package. (The difference between the links in this exported file and the links normally seen in a hierarchical report is that these links will point to a folder of files on the user's desktop, whereas the links contained in a report link to files within the GRC Cloud application.

1. Run a Hierarchical Report, ensuring that the option to display files has been checked for the required item types. This is done through a check box in the *Select Columns to Display* section of the report builder.

2. The file export package is created by clicking the "Generate Zip File" button in the hierarchical report builder and the report will automatically go to the queue regardless of the report size.

3. The Administrator has several options when building the ZIP file:

- Select a name for the queued request

- Provide a description

- Set a name for the ZIP file which will contain the report and files

- Create a password so the downloaded ZIP file can be opened only by an individual who knows the password. This password requires a minimum of eight characters, a mix of upper and lower case and at least one number and two letters.

- Choose to download only the current version of each file, or multiple versions as defined by a date range. The extract will include any earlier versions of files currently attached to items that were attached at the time of the "From" date up until the "To" date. This means that the oldest file included may have been attached before the "From" date.

4. Click *Add to Queue*. All File Extract requests go through the queue regardless of size. The status of a queued request is visible in the **Tools > Queued Requests** screen. Completed queued export requests are shown in the My Reports box on the homepage and in the Saved Reports tab in hierarchical reports. The file export request is indicated by a briefcase icon.

5. The request can then be loaded into the application, like any other report, by clicking the icon and then clicking *Load*.

6. Clicking Download Zip File to retrieve the file and download it to the desktop.

7. The ZIP file can then be extracted on the user's desktop, using capabilities built-in to Windows XP and other operating systems or using a ZIP file application. The links within the HTML and Excel versions of the file are used to open the downloaded files. Where there are multiple versions of a file attached to an item this is indicated with a version number.

Saved Reports

There are two ways to save reports in GRC Cloud: Save Settings or Save Snapshot. Save Settings allows you to configure and customize a report to produce exactly what you want and then save those settings to be re-run at a later date. Saved Settings will always produce reports with the latest data. Saved Snapshots will capture the data that you have generated in your report and save the content as of that point in time. If you view a Saved Snapshot at a later date the content is the content as of the date you originally ran the report). For detailed steps for Saved Reports, see the section in Report > Saved Reports.

Fixed Headers

Reports can be large and difficult to interpret, fixed headers gives users a better understanding of what they are viewing in the report by providing the ability to reference the column headers at all times. As the user scrolls the page the headers remain fixed to the top and visible at all times. (7.1)

Notes:

- Available in Item Overview, Matrix Merged / Unmerged, Spreadsheet

- Only available for IE9 and Firebox browsers. This feature is not supported in **IE 8**.

- Header does not remain fixed when transitioning workflow in editable reports.

Unformatted List Report

The Unformatted List Report is a simple rendering of information within items onto the screen. The primary purpose of the Unformatted List Report is to provide an easy way to generate Audit Reports, where items can be listed in sequential order.

The style of the report has minimal formatting so that it can easily be converted into Microsoft Word format. Use of tables has been minimized as html tables can be difficult to manage when exported into Microsoft Word. In addition icons, colored text and other formatting have been eliminated.

Once the report has been generated on screen and exported to Microsoft Word (See full instructions in Hierarchical Reports) the text can easily be copied and pasted into any existing templates the user has for Audit Reports.

Audit Trail / Change Log

Change Log provides Administrators with a complete list of all user activity that has occurred on the application to date. It outlines the date and time of the activity, the Item that it concerns, the User's name that performed the activity, and a brief description of the activity. This functionality is used for audit purposes and cannot be modified.

Note: Audit Trail does not capture administrative configuration actions. (Example: workflow building of states / triggers / transitions / emails, item template management)

Only Administrator group members can access this functionality.

1. Click on **Report > Audit Trail.**

2. There are two tabs on this page: *Report* and *Filters.*

The Report Tab
All user activities made in the system are listed here. They are sorted chronologically and show the Item name, date, user and a description of the change.

3. Click on an item name to see where the item exists in the organization. The *Browse MyOrganization* window will appear.

4. Use the column headings to sort changes displayed on the page (as done in the Item Overview pages).

The Filters Tab
5. Enter the criteria you wish to filter by: Item name, date modified, user/group or whether items are deleted.

6. Click the *Filter* button to display the results.

Actions Captured in Audit Trail

1. Creating and deleting items

2. Moving and Multi-ing items

3. All criteria, function calculation and attachments add to the system

4. Exporting items offline

5. Workflow state changes

6. Updating to/from the library

7. Permission changes to workflow and role builder (8.0)

8. Password Changes (8.0)

9. Creating, deleting and modifying attributes of roles, groups and users (8.0)

Change Log Tab

A complete record of every user action associated with the Item is displayed in the Change Log tab. This functionality is used for audit purposes and cannot be modified. The Date, User Name and Description of the action are displayed in chronological order with the most recent action first. Change log doesn't not record administrative actions (Role Permission building, framework building, etc)

By default, the Change Log tab is deactivated for non-Admin users.

Redlining and Highlighting Changes
Specific to the Rich Text Editor, all changes will be tracked highlighting any additions in green text and redlining any deleted text. This change makes it easier to quickly understand what changes have been made to rich text criteria. (6.2)

Note: when initially assessing the rich text editor and spreadsheet criteria, text will not be highlighted.
Note: Audit Trail and Change Log do not capture redlining and highlighting of changes for the Spreadsheet criteria. Only records the latest value. (7.0)

Using the Parallel Processing Engine for Generating Large Reports

When running a large reports, GRC Cloud will automatically determine the most effective way to generate the report so that the user can continue working while it is being generated. This typically occurs when a report may contain greater than 10,000 items. In such cases instead of requiring the user to wait for the report to be generated (which would prevent the user from doing any work in the system), GRC Cloud will inform that the report is being queued for.

The number of hours reports remain available in the Parallel Processing Engine queue is set in System Settings. This avoids unnecessary storage of reports which would occupy server disk space unnecessarily. Previously this time period was set to 72 hours. The System Settings value will automatically account for weekends, but not public holidays.

Note: GRC Cloud makes its own determination whether to use the Parallel Processing Engine for each report. The user cannot select whether to use this feature or not.

1. Run a report in the normal way (See Reports section for more information).

2. If required, a message will appear stating "Report requested is over a certain size. The report will be sent to the Parallel Processing Engine".

3. Select a name for the report. There is also an option to add a description.

4. Click *Add to Queue.* A confirmation appears stating: "Your report request has been sent for processing. You can check the status of this request in System-Queued Requests".

5. Click the *System-Queued Requests* link to view the status of the report. If the status is completed, click on the report name to view the report.

6. Reports generated via the Parallel Processing Engine are listed under **Tools > Queued Reports.** They are also visible through the Saved Reports option under Report > Item Overview, Report > Summary Report or Report > Hierarchical Report, or through the *My Reports* feature on the user home page when this option is activated. In each case the generated reports are located under *Queued Reports.*

Saving Reports generated by the Parallel Processing Engine

1. Open the report, which will be located under *Queued Reports* under the *Saved Reports* tab on the Item Overview Report, Summary Report or Hierarchical Reports screens.

2. To save a snapshot, click *Save Snapshot*, then enter a name, optional description and click *Save.*

3. To save the report settings click *Rebuild*, then the *Saved Reports* tab. Click *Add New Report* and then enter a name, optional description and click *Save* as normal.

Saving and Sharing Reports

There are two ways to save reports in GRC Cloud: Save Settings or Save Snapshot. Save Settings allows you to configure or customize a report to produce exactly what you want and then save those settings to be re-run at a later date. Saved settings will always produce reports with the latest data. Saved Snapshots will capture the data that you have generated in

your report and save the content. If you view a saved snapshot at a later date the content is the old content (the way the system was when you ran the report).

Saved reports are available for Summary Reports, Item Overview Reports and Hierarchical Reports.

The information visible in all reports is restricted to items for which the user has at least read permission. Administrators can view all items.

Live Reports: allow users to create, share and update reports across the system in real time. Changes made to the report will automatically update across all the users it was originally shared with. (6.3)

Create a New Report, Save the Settings and Share

1. Click on **Report > Item Overview, Report >Summary Report** or **Report > Hierarchical Report.**

2. The Report Builder page will appear. (For Item Overview Reports, the first page of the report will appear).

3. Click on the *Saved Reports* Tab.

4. Click the *New Report* button.

5. The Report Properties pane will appear.

6. Input the name and description for the report.

7. Click Save. You now have a blank report loaded.

8. Customize your report as you normally would. For more information see Item Overview Reports, Hierarchical Reports or Summary Reports.

9. Before you click *Generate Report* return to the Saved Reports tab and click *Save* to save the exact settings.

Sharing Reports

Note: if a user does not have access previously granted via the live report, it will automatically grant access to it when the user clicks the report and enters the system.

10. To Share Reports with other users, scroll to the bottom of the Report Properties panel.

11. Changes to Sharing a Copy: Identify users or groups from the *Share a Copy* list provided by checking the appropriate boxes in the pop up.
    Note: **the selected users will not be kept after Save. If the report needs to be shared again, re-pick the users and Save. If modifying and re-sharing, the Live reports are a more practical feature to utilize.**
    Report ownership was designed to work with users only. Only a single person can own a report. There is currently no support for groups.When sharing with a group, users get extracted and shared with each member.

12. Changes to Sharing a Copy: Click the *Save* (*Share a Copy* has been removed) button at the top of the screen. The report will appear in each selected user's *Saved Reports* section under the heading *Shared Reports.*

13. Sharing a Live Report: Identify users or groups from the *Share a Live Report* list provided by checking the appropriate boxes in the pop up.

14. <mark>Sharing a Live Report:</mark> Click the *Save* button at the top of the screen. The report will appear in each selected user's *Saved Reports* section under the heading *Shared Reports.*

15. <mark>Sharing a Live Report:</mark> Any changes made to the Live Shared report will automatically update all users listed in the *Share a Live Report* section of the report properties. Only the user that created and shared this report will be able to view the list of users.

    Note: Sharing Live Reports does NOT apply to Saved Charts.
    Live Reports can be shared with Groups, however, if a user is removed from that group they will maintain access to the live report. They need to be removed specifically from the Live report (via the report properties)

Create a New Report, Save a Snapshot and Share

1. Click on Report >**Item Overview, Report > Summary Report** or **Report > Hierarchical Report.**

2. The Report Builder page will appear. (For Item Overview Reports, the first page of the report will appear).

3. Customize your report as you normally would. For more information see Item Overview Reports, Hierarchical Reports or Summary Reports.

4. After you click *Generate Report,* click *Save Snapshot.*

5. The Save Report Snapshot page will appear.

6. Input the name and description for the report. A date marker is automatically supplied in the name. It is recommended that you leave this as it shows what time and date the content of this report refers to.

7. You have now saved a snapshot of the report.

8. To Share Reports with other users, after saving the report, click *Rebuild* then *Saved Reports* to return to the report list.

9. Click on the name of the saved snapshot in the list in the left side of the screen.

10. Click *Load* to re-open the snapshot report and scroll to the bottom of the *Report Properties* panel.

11. <mark>Changes to Sharing a Copy:</mark> Identify users or groups from the *Share a Copy* list provided by checking the appropriate boxes in the pop up.
    Note: **the selected users will not be kept. If the report needs to be shared again, re-pick the users. If modifying and re-sharing, the Live reports most likely a better feature to utilize.**

12. <mark>Changes to Sharing a Copy:</mark> Click the *Save* <mark>(Share a Copy has been removed)</mark> button at the top of the screen. The report will appear in each selected user's *Saved Reports* section under the heading *Shared Reports.*

Edit a Saved Report

1. Click on **Report >Item Overview, Report >Summary Report** or **Report > Hierarchical Report.**

2. Click on the *Saved Reports* tab.

3. Click on the report you wish to load.

4. Click the *Load* button.

You can only load a report of the same type as the page you are on. (Saved Summary Reports can only be loaded on the Summary Report page. Saved Hierarchical Reports can only be loaded on the Hierarchical Report page.) If you click on a Summary Report while on the Hierarchical Report page it will display the report information but you cannot load or run the report.

5. The Report Builder page will appear.

6. If you wish to modify the name or description of the report click on the *Saved Reports* tab.

7. Customize your report as you normally would. For more information see [Item Overview Reports, Hierarchical Reports](#) or [Summary Reports](#).

8. Before you click *Generate Report* return to the *Saved Reports* tab and click *Save.*

You can also load a report by clicking on it from the homepage. To add reports modify your homepage preferences. For more information see System > My Profile.

Run a Saved Report

1. Click on **Report >Item Overview, Report >Summary Report** or **Report > Hierarchical Report.**

2. Click on the *Saved Reports* tab.

3. Click on the report you wish to run.

4. Click the *Load* button.

You can only load a report of the same type as the page you are on. (Saved Summary Reports can only be loaded on the Summary Report page. Saved Hierarchical Reports can only be loaded on the Hierarchical Report page.) If you click on a Summary Report while on the Hierarchical Report page it will display the report information but you cannot load or run the report.

5. Click *Generate Report.*

You can also load a report by clicking on it from the homepage. To add reports modify your homepage preferences. For more information see System > My Profile.

Delete a Saved Report

1. Click on **Report > Item Overview, Report >Summary Report** or **Report > Hierarchical Report.**

2. Click on the *Saved Reports* tab.

3. Click on the report you wish to delete.

4. Click the *Delete Selected* button.

5. The page will refresh and a confirmation screen will display

6. Click *Delete Permanently.*

Move a Saved Report

1. Click on **Report >Item Overview, Report >Summary Report** or **Report > Hierarchical Report.**

2. Click on the *Saved Reports* tab.

3. Click on the report you wish to move.

Drag it into the target folder. If you are unable to move the report to or from a specific folder (for example, to or from queued reports) an error message will appear to advise you the move is not possible.

Create a Folder to Store Your Reports In

1. Click on **Report >Item Overview, Report >Summary Report** or **Report > Hierarchical Report.**

2. Click on the *Saved Reports* tab.

3. Click on the folder to which you would like to add a sub-folder.

4. Click *Create Sub-Folder.*

5. Enter a name and description for the new folder.

6. Click *Save* so save your folder.

Delete a Folder with Stored Reports

1. Click on **Report > Item Overview, Report > Summary Report** or **Report > Hierarchical Report.**

2. Click on the *Saved Reports* tab.

3. Click on the Folder you would like to delete.

4. Click *Delete Selected.*

5. The page will refresh and a confirmation screen will display.

6. Click *Delete Permanently.*

Deleting a Folder will cause all Child Reports and Folders to be deleted as well.

Accessing Saved Reports from the Homepage

If the *My Reports*Homepage Preference is selected, your Homepage will display a list of all Saved Reports, Shared Reports, Queued Reports and Report Folders that have been created (See *System > My Profile* for detailed information about Homepage Preferences).

See Saved Reports from the Homepage

1. After logging in or by clicking the *Resolver Icons* at the top left or top right of the screen.

2. Your Homepage will appear.

3. Click on a Saved Snapshot or Saved Settings Report. (If Folders are listed, click the + sign to expand and display the Reports located inside.)

4. The corresponding Report or Report Builder will display.

Drag and Drop Reports and Report Folders

1. After logging in or by clicking the *Resolver Icons* at the top left or top right of the screen.

2. Your Homepage will appear.

3. Click on and drag a Report or Report Folder and drop it onto another Parent Report Folder.

4. The Report or Report Folder will now have a different Parent Report Folder.

Chart Builder

Chart Builder is a comprehensive and flexible tool for building graphs that display information from your framework item assessments and function results in a variety of formats.

Chart Builder can be accessed from several GRC Cloud screens. For more details see these sections:

- Hierarchical Report

- Item Overview Reports

- Manage by Location (Right-Click Menu)

- Manage by Scoping Items (Right-Click Menu)

After entering the Chart Builder, you will be in the first of three screens used to build a chart.

From *Select a Chart Type* click on the image that most closely resembles the chart you are attempting to generate. The available options are:

- Bar charts (vertical)

- Bar charts (horizontal)

- Line charts

- Line/Bar Combination

- Pie charts

- Doughnut Charts

- Scatter Charts

- Cross Table Charts

Scatter & Cross Table Charts

Scatter and Heat Map Charts enable the simultaneous graphing of two or more series of data with a number of points on a chart. For example, a common scatter chart involves graphing several risks' likelihood assessment on one axis and their impact assessment on the other.

Scatter Charts

Scatter Charts represent the values related to individual items graphed by 2 or more criteria.

Function results can now be included in Scatter Charts/Heat Maps. In GRC Cloud Scatter Charts and Cross Table Charts represent your information in slightly different ways.

For example, for a series of risks where there are three assessments and one function, the graph could be set up to display the following:

Data Series	Displayed As
Risk Likelihood (assessment)	X-axis
Risk Impact (assessment)	Y-axis
Ability to Mitigate Risk (assessment)	Size of data point
Overall risk score (function of likelihood + impact – ability to mitigate)	Color of data point

Generating a Scatter Chart

1. Select an Item.
   The box illustrates the relational structure of the data you selected to chart. The diagram represents the relationships between items and criteria in a similar hierarchical format to Manage by Location screens. If you selected more than one type of item (for instance control objectives, risks and controls) the relationship between these is shown in a tree format. Clicking on the + sign adjacent any Item will display Item sub-types.

Select the Item to be graphed. It may be any Item or Item subtype in the hierarchy. Click *Select Item.*

2. Four boxes appear allowing you to select data to be graphed on 4 axis:X-axis, Y-axis, data point size & data point color. Beside each item for which there are available numerical criteria a + sign will appear for Attributes and Evaluations and Function results. Use these to navigate to the required criteria for each axis and click the name of the criterion. It will be highlighted in blue. Note that the Size and Color axes are optional.

3. Click *Generate Chart.* A standard Scatter Chart is displayed.

4. The following Series Customization Options are available for Scatter Charts.

- Label Display Format: Select any combination of five items to appear as a label on the pie segments.

- Legend Index: The value assigned to each scale choice in Criteria Builder.

- Item Number: The Item's assigned reference number in the organizational framework.

- Item Name: The Item's assigned name in the organizational framework.

- Coordinates: The assessment values related to each item based on 2, 3 or 4 criteria.

- Custom Label: Alternative Labels may be defined, along with a color, which may be selected from the color picker.

- Data Point Size: This can be changed to help legibility.

5. The following Axis Customization Options are available for scatter charts:

- Customize Axis: Changes the appearance of the X and Y axes. The Minimum will default to 0, unless there are negative values. The Maximum will default to the highest value. The interval sets the distance between the data points on the X and Y axes. The larger the number, the greater the interval between the data points.

6. The following Axis Customization Options are available for scatter charts:

- Chart Size: Charts can be displayed in three standard sizes. The default size is Medium. The sizes are as follows.

Graph Size	Width	Height
Small	300	200
Medium	600	400
Large	1024	768

Use the drop down menu to select one of the three sizes above or to set a custom size defined in pixels.

- Chart Background Image: An image can be displayed in the background of a chart, such as a heat map background or company logo. To add an image, check the box and then browse your hard drive or network drive for an image. Note that any image will be resized to fit the background of the graph and therefore images may become distorted.

- Color Template: Various alternative color schemes can be selected from the drop down list.

Cross Table Charts

Cross Table Charts display the frequencies for assessment scores on 2 axes enabling an alternative view of the frequency of assessment scores. In a Cross Table Chart, each data point represents the incidence of an item receiving a ranking on two scales. For example in the illustration below 6 risks are shown, assessed on likelihood and impact, each on 3-point scales.
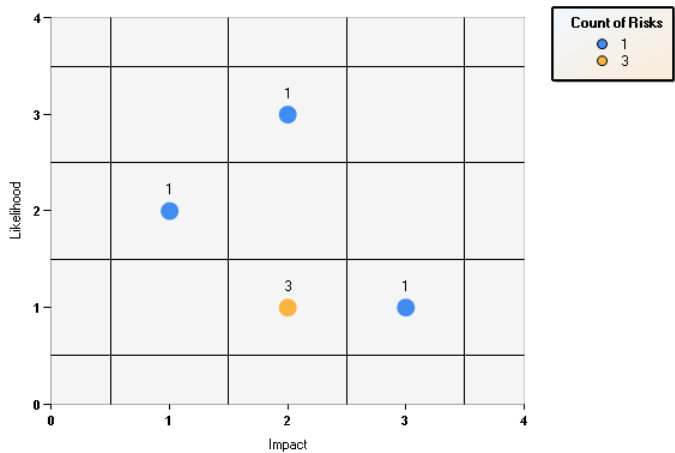
The chart illustrates the following assessments.

Combination of impact and like-lihood	Frequency
Impact =1, Likelihood =1	Did not occur
Impact =1, Likelihood =2	Occurred once
Impact =1, Likelihood =3	Did not occur
Impact =2, Likelihood =1	Occurred 3 times
Impact =2, Likelihood =2	Did not occur
Impact =2, Likelihood =3	Occurred once
Impact =3, Likelihood =1	Occurred once
Impact =3, Likelihood =2	Did not occur
Impact =3, Likelihood =3	Did not occur

This chart therefore indicated that there was a concentration of risks that were of low impact and medium likelihood. In fact a total of 4 risks out of the 6 had low likelihood and 4 out of the 6 had medium impact.

Generating a Cross Table Chart

Use the following steps to generate a Cross Table Chart.

1. Select an Item

   The box illustrates the relational structure of the data you selected to chart. The diagram represents the relationships between items and criteria in a similar hierarchical format to Manage by Location screens. If you selected more than one type of item (for instance control objectives, risks and controls) the relationship between these is shown in a tree format. Clicking on the + sign adjacent any Item will display Item sub-types.

Select the Item to be graphed. It may be any Item or Item subtype in the hierarchy. Click *Select Item.*

2. Four boxes will appear allowing you to select data to be graphed on the X-axis and Y-axis. Beside each item for which there are available numerical criteria a + sign will appear for Attributes and Evaluations. Use these to navigate to the required criteria for each axis and click the name of the criterion. It will be highlighted in blue. Click *Generate Chart.* A cross table chart is displayed.

3. The following Series Customization Options are available for scatter charts.

- Label Display Format: Select any combination of five items to appear as a label on the pie segments.

  - Legend Index: The value assigned to each scale choice in Criteria Builder.

  - Item Number: The Item's assigned reference number in the organizational framework.

  - Item Name: The Item's assigned name in the organizational framework.

  - Coordinates: The assessment values related to each item based on 2, 3 or 4 criteria.

  - Custom Label: Alternative Labels may be defined, along with a color, which may be selected from the color picker.

  - Data Point Size: This can be changed to help legibility.

4. The following Axis Customization Options are available for scatter charts:

- Customize Axis: Changes the appearance of the X and Y axes. The Minimum will default to 0, unless there are negative values. The Maximum will default to the highest value. The interval sets the distance between the data points on the X and Y axes. The larger the number, the greater the interval between the data points.

5. The following Axis Customization Options are available for scatter charts:

- Chart Size: Charts can be displayed in three standard sizes. The default size is Medium. The sizes are as follows.

Graph Size	Width	Height
Small	300	200
Medium	600	400
Large	1024	768

Use the drop down menu to select one of the three sizes above or to set a custom size defined in pixels.

  - Chart Background Image: An image can be displayed in the background of a chart, such as a heat map background or company logo. To add an image, check the box and then browse your hard drive or network drive for an image. Note that any image will be resized to fit the background of the graph. Therefore images may become distorted.

  - Color Template

    Various alternative color schemes can be selected from the drop down list.

Pie Charts & Doughnut Charts

Pie charts and doughnut charts are identical in how the operate and what they illustrate. The only difference between them is their appearance. This section will refer to pie charts, but the instructions for both pie charts ad doughnut charts are identical.

Pie Chart   Doughnut Chart
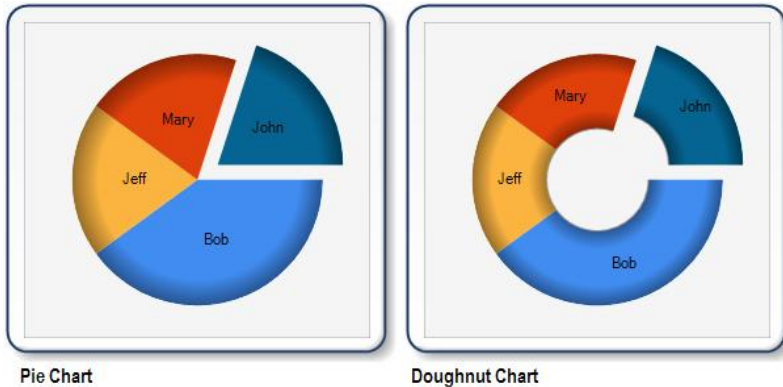
Pie charts graph one series of data. They are useful for seeing the relative occurrence of given values within a set. For example: the relative frequency of high, medium and low ratings for control effectiveness from a list of controls.

Generating a Pie Chart

Use the following steps to generate a pie chart.

1. *Select the information to be included in the Chart.*

   The box illustrates the relational structure of the data you selected to chart. The diagram represents the relationships between items and criteria in a similar hierarchical format to Manage by Location screens. If, before entering the Chart Builder, you selected more than one type of item from the Hierarchical Report or Right-Click Menu in the Manage by Location section (for instance control objectives, risks and controls) the relationship between these is shown in a tree format. Below each item type is a branch representing any Attributes, Evaluations and Function Results associated with the item.
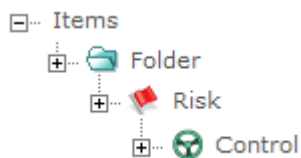
   Clicking on the + sign adjacent to the Attributes and Evaluations provides a list of all criteria for which a numerical value has been captured. This could be an entered numerical value, a numerical value that relates to a selection from a check box, radio button or drop down list item, or the results from a function. (Function results must be expressed as ranges in order to be graphed.)
   Select the single criteria or function to be included in the graph, by clicking on it. Clicking highlights the choice in blue. The selection must be a criteria or function, not an item.

2. Select an Evaluation Period to Display.

If there are multiple periods of data recorded (i.e. when a Period End process has been run) then it is necessary to select one of the periods. If no Period End has been run the only choice available will be Current.

3. Click *Generate Chart.* A standard pie chart is displayed.

4. The following Series Customization Options are available for pie charts.

- Label Display Format: Select any combination of five items to appear as a label on the pie segments.

    - Index: The value assigned to each scale choice in Criteria Builder.

    - Label Name: The text name assigned to each scale choice in Criteria Builder.

    - Count: The number of times the value occurs in the range selected. For instance, the number of controls listed as being Ineffective out of all the controls graphed.

    - Percentage: The count expressed as a percentage of the total.

    - Custom Label: Alternative Labels may be defined, along with a selected color and whether the pie segment should be exploded (shown as separate from the rest of the pie chart.)

5. The following Appearance Customization Options are available for pie charts:

- Chart Size

    Charts can be displayed in three standard sizes. The default size is Medium. The sizes are as follows.

Graph Size	Width	Height
Small	300	200
Medium	600	400
Large	1024	768

Use the drop down menu to select one of the three sizes above or to set a custom size defined in pixels.

- Color Template

    Various alternative color schemes can be selected from the drop down list.

Column Charts & Bar Charts

Column Charts and Bar Charts are identical in function, except that the axes are inverted for Bar Charts. Column and Bar Charts are the most sophisticated chart type in GRC Cloud with a variety of tools for sorting and grouping data and customizing the display.

The following instructions refer to Column charts but the same instructions will apply to Bar charts except where references are made to the X and Y axes.

The major areas discussed in this document are:

- Creating a Column Chart, and differences between "Count of Item" Charts and "Criteria Value/Function" Charts

- "Count of Item" Chart Examples

- "Count of Item" Chart Information Grouping

- "Criteria Value/Function" Chart Examples

- "Criteria Value/Function" Information Grouping

- Customization Options

Criteria Function Chart Examples

Criteria/Function Charts display data on the assessment results or function results of individual assessed items (as opposed to Count Charts which aggregate data to count the frequency of certain assessment scores).

Example A:
Graph the Impact and Likelihood for a series of risks.

1. *What do you want to chart?* From the drop down menu select Criteria/Function Value.

2. *What information do you want in the Chart?* Within the box, navigate to the risks and check the boxes adjacent to the appropriate criteria item types.

3. Leave the "Group information for Level 1 at its default setting of N/A.

4. Click *Generate Chart.*

2. *What information do you want in the Chart?* Within the box, navigate to the risks and check the boxes adjacent to the appropriate criteria item types.

3. Leave the "Group information for Level 1 at its default setting of N/A.

4. Click *Generate Chart.*

Saving and Sharing Charts

There are two ways to save charts in GRC Cloud: Save Settings or Save Snapshot. Save Settings allows you to configure or customize a report to produce exactly what you want and then save those settings to be re-run at a later date. Saved settings will always produce reports with the latest data. Saved Snapshots will capture the data that you have generated in your report and save the content. If you view a saved snapshot at a later date the content is the old content (the way the system was when you ran the report).

Saved reports are available only for Summary Reports, Item Overview Reports and Hierarchical Reports.

The information visible in all reports is restricted to items for which the user has at least read permission. Administrators and Reporting Group Members can view all items.

Save Chart Settings and Share

1. From within the Chart Builder area, click on the *Saved Charts* Tab.

2. Click the *New Chart* button.

3. The Report Properties pane will appear.

4. Input the name and description for the report.

5. Click *Save.* You now have a blank chart loaded.

6. Customize chart as you normally would.

7. Before you click *Generate* return to the Saved Reports tab and click *Save*

8. To Share Charts with other users, scroll to the bottom of the Report Properties panel.

9. Identify users or groups from the list provided by checking the appropriate boxes.

10. Click the *Share a Copy* button at the top of the screen. The chart will appear in each selected user's *My Reports* section in the *Shared Reports* area.

Save Chart Snapshot and Share

1. Within the Chart Builder area, customize your report as you normally would.

2. After you click *Generate,* click *Save Snapshot.*

3. The Save Chart Snapshot page will appear.

4. Input the name and description for the chart. A date marker is automatically supplied in the name. It is recommended that you leave this as it shows what time and date the content of this report refers to.

5. You have now saved a snapshot of the charts. Click *OK.*

6. To Share Charts with other users, after saving the report, access the *Saved Charts* tab to return to the chart list.

7. Click on the name of the saved snapshot in the list in the left side of the screen.

8. Click *Load* to re-open the snapshot chart and scroll to the bottom of the *Report Properties* panel.

9. Identify users or groups from the list provided by checking the appropriate boxes.

10. Click the *Share a Copy* button at the top of the screen. The chart will appear in each selected user's *My Reports* section under the heading *Shared Reports.*

Edit a Saved Chart

1. In the Chart Builder area, click on the chart you wish to load.

2. Click the *Load* button.

3. The Report Properties page will appear.

4. If you wish to modify the name or description of the report click on the *Saved Charts* tab.

5. Customize your report as you normally would.

6. Before you click *Generate* return to the *Saved Charts* tab and click *Save.*

You can also load a report by clicking on it from the homepage. To add reports modify your homepage preferences. For more information see System > My Profile.

Recreate a Saved Chart

1. From within the Chart Builder area, click on the report you wish to run.

2. Click the *Load* button.

3. Open the *Chart* tab and change options as required.

4. Click *Generate.*

Create a Folder to Store your Charts In

1. Within Chart Builder, click on the *Saved Charts* tab.

2. Click on the folder to which you would like to add a sub-folder.

3. Click *Create Sub-Folder.*

4. Enter a name and description for the new folder.

5. Click *Save* so save your folder.

Move a Saved Chart

1. In the My Reports area of the home page click on any chart to open up the **Chart Builder > Saved Charts tab.**

2. Click on the chart you wish to move.

3. Drag it into the target folder.

Delete a Folder with Stored Charts

1. Within the Chart Builder, click on the *Saved Charts* tab.

2. Click on the Folder you would like to delete.

3. Click *Delete Selected.*

4. The page will refresh and a confirmation screen will display

5. Click *Delete Permanently.*

Deleting a Folder will cause all Child Charts and Folders to be deleted as well.

Accessing Saved Reports from the Homepage

If the *My Reports* Homepage Preference is selected, your Homepage will display a list of all Saved Reports, Shared Reports, Saved Charts, Queued Reports and Report Folders that have been created (See *System > My Profile* for detailed information about Homepage Preferences).

See Saved Charts from the Homepage

1. After logging in or by clicking the Resolver Icons at the top left or top right of the screen.

2. Your Homepage will appear.

3. Click on a Saved Snapshot Chart or Saved Settings Chart. (If Folders are listed, click the + sign to expand and display the Reports located inside).

4. The corresponding Chart will display.

Drag and Drop Charts and Chart Folders

1. After logging in or by clicking the Resolver Icons at the top left or top right of the screen, your Homepage will appear.

2. Click on and drag a Report or Report Folder and drop it onto another Parent Report Folder.

3. The Report or Report Folder will now have a different Parent Report Folder.

Editable Reports

Editable Reports will allow administrators to build a very specific process out for their users. Users can log into the system, load reports, and review and edit all in one step. With the click of a mouse, all criteria types are available for edit and saved directly to the database. Upon completion of the edit and review, workflow is also available to transition the items to the next state to finalize the task. All this can be done without having to access any other part of the application.

No set up is required. All reports built prior to 6.3 will automatically inherit this functionality.

Feature Overview:

Quick edit of all criteria types

Includes the edit of all criteria types available in the system.

Cannot edit Name, Number, Description, Sub Types

Assessing Criteria Items (Assessments automatically saved to the database)

1. Editable cells are indicated by a pencil icon

2. Permissions determined on click and will indicate *no entry* icon

3. Each time a criteria pop up is closed (3 ways) it saves directly to the database:
   a. Selecting a value (single user list, radio button, drop down, dates)

   b. Clicking off the criteria pop up

   c. Clicking the green check mark

4. Spinner will indicate the value is being saved (see image below)

5. All saved criteria fields will be indicated with green check mark (see image below)

6. Values failing validation (alpha numeric value in a numeric field), will be indicated by an *X*.
   a. Icon will remain until it is corrected.

b. Invalid value will remain in the criteria when accessed again

7. Each Criteria type has an option to insert a tool tip to help guide the user in assessing the criteria. (Available during criteria creation and edit)
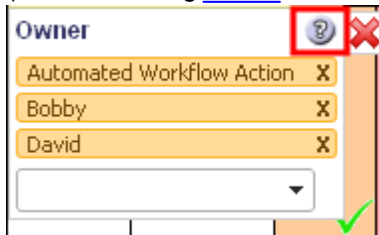
Available in all styles of report

Item Overview and the 6 styles of Hierarchical Reports (Matrix Merger, Matrix Unmerged, Spreadsheet, List Horizontal, List Vertical, Unformatted List)

Option to transition workflow

Users maintain the ability to transition items from one state of the workflow to another via Editable Reports.

1. **Transition a single item**: clicking on the workflow state name for an individual item will bring up the associate triggers for that state of the workflow. Clicking the trigger here behaves no differently than in Manage by or Matrix Assessor.

2. **Transition multiple items in the same state**: following the same steps above (clicking the work-flow state name for an item) produces the same pop up; however, if user selects the additional option to transition "*All items in this State*", it will attempt to transition all items in the report that are of same state.

3. Identifying Triggers in reports: trigger options are identified in report in 2 ways (Workflow Icon and Thicker Blue Boarder)

Objective	Risk	Risk Event (ERM) Status	Description	Risk Category	Impact	Lik
Obj Objective 1	**R** a	Risk Not Active	aaa	Reputational	High	Pro
	R b	Risk Active	bbb	Reputational	High	Pro
	R c	Risk Active	cc	Reputational	High	Pro
	R d	Risk Active	ccc	Reputational	High	Pro

Example: mass transition all items from Draft Issue to In Progress
Note: only the items on the page the user resides on in Item Overview will be mass transitioned. Not all items across multiple pages.

Objective	Risk	Risk Event (ERM) Status	Description	Risk Category
Obj Objective 1	**R** a	Risk Not Active	aaa	Reputational
	R b	Risk Active Not Active ☑ All Items in this State	bbb	Reputational
	R c	Risk Active	cc	Reputational
	R d	Risk Active	ccc	Reputational

Additional Workflow Options:

1. **State Instructions:** mouse over of the ? in the workflow transition pop up will detail the state instructions. Additionally, if instructions longer than 200 characters were provided, a click of the mouse will provide a pop up detailing the instructions in its entirety.

2. **Trigger Instructions:** mouse over any trigger will detail the trigger instructions for each trigger shown to the user.

Access to the view item (attach files / manage permissions / create new items)

Previously in 6.3, users could use the item name link in the report to navigate to the item in Manage By. We

have modified this link in 7.0. Clicking the link will now pop up the view item (seen in Manage By) allowing the user to alter addition attributes of the item.

Additional Options:

1. Edit of Name, Number, Description, Sub Types

2. File Attachments

3. Permission Management

4. Creation of new items

   Note: with each action performed above, the report will not automatically update. Please use the *Refresh* button in the button bar to update the reports with the changes in the view item pop up. Refresh will remove all indicators of actions taken (save / invalid results).

Functionality removed from the standard view item and **not possible while in reporting**:

1. Workflow transitions

2. Deleting of items

3. Unlinking of items (Manage by Scoping context)

Revert changes

After editing each value, if a mistake was made, there is an option to revert the edited value back to the previous value. Valuable after multiple edits within the report, the user can review all changes (indicated by the check mark) and if felt a change was made in error, they can revert without having to remember the previous assessments.

1. Only reverts back one assessed value

2. Available to the user that assessed the value last

3. If another user edited the value, option to revert is lost

4. Available to the user until the value is update (as indicated in #3)

5. Automatically saved to the database after clicking Revert

Calculate Functions

Functions can now be recalculated by manually clicking the function in the report. Each cell function that is available for recalculation will be indicate by a refresh icon. Permissions remain in place and will block the user from calculating if only read permissions were granted. (7.1)
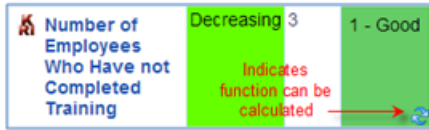
Additionally, hovering over the function cell, an option will appear as a tool tip to calculate all the functions that apply to the item (see image). Any functions in the report that draws from other functions will recalculate to send the most updated value; however, the function will not visually update. A report refresh would be required in this scenario.
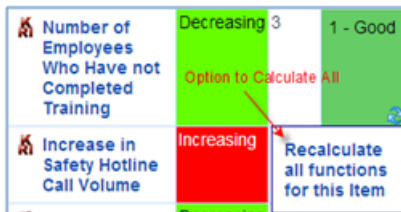
Rich text report description available in report header

The report description - found in the report properties tab - has been upgraded to support rich text elements, as well as, show when the report is displayed. This will allow users to gain additional direction to what actions need to be taken to complete their task(s).

Clicking on the text field for the description will engage rich text options.

Description Changes:

1. Supports rich text

2. Option to embed links

3. Description of the report is now visible in all **Hierarchical Report types**

4. Default open when the report is generated

Folder	Average Residual Risk	Folder	Average Residual Risk	Risk	Risk Workflow	Owner
Human Capital	3.92 - Insignificant	Accountability	7.5 - Minor	The risk of productivity being affected, due to a decline in employee experience	New Risk Review	Automated Workflow Action Bobby David

Additional Information

1. Past Period data and signed off items will always appear in read only.

2. **Queued Reports are not supported in Editable format.**

3. Most recent values always persist.
   If multiple users are working on the same report, when user A accesses a criteria that user B has changed, the value shown will display user B's changes. T**herefore, the value seen in the report may not be the same as the value in the pop up**.

4. Having permissions in one area of the tree to edit vs read in another for the same multi > you will always be able to edit both instances in report (opposed to edit /read in Manage by Location).

5. Typing a value with a comma in the numeric field will remain in the field (example: 5,00) even after it is saved. Visually it appears as 5,00 in editable reports until refreshed.

6. Rich Text Editor and Spreadsheet Criteria do not pop up if the user does not have permissions OR is past period data.

Overriding Editable Reports

Editable reports can be restricted to Read Only. All inline edit-ability of the report gets removed for all users, including administrators. If the main intention of the report is for review of the data, it is recommend this setting be enabled. (7.1)

1. Load the saved report

2. Go to the *Saved Reports* tab

3. Scroll the *Report Properties*

4. Check the Inline *Editing: Prevent users from editing report data*

5. Save

Note: Item links triggering the view item pop up and the View Item in Tree pop up remain available for navigation; however, any updates made to in the view item pop require a report refresh to reflect the changes.

Advanced Reporting and Analytics

Analytics Page

Is utilized to view the advanced reports and analytics defined via the Manage Analytics page.

Component of the Analytics Page

1. **Menu**: Available via the Reports menu.

2. **Analytic Reports** will appear on this page if configured via the Manage Analytics page.

3. **Visibility** of reports is determined by the administrator when configuring the report.

4. **Visibility Flags**:
   a. None: no user see it on the Analytics page

   b. Users: all users see it on the Analytics page

   c. Administrator: only administrator see it on the Analytics page

5. **Clicking on the report**:
   a. Generates a report embedded in GRC Cloud.

   b. Passes in that item id and generate the report from that focus (if defined in the report).

   c. Sets the users focus.

6. **Filter by Focus** is enabled it will pass in the starting point and generate the report parameters off that starting point.

7. **Tableau and Crystal** reports are part of the GRC Cloud Enterprise Edition. Please contact Resolver Client Care or visit our website to learn more.

Manage   Report   Administration

Analytics

Site Activity
Audit Trail activity visualized!

COSO Principles
Track and manage Control Effectiveness against the 17 COSO Principles

Aggregate Risk

USA

Financial Statement Account Dashboard

Audit Schedule
This report shows the scheduled start and end date for all planned audits. Great to check for resource conflicts.

Draft Audit Report

System Administration

The Administration area is where Administrators manage key elements of the system.

The key areas include:

- [Criteria](#)
- [Item Templates](#)
- [Frameworks](#)
- [GRC Programs](#)
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My Profile

In this section users can modify their own profile settings.

1. Modify Your Profile
2. Change Full Name
3. Change Email Address
4. Change Password
5. Change Challenge Question (Functionality Removed in 8.1.1)
6. Change Homepage Preferences
7. Change Data Preferences (view past period data)
8. Two Factor Authentication
9. File Permissions
10. Change Group Membership

Modify Your Profile

1. Click on **Username in Menu > My Profile**.

2. The *Manage User Profile* window will appear.

There are four tabs available in the Manage User Profile Window, General, Homepage Preferences, Group Membership and Permissions. While on any tab, the content window toolbar offers the ability to change password, change challenge question, save or cancel.

Change Full Name

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Under the *General* tab, modify the name in the *Full Name* text box.

4. Click *Save* to apply your change(s).

Change Email Address

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Under the *General* Tab, modify the name in the *Email Address* text box.

4. Click *Save* to apply your change.

Change Culture

GRC Cloud's interference can appear in different languages, date formats and number formats for different users. The user Culture option determines which of the available cultures are viewed by the user, either based on their browser settings or by setting a culture preference to the user profile. If the browser culture setting is selected, but is for a culture not currently available within GRC Cloud, the default culture from System Settings will apply.

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Under the *General* tab, enter the Culture Options. These define the language of the interface and formats for numbers and dates. Select whether the Culture is based on the user's Browser Settings of their User Profile in GRC Cloud. Then select the required culture. (Example, French Canada) If the desired culture is not available, please contact Resolver to have a culture option added to your site. (Translation fees may apply)

4. Click *Save* to apply your changes

Change Password

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Under any tab, click the *Change Password* button on the *Content Window Toolbar*.

4. Type in the user's current password.

5. Type in the user's new password and retype the password to help avoid mistakes.

6. Click the *Save* button to apply change.

Change Challenge Question - Functionality Removed in 8.1.1

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Under any tab, click the *Change Challenge Question* button on the *Content Window Toolbar.*

4. Choose the preferred challenge question from the drop down menu.

5. Type in the answer to the selected challenge question.

6. Click the *Save* button to apply the change.

Change Homepage Preferences

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Click on the *Homepage Preferences* tab.

4. Check the box beside any information to display on your homepage.

   - Pie Charts and starting point. There is typically one pie chart for each criteria that can be charted in addition to a starting point for reporting purposes

   - Include Information Boxes: Determines whether to display the My Messages box and the My Reports box. The Reports box, which shows saved and shared reports, can be configured to have a specific action for a mouse left click. It can be set to either open the report itself, open the report builder, or go straight to Matrix Assessor. and a My Messages box which displays recent automated messages generated by GRC Cloud.

   - Determine whether the homepage displays is based on the user's personal profile or one or the profiles of one or more groups of which the user is a member.

5. Click *Save* to apply your change(s).

My Reports box displays with the width of two pie charts and always appear at the top of the home page. It can be configured for a specific action to take place when the report is left-clicked: either open the report, open the report builder, or open the data in Matrix Assessor.

Change Data Preferences

In Data Preferences, there are two methods for selecting the past periods to be viewed by default. In addition to selecting the required periods from a drop down menu, the user can also choose to select a number of periods. This number represents the number of periods prior to the current period to be included. The previous periods selected in Data Preferences will also appear by default in Item Overview reports.

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Click on the *Data Preferences* tab.

4. To enable the ability to view past period data, check the box marked "Display Past Period Data".

5. To select the periods to be viewed in Manage by Location, Matrix Assessor, Chart Builder and Item Overview reports, either:
   - select the required periods from the list, by checking the appropriate boxes.
     or
   - select the number of previous periods to be included. This will show the last "N" periods, where N is the number selected . This option is useful for saved reports which will be re-run in the future, as it is not necessary to reselect items each time the report is run.

6. To select the evaluation criteria and functions to be viewed in Manage by Location, Matrix Assessor and Chart Builder, select the required items from the list, by checking the appropriate boxes.

7. Click *Save* to apply your change(s).

File Permissions

Only Administrator Group Members can edit these permissions. All other users can only view their permissions.

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Click on the *File Permissions* tab. All Items that the user has access to are displayed here. If this page is blank, it means you do not have any permission to any files.

4. File permissions can be modified by selecting/deselecting the appropriate boxes.

5. To remove all permissions from a File click the **X** at the end of the row, or deselect all boxes and click Save.

6. To add permissions to a new File not listed here click the *Add Files* button.

7. A list of all file available in the system will appear. Select the box beside the File you wish to assign permissions to.

8. Click *Add Selected Files*.

9. The new File is now at the bottom of the list, and has been automatically assigned a Read only permission. This can be changed to Edit rights by checking the appropriate box.

10. Click *Save* to apply your change(s).

Change Group Membership

Only Administrator Group Members can edit these permissions. All other users will see a Group Membership page that is grayed out.

Group Membership allows administrators to assign the same permissions to many users. Include the user in a group, and set the permissions for the group as a whole in **System > Administration > Groups.**

1. Click on **Username in Menu > My Profile**.

2. The *User Profile* window will appear.

3. Click on the *Group Membership* tab.

4. The *Group Membership* tab allows you to change what groups the user is a part of.

5. The left box lists available groups, groups that are in the system, but that the user does not belong to.

6. The right box lists the groups that the user is already part of.

7. To add the user to a group highlight the group in the left box and click the arrow pointing to the right to move the selected group to the other side.

8. To remove the user from a group highlight the group in the right box and click the arrow pointing to the left to move the selected group to the other side.

The system has four default groups: Administrators, Reporting, External and Everyone. These groups cannot be deleted.

My Inbox – Functionality Retired in v8.0
Only available to Survey users.

My Inbox is an area that can be set up on a user's homepage and contains automatic application messages addressed to a user's email. This includes mail from the GRC Cloud application concerning all matters pertaining to that specific user. Mail will remain in the inbox indefinitely unless a user decides to delete them.

Your inbox displays a list of messages on the framework panel and message contents on the detail panel. Your most recent messages are displayed first however you can sort messages according to their date or subject.

A closed envelope designates an unopened message, whereas an open envelope indicates that a message has been read.

Information contained in a message's content includes the message sender and receiver, the subject, date and time. When you click on a link displayed, you are automatically taken to it.

1. [Read a Message](#)

2. [Delete a Message](#)

3. [Application Messages](#)

Read a Message

1. Click on **System > My Inbox**.

2. Click on the Subject of the email you wish to view.

3. The email information will open in the detail panel.

4. Links to the Items will be provided within the email based on the type of notification. Click on the link to go straight to the Item the email referred to.

Delete a Message

1. Click on **System > My Inbox**.

2. Check off the box next to the corresponding message, then click the delete symbol **X**.

3. To empty your mailbox entirely, check off the box beside the delete symbol, then click the delete symbol **X** itself.

Application Messages

GRC Cloud includes 21 preset automatic application messages, concerning a variety of subjects.

When any of the following situations occur, a message is automatically sent to the user's email address and duplicated in the system inbox.

User Management

In this section Administrators can create new users, edit existing user details including passwords, homepage preferences and data preferences (past periods) and also delete users.

Additional User List columns:

1. **Email Address**: details the email address associated with the account.

2. **Last Successful Login**: details the last time a user successful logged into the system (details date and time).

3. **Last Failed Login**: details the last failed attempt the user had logging into the system. Username was correct, password was not. Any failed attempt when clicking the Login button is captured.

    Users have the ability to login with username or email address. If the user has multiple accounts with the same email associated, they will not be permitted to login via an email address. (7.0)

Full Name is now a required field in the user profile. If the administrator does not input a full name, it will auto-insert the user-name. Once saved the full name can be changed, but not removed.

Notes:

1. In Homepage Preferences it is possible to determine the action when clicking a mouse on a report name to either display a report or go to the report builder screen.

2. In Data Preferences, there are now two methods for selecting the past periods to be viewed by default. In addition to selecting the required periods from a drop down menu, the user can also choose to select a number of periods. This number represents the number of periods prior to the current period to be included.

3. The previous periods selected in Data Preferences will also appear by default in Item Overview reports.

Create a New User

1. Click on **Administration > Users.**

2. Click the Create a *New User* button. This brings up the *Create a User* window.

3. Enter the user's details, their user name, full name, password and complete email address.

4. Select the User Type: Full or Light or External. Internal (Full & Light) users have access to the GRC Cloud web-based application. External users can receive email notification and be a part of user list, but have no access to the system. Note: Once a user is set up either Internal or External, this setting cannot be changed. User can be changed from Light to Full and Full to Light.

5. NOTE: At this time, Light and Full user behave exactly the same within the application. There are no permission differences.

5. Enter the Culture Options. These define the language of the interface and formats for numbers and dates, Select whether the Culture is based on the user's Browser Settings or their User Profile in GRC Cloud. Then select the required culture. (Example: French Canada). If the desired culture is not available, please contact Resolver to have a Culture option added to your site. (Translation fees may apply.)

6. Enable 2 Factor Authentication if applicable (See "2 Factor Authentication")) (6.3)

7. Click Create set up the user with the selected settings.

Note: GRC Cloud's interface can appear in different languages, date formats and number formats for different users. The user Culture option determines which language the user sees after logging in.

The username and email must be unique in the application; the email address must be complete and the password must meet security standards (at least 8 characters long and contain at least 1 number, 1 letter, and 1 change in case).

The email address entered here will be used by the system to send administrative emails to the user, including new passwords and 'Added as an Item Owner' notifications.

It is recommended that you require users to change their password on first login; this option is selected by default.

Edit an Existing User

1. Click on **System > Administration > Users.**

2. Click on a username in the left hand column.

3. The *User Profile* window will appear.

There are four tabs available in the Manage User Profile window, General, Homepage Preferences, Data Preferences, Group Membership, Permissions and File Permissions. While on any tab, the content window toolbar offers the ability to save, change password, delete or go back.

Edit an Existing User – User Profile

1. Click on **Administration > Users.**

2. Click on a username in the left hand column.

3. The *User Profile* window will appear.

4. Edit the User Name, Full Name or Email Address as required.

5. Enter the Culture Options. These define the language of the interface and formats for numbers and dates, Select whether the Culture is based on the user's Browser Settings or their User Profile in GRC Cloud., then select the required culture. (Example: French Canada) If the browser culture settings are for a culture not available within GRC Cloud, the default culture set in System Settings will be used.
   If the desired culture is not available, please contact Resolver to have a Culture option added to your site. (Translation fees may apply.)

6. Click *Save* to apply your change(s).

Note: Once created, Internal (Full and Light) users setting cannot be changed to External users. Option will appear grayed out on this screen.

Change Challenge Question - Functionality Removed in 8.1.1

1. Click on **Administration > Users.**

2. Click on a username in the left hand column.

3. From the *User Profile Page*, under the *General tab*, click the *Change Challenge Question* button on the *Content Window Toolbar*.

4. Choose the preferred challenge question from the drop down menu.

5. Type in the answer to the selected challenge question.

6. Click the *Save* button to apply the change(s).

Change Data Preferences

Past data, generated through the period end process, can be viewed in Manage by Location and the Matrix Assessor. The Data Preferences feature in the User Profile enables/disables past period data and selects the periods and Criteria to display.

1. Click on **Administration > Users.**

2. Click on a username in the left hand column.

3. From the *User Profile Page*, click on the *Data Preferences* tab.

4. To enable the ability to view past period data, check the box marked "Display Past Period Data".

5. To select the periods to be viewed in Manage by Location, Matrix Assessor, Chart Builder and Item Overview reports, either:
   - select the required periods from the list, by checking the appropriate boxes.
   or

   - select the number of previous periods to be included. This will show the last "N" periods, where N is the number selected . This option is useful for saved reports which will be re-run in the future, as it is not necessary to reselect items each time the report is run.

6. To select the evaluation criteria and functions to be viewed in Manage by Location, Matrix Assessor and Chart Builder, select the required items from the list, by checking the appropriate boxes.

7. Click *Save* to apply your change(s).

Change Homepage Preferences

1. Click on **Administration > Users.**

2. Click on a username in the left hand column.

   From the *User Profile Page*, click on the *Homepage Preferences* tab.

3. Select the starting point from which the information will be displayed. Use the drop down menu to choose your starting point for the information displayed in the Homepage. This enables you to analyze a specific area in your organization. You can choose a starting point based on any of the Frameworks the Administrators have created, including by Location Framework and Coping Item Framework. . The default is By Location
   For example, if you work in the Chicago HR department and only want your homepage to display information related to HR in Chicago, then choose that item as the starting point. Items that are not child items in the framework tree will not be included in the information displayed on your homepage.

4. Select the Group Preferences to be displayed. The Administrator may set certain information to appear on the home page of each member of any group. The check boxes here enable the user to select to view these pre-set items for one or more groups of which they are a member, or alternatively choose their own preferences for what is displayed. Be checking multiple boxes, personal preferences may be combined with the content set for one or more groups of which they are a member.

5. Check the box beside any information to display on the user's homepage.

   - Pie Charts and starting point. There is typically one pie chart for each criteria that can be charted in addition to a starting point for reporting purposes

   - Include Information Boxes: Determines whether to display the My Messages box and the My Reports box. The Reports box, which shows saved and shared reports, can be configured to have a specific action for a mouse left click. It can be set to either open the report itself, open the report builder, or go straight to Matrix Assessor. and a My Messages box which displays recent automated messages generated by GRC Cloud.

   - Determine whether the homepage display is based on the user's personal profile or one or the profiles of one or more groups of which the user is a member.

6. Click *Save* to apply your change(s).

File Permissions

1. Click on **Administration > Users.**

2. Click on a username in the left hand column.

3. From the *User Profile Page*, click on the *Permissions* tab. All items that the user has access to are displayed here.

If this page is blank, it means the user selected does not have any permission to any files.

4. File permissions can be modified by selecting/deselecting the appropriate boxes.

5. To remove all permissions from a File click the **X** at the end of the row, or deselect all boxes and click Save.

6. To add permissions to a new File not listed here click the *Add Files* button.

7. A list of all file available in the system will appear. Select the box beside the File you wish to assign permissions to.

8. Click *Add Selected Files*.

9. The new File is now at the bottom of the list, and has been automatically assigned a Read only permission. This can be changed to Edit permission by checking the appropriate box.

10. Click *Save* to apply your change(s).

Change Group Membership

1. Click on **Administration > Users.**

2. Click on a username in the left hand column.

3. From the *User Profile Page*, click on the *Group Membership* tab.

4. The *Group Membership* tab allows you to change what groups the user is a part of.

5. The left box lists available groups; these groups are in the system, but that the user is not currently a member of. The right box lists the groups that the user is currently part of.

6. To add the user to a group highlight the group in the left box and click the arrow pointing to the right to move the selected group to the other side.

7. To remove the user from a group, highlight the group in the right box and click the arrow pointing to the left to move the selected group to the other side.

Group Membership allows you to: Assign the same permissions to multiple users, include the user in a group and set the permissions for the group as a whole in **System > Administration > Groups.**

The system has three default groups: Administrators, Reporting and Everyone. These groups cannot be deleted.

Delete an Existing User

1. Click on **Administration > Users.**

2. Click on the **X** in the right hand column on the same row as the user you wish to delete.

3. A pop-up will appear asking you to confirm that you wish to delete this user. Click *OK.*

Impersonating a User

Impersonation enables administrators to assume the role of any users, including administrators, in the system. Each User Profile has an option to impersonate that user and by doing so, allows the administrator to walk through the system representing that user.

1. As an administrator, navigate to the User List page

2. Click the impersonate icon parallel with the user.

   OR

3. Select a user from the list

4. To impersonate by clicking on *Impersonate* button

5. From that point, all interaction with the system will be from the perspective of the selected user.

6. To stop impersonating, click the Stop Impersonating link next to the user name (top right corner).

Notes:

1. Limited Administrators cannot impersonate Administrators

2. All changes made while impersonating will be tracked in impersonation mode (Example: George (impersonate by John)

3. Filtering by an impersonator in the Audit Trail is not supported.

Updating LDap User Profiles

The user list provides an option to synchronize the user in your active directory with the users in GRC Cloud.

1. Click *Sync Users* it will check if the users credentials have changed, if so it will synchronize the two systems.

2. It will match the Active Directory GuID and update: emails, user name, full name.

3. It will not update passwords.

Group Management

Groups enable a number of users to all be given the same permissions or characteristics. For example, if a group has three members and this group is made the owner of an Item, then all its members will become owners. Consequently, if a user is added to the group the new user will have all the permissions of the other group members and this would become owner of the same item. If a user is removed from the group, the permissions would be removed from them.

In the Group Management section, Administrators can add and remove users to/from groups. You can also introduce an entirely new group to the application. Groups allow Administrators to give specific permissions to multiple users as well as simplify user management. The system has four default groups: Administrators, Reporting and Everyone, External. These groups cannot be deleted. The purposes of these groups are as follows.

Everyone: All users are permanently part of this group. This group enables permissions to be set global across the system.

Administrators: A user can be made Administrator by adding to the group.

Reporting: No specific permission set applied.

External: External users can receive email notification and be a part of user list, but have no access to the system.

1. Create a New Group
2. Edit a Group
3. Change Description of a Group
4. Add/Remove Users to/from a Group
5. Change the Permissions of a Group
6. File Permissions
7. Delete and Existing Group

Create a New Group

1. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page.

2. Click the *Create a New Group* button. This will bring up the Create Group Page.

3. Enter a Group Name.

4. Enter a description of the group if required.

5. Click *Create* to create the group.

6. This will take you to the *Edit a Group* Window where you can set permissions and group membership.

Edit a Group

1. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page.

2. Click on a group name in the left hand column. The *Edit a Group* window will appear.

There are three tabs available in the Edit a Group window: General, Group Membership, Permissions and File Permissions.

Change Description of a Group

Default content can be set for the homepages of all members of a specific group. This enables administrators to set certain minimum information that is available to users as soon as they log in. The content of the pie charts and other elements is limited by the permissions that member or group has. Note that the individual users can change their options not to include information from their groups. If the user is a member of several groups they can choose to view the homepage elements of none of the groups, one of the groups, or any combination of the groups they are a member of.

1. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page.

2. Click on a group name in the left hand column. From the *Edit a Group* Page, under the *General* tab.

3. From the Edit a Group Page, click on the Homepage Preferences tab.

4. Select all appropriate items to appear on the homepages of all group members.

5. Click *Save* to apply your change(s).

For information on how users can customize the content of their homepages, including group homepage preference settings see User Management – Change Homepage Preferences

Change Group Homepage Preferences

1. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page.

2. Click on a group name in the left hand column. From the *Edit a Group Page*, under the *General* tab.

3. Modify the description in the *Description* text box.

4. Click *Save* to apply your change(s).

Add/Remove Users to/from a Group

1. Click on **System > Administration > Groups.** This takes you to the *Manage Groups* Page.

2. Click on a group name in the left hand column.

3. From the *Edit a Group* Page, click on the *Group Membership* tab.

4. The *Group Membership* tab allows you to change which users belong to what group. The left box lists available users, users that are in the system, but that are not assigned to this group. The right box lists the users that are part of this group.

5. To add a user to a group, highlight the user in the left box and click the arrow pointing to the right to move the selected group to the other side.

You can add/remove multiple users simultaneously by dragging the cursor over multiple users, or by holding down Ctrl while clicking. Then click the arrow to move the selected users to the other box.

6. To remove the user from a group, highlight the user in the right box and click the arrow pointing to the left to move the selected user to the other side.

7. Click *Save* to apply your change(s).

File Permissions

1. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page

2. Click on a group name in the left hand column.

3. From the *Edit a Group* Page, click on the File Permissions tab. All items that the user has access to are displayed here.

If this page is blank, it means you do not have any permission to any files.

4. File permissions can be modified by selecting/deselecting the appropriate boxes.

5. To remove all permissions from a File click the **X** at the end of the row, or deselect all boxes and click Save.

6. To add permissions to a new File not listed here click the *Add Files* button.

7. A list of all file available in the system will appear. Select the box beside the File you wish to assign permissions to.

8. Click *Add Selected Files*.

9. The new File is now at the bottom of the list, and has been automatically assigned a Read only permission. This can be changed to Edit permission by clicking the appropriate box.

10. Click *Save* to apply your change(s).

Delete an Existing Group

1. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page

2. Click on the **X** in the rightmost column beside the group you would like to delete.

3. You will be prompted to confirm that you wish to delete the group. Click *OK.*

OR

4. Click on **Administration > Groups.** This takes you to the *Manage Groups* Page.

5. Click on a group name in the left hand column.

6. From the *Edit a Group* Page.

7. Click the *Delete* button.

8. You will be prompted to confirm that you wish to delete the group. Click *OK.*

You cannot delete any of the four default groups: Administrators, Everyone, External and Reporting.

Understanding Roles and Permissions

GRC Cloud's granular permission set and Role-based approach to permissions has a variety of benefits, including:

- Enables more efficient creation of sets of permissions that can be applied to multiple users and then edited for multiple users later if required.

- Enables any criteria within an item to be editable, readable or hidden for members of a specific role

- Different users can see and edit different criteria within the same item

- Enables users to occupy different roles within different parts of the framework. For instance if an individual has responsibility for testing controls *and* overseeing the work of other control testers, he/she can be member of one role (Control Tester) for some items and another role (Control Test Supervisor) for others, which would have different permissions.

For information on steps to building out Roles and Permissions, see [Setting up Roles and Permissions in Role Builder](#).

Roles

In GRC Cloud, a Role is not a collection of users with similar responsibilities. Instead, a Role is a set of common permissions for one or more item types or sub-types. A Role is then applied to a specific item in the location framework or scoping item framework, and then a specific user (or users) is chosen to occupy the Role for that item.

Therefore there are three elements to setting up permissions for a user and an item.

1. A Role is created and its permissions for various item types are defined

2. The Role is applied to items

3. Users are applied as role members for the items

Step 1 is performed in a Role Editor where new Roles can be created and assigned to different item types and then in turn to different fields for the various item types.

Example: *At Company X, a Control Test Supervisor may require the following permissions*

- *Location: Read name of location ONLY*

- *Folders: (e.g. Processes, Sub-processes and Cycles). Read the name and description of these items.*

- *Risk: Read all risk criteria, including name, description, impact, likelihood etc.*

- *Test: Read name and description of test, edit comments and notes and description of test procedure. Also able to add Test Results, Issues and add attached files.*

- *Test Results: Read and Edit all fields.*

- *Issues: Read and Edit all fields. Manipulate permissions for Issue so it can assigned to a co-worker.*

All the capabilities listed above could be saved in one Role called Control Test Supervisor.

Steps 2 and 3 are typically combined into one action called Permission Membership. In these steps, items in the Location Framework or Scoping Framework are selected and the role and user applied to that item. This can be done in one of two ways:

- In Role Editor, a Role can be selected and then applied to specific items and users, or

- In Manage by Location and Manage by Scoping Item, an item can be selected and a role and individual user can be applied to that item.

- Synchronizing permissions with multi user picker. See "Syncing Multi User Picker with Permissions" on page 45

Cascading of Role Permissions

As a Role typically represents permissions for multiple item types, a cascading concept enables role membership to be automatically applied to items above and below the item where role membership is being edited. (6.1)

It is now possible to have multiple anchor nodes on the branch of the tree. In this scenario the permissions will cascade as expected, but will not override each other, they will grant the user a combination of the 2 sets of permissions.

Example:
Using the Company X example, if Pat Campbell is being given the role membership for the Control Test Supervisor role at Risk #261, the system also identifies the items above and below that risk in the hierarchy for which the role has permissions. Pat therefore receives role membership for these items also.
Therefore, Pat Campbell would get Control Test Supervisor permissions for the Locations and Folders above that Risk and also for any Controls, Tests, Test Results and Issues below the Risk. However, Pat does not receive permissions for Action Plans or Steps, as these are not defined in the Control Tester role.

Advanced Permissions and replacement of Local Administrator and Owners

In addition to setting read or edit permissions for each criteria, other permissions may also be defined for a role.

- Ability to add child items to items in the location framework or scoping item framework. The permission can limit the item type/sub-type to which child items may be added *and* the item types/sub-types which

may be used as child items.

- Ability to add, delete or edit file attachments to an item type or sub-type

- Establish the role membership for other users in specified roles for a specific item type or sub type. (This ability replaces Local Admin.)

- Ability to receive specific e-mail alerts: **Functionality retired in v8.0**

  - On creation of a new item (this message was previously sent only to Owners)

  - Completion Reminder alerts

  - Deadline Reminder alerts

  - Sign-off Ready notifications.

For information on steps to building out Roles and Permissions, see Setting up Roles and Permissions in Role Builder.

Setting up Roles and Permissions in Role Builder

Individual Users' access to individual items—and criteria within those items—is defined by Roles. The management of permissions has been completely redesigned in GRC Cloud 5. Rather than assign individual users and groups to specific items in a location framework and then applying specific read and edit capabilities for descriptors, attributes and evaluation criteria, management of permissions is now designed exclusively on the basis of Roles.

Roles are collections of permissions for one of more Item Types and Subtypes (rather than specific items in the location framework). These permissions may be as granular is read or write access to individual criteria, descriptors and functions within a specific item type or sub type.

As Roles are set across Item Types rather than individual Items, the allocation of one or more users to a role for specific areas of the location framework is achieved by setting Role Membership at various points of the framework.

For a more detailed overview of how Roles work, see Understanding Roles and Permissions.

Important Permission Change: in the focus picker and context paths the permissions will automatically assume the user has **item name** permissions cascading up the tree. For example, if the user has permissions to a risk and the context has folder showing, it will ignore permissions and show the item name only. (8.0)

Creating a Role

1. As an Administrator navigate to **Administration > Roles**

2. Click *Create a New Role*

3. Enter a name for the Role, a Description (optional) and click *Save*.

4. Click *Go Back*

Delete a Role

1. As an Administrator navigate to **Administration > Roles**

2. Click the *X* next to the name of the Role to be deleted

3. When asked to confirm the deletion, click *OK*.

4. Click *Go Back*

Editing Role Permissions

1. As an Administrator navigate to **Administration > Roles**

2. Click one of the listed Roles

3. Click the *Permissions* tab. All current permissions are displayed for one or more item types and sub-types.

4. Click *Edit Permissions*

5. Using the drop-down menu, pick an item type or item sub-type. The available permissions option will load onto the screen. These are divided into Field Permissions, Advanced Permissions and E-mail Notifications. The following sections explain the choices.

Selecting Field Permissions

When setting up a Role's permissions an item type or sub-type can be set for every criteria as either *Read/Write* (editable), *Read Only* or *None*. (When None is selected, the criteria will not be visible to users in that Role.)

1. For each Descriptor (main, mandatory criteria) and Criteria select whether this role has Read/Write permissions, Read Only permissions, or None by using the radio buttons in the Access column

2. To manage this more efficiently use the *"Set all Access fields to*:*"* drop down menu to choose None, Read Only or Read/Write. Then change the settings for individual field Permissions, by using the radio buttons in the Access column

3. Either continue to Advanced Permissions or press *Save*.

Selecting Advanced Permissions

Advanced Permissions enable a Role to have specific capabilities for a particular Item Type or Sub-type.

1. **Add/Delete Child Items:** Select which of the available item types can be attached to the Item Type or Sub-type. For example, when editing permission for a risk, it is possible to add a Control, Issue or Steps, but not Test, Test Result or Action Plan as these item types cannot be attached to a Risk. Select the required item types and sub types by checking the appropriate check boxes.
Where there are one or more sub-types set up in the system, the main item and any sub-types will be displayed. This can be used to further restrict the child items that can be opened under this item type.
Note:add and delete have been separated into two permissions and behave independently (7.1).

2. **Files:** This option enables members of the Role to manage file attachments within this item type or sub-type. To enable check the check box.
Note:add and delete have been separated into two permissions and behave independently.

3. **Enable Sign-Off:** This enables this role to sign off items for this item type or sub-type. To enable check the check box.

4. **Change Permissions:** This enables the user to set Permission membership for other users for this role in this item type or sub-type. This is useful when adding new items that may need to be allocated to a specific user to work on who may not have acquired permissions through the cascading feature. To enable check the check box.

5. **Update Library from Manage by Location:** Enables the user to edit an existing item in Manage by Location, and copy those changes to the corresponding item in the Framework Library.

6. **Move Items between Locations:** Enables a user to move items from one location to another by using the Change Parent button in Manage by Location, while retaining all the values for descriptors, attributes and evaluations. To use this, it is also necessary to have the Add/Delete Child Items permission for the item type that will become the parent of the item being moved.

7. **Create Multi Items in Manage by Location**: Enables a user to create multi parent items (multis) in the Manage by Location screen, by using the Change Parent button. To use this, it is also necessary to have the Add/Delete Child Items permission for the item type that will become the parent of the item being multied.

Selecting E-Mail Notifications

E-mail notifications are generated by GRC Cloud in response to certain actions or certain date-driven schedules. This section enables the type of e-mail and schedule to be defined for the Role.

1. For each option check the check box to select the e-mail type and schedule.

2. Press *Save* to retain all settings.

3. Click *Go Back* to return to the previous screen.

Managing Role Membership

As a Role typically represents permissions for different item types, a cascading methodology enables permissions to be automatically applied to other item either above or below the item where the role permissions have been applied.

Example: The Control Test Supervisor Role is applied to user called Pat Campbell for Risk #261. GRC Cloud automatically identifies the items above that risk and below that risk in the hierarchy for which the role has permissions applies those permissions to Pat. Therefore, Pat Campbell would get permissions for the Locations and Folders above that Risk and also for any Controls, Tests, Test Results and Issues below the Risk. However, Pat would not receive any permission for Action Plans or Steps, as this was not defined in the Control Tester role.

1. As an Administrator navigate to **Administration > Roles**

2. Click one of the listed Roles

3. Click the *Role Permissions* tab. Any existing Items with users assigned to this role are displayed.

4. Click *Add Users/Groups*.

5. On the left side of the screen select one or more items. Organize the framework either By Location or By Scoping Item by clicking the appropriate radio button.

6. On the right side of the screen select one or more users. This can be done by scrolling up and down the list of users, or by typing in the name of the user and then checking the box adjacent to the user name. Users can be deselected by unchecking the box.

7. Click *Save*.

8. Click *Go Back*

System Settings

System settings allow Administrators to set "global" settings for users across GRC Cloud. The table below illustrates what each field enables Administrators to customize.

1. Click on **Administration > System > System Settings.** The Edit Settings page will appear.

2. Modify the following settings as required.

3. Click *Save* to apply your change(s).

System Setting	Definition
Bcc Email Address	Inserts the defined email address as Blind Carbon Copy for all task orie
Custom Error Page Text	Determines the text users see when an error occurs.
Default Language and Settings	Defines the default culture settings for the site, which determine interfa tings in their user profiles. However, if the user sets their culture by the ple: If GRC Cloud was set up to support English US, French-Canada a is not available.
Disable Ability to Add New items to all scoped parent items	Prevents a new child item that is added to a scoped item from being rep
Disable Item Description for all Item Types	Removes the system driven item description from view item and report
Disable Single Instance Assessment Flag	Removes the flag from the view item panel.
Disable Ability to Report on Roles in Hierarchical Report	Prevents users from including Role information in hierarchical reports t
Disable uploading file extensions	Enables administrators to restrict all users (including administrators) fr
Display Change Log in Item View	Enables the change log to be seen by non-Admin users in Item informa
Display Update Library button above tree for non-Admin users	Enables the ability to update multiple item assessments back to the Fr
E-mail from address for Workflow-based e-mails	For customers using the option workflow module, this is the e-mail add
Enable automatic e-mail notifications	Sets whether automatic notifications/emails are sent out to users.
Enable Crystal Reports	Set to false users will not see any configured reports on Focus / progra
Enable Excel Preview	Enables the ability to preview an attached Excel file. Only available in
Enable Focus	Enables/disables the Work Queue menu slider.
Enable manual editing of numbers of new items	Enables/disables the automatic numbering system for framework item
Enable notification messages	Switches on or off messages that appears on each user's homepage ir

System Setting	Definition
Enable Signoff of items	Enables or disables the application's sign-off capabilities.
Enable Single Instance Items	Enables functionality for Single Instance Items which is necessary wh
Enable WebDav	Enables/disables the WedDav capabilities required to instantly update
Function result - decimal places displayed	Sets the number of decimal points for results to all functions. Will not c
Function results - maximum number of ranges	Sets the maximum displayed number of ranges for results for a mather
Header Right Image	Inserts an image into the top right corner of the menu. (.gif, .jpg, or .png
Login Page Image	Inserts an image on the login page below the user and password input
Password Expiry period	Determines the number of days before a user's password expires and i
Password Reuse Frequency	Determines the number of different passwords required before a user c
Print Reports With Color	Enables or disables colored criteria in printed reports.
Queued Report and File Export request life span (Hours)	Sets the number of hours a queued report will remain available for retrie allows for weekends, but not for public holidays.
Show Activity Name in Header	Details the activity related to the item that is currently focused on. Visi
Show Context In Header	Determines whether the defined context (set in Item Templates) is sho
Show the site name in the Header	Inserts a customized site name into the top right corner of the menu. Ty
Text to display on the Login Page	Determines the customized text seen on the login page (bottom eleme
The Site Name	Determined the customized site name seen in the top right corner of the
The Sub-type Column in Matrix Assessor minimized by default	Reduced the Sub-Type column in Matrix Assessor to the minimum wid
WebDav File Timeout	Defines the number of minutes files remain active for a user to edit. On
Website URL	Web site host name. Setting used by automated e-mails to ensure link
Workflow Email Image	Inserts an image in the top left of all workflow emails. (.gif, .jpg, or .png

Email Templates

GRC Cloud contains a variety of preset email messages. All automatic application messages can be modified. The Email Templates section contains a list of the preset application messages. Administrative group members can edit the email messages and specify that certain messages not be forwarded to users.

1. Click on **Administration > Email Templates.** The Edit Email Templates page will appear.

2. Select the Action Name from the drop down menu for the application message to be modified. The page will refresh with the email template for the selected application message.

3. Edit the "*From*" email address, the Subject Line and the Message Body as appropriate.

4. Click *Save* to apply change(s)

Warning: Ensure that you do not remove any of the variables (a variable is text contained within percentage marks e.g. %NAME%) as changing variables contained in a message will corrupt the message content. The sender's email address must be an active address.

Application Messages

When any of the following situations occur, a message is automatically sent to the user's email address and duplicated in the system inbox.

Sign off Availability	Notifies user that they an Item is ready for sign off. Functionality retired in v8.0
Item Required - Deadline Overdue	Notifies user that they are responsible for an Item with a deadline that has past (where deadline was set up within the criteria). Functionality retired in v8.0
Item Required - Deadline 1 Day	Notifies user that they are responsible for an Item with a deadline 1 day from today (where deadline was set up within the criteria). Functionality retired in v8.0
Item Required - Deadline 2 Weeks	Notifies user that they are responsible for an Item with a deadline 14 days from today (where deadline was set up within the criteria). Functionality retired in v8.0
Item Required - Deadline 1 Month	Notifies user that they are responsible for an Item with a deadline 30 days from today (where deadline was set up within the criteria). Functionality retired in v8.0
New User Welcome	Notifies user that they have been created as a new user in GRC Cloud and provides a user name. For security reasons, the password follows in a separate email.
New User Password	Notifies user of password for their initial login to GRC Cloud.
Reset Password	Notifies user when Administrator has reset the user's password. It contains a link, to the GRC Cloud login screen.
Eval Required - Deadline Overdue	Notifies user that they are responsible for an evaluation with an annual, quarterly or monthly deadline that has past. Functionality retired in v8.0
Eval Required - Deadline 1 Day	Notifies user that they are responsible for an evaluation with an annual, quarterly or monthly deadline 1 day from today. Functionality retired in v8.0
Eval Required - Deadline 2 Weeks	Notifies user that they are responsible for an evaluation with an annual, quarterly or monthly deadline 14 days from today. Functionality retired in v8.0
Eval Required - Deadline 1 Month	Notifies user that they are responsible for an evaluation with an annual, quarterly or monthly deadline 30 days from today. Functionality retired in v8.0
Sub-Item Evaluation Changed	Notifies the user that they you can no longer sign off an Item because evaluations have changed for a sub-item. The message provides a link to view the re-opened item. Functionality retired in v8.0
Period End Close is about to Begin	Notifies users that Period End Close process is approaching. It advises users to save their work and log out. Users are unable to log in for the duration of the

	process.
Period End Close has Begun	Notifies users that Period End Close has initiated. It advises users that they are unable to log in for the duration of the process and that another email will be sent when login has been re-enabled.
Period End Close is Complete	Notifies users that Period End Close has completed and that users are now able to login again.

Import Criteria Values

The criteria importer provides the capability to import values from 3rd Party content management systems into the GRC Cloud system. Administrators can export values into a predefined Excel format that can than be imported into specific criteria within GRC Cloud.

Specifications:

1. Imported criteria values will update the items in Manage By Location/Scoping only and the Framework Library (7.1).

2. The criteria importer supports all criteria types
   Exceptions: Spreadsheet Criteria / User Lists

3. All imported values will be truncated to the defined max character count of the criteria.
   Example: Text field criteria's max character count = 80

4. If the target value is blank (no values in excel), or if the unique criteria column is blank, the importer will stop and prompt the user.

5. Blank Values in the Excel Spreadsheet will not override values in Cloud.

6. Support for multiple value imports (Check box criteria)
   Formatting:
   a. Separated by commas and **no spaces.**

   b. No comma is required after the last value (example: A,B,C)

   c. If a label for a criteria is invalid (example: label 1-3 is correct, label 4 is not) AND the importer is bringing in 4 values for that criteria. It will ignore the import for that criteria. All values coming in for a specific criteria need to match. Result: detailed in the Import Overview report: X criteria were not updated due to an invalid label.

7. If the same criteria is attached to both main and sub type, it will not update the value. It cannot distinguish between the two in order to update.

8. Value imports are case sensitive.

9. Rich Text Editor Import:
   a. Character count will be respected (truncates the text accordingly)

   b. Rich text formatting not imported

       c. Ability to import hyperlinks (detects http / https / www and will convert it into a link within cloud rich text editor).

10. All changes will be tracked in the Audit Trail.

Excel Formatting:

1. Importing supports 6 date formats
   Examples: Oct-14, 10/14/04, Oct 4 2013, October 4 2013, 04-Oct-13

2. Values MUST lie on sheet 1 of the excel file.

3. Headers must be detailed in the top row of the Sheet 1.

   - Header will detail the name of the value being import from outside the system.

4. Importing Item numbers must be formatted/stored as a text field in Excel.

5. All values will be automatically rounded after 7 decimal places.

6. Numeric fields need to be formatted in text if using as a Unique Identifier, and want numbers ending in 0 to match properly. Example: 12.40 needs to be formatted in text. Excel stores this values as 12.4 and will import that stored value.

7. **File must be an Excel 2007 file (.xlsx) or greater.**

Importing the Criteria

1. System > Administration > Import Criteria Values
   OR
   Manage by Location / Scoping OR Framework Library > Select a Starting Point for Import from the tree (Only one starting point can be defined in the tree) > Click *Import Criteria Values* button

2. Select the Item Type to import values.

3. Identify the file containing the import values.

4. Click *Next*
   Note: Clicking *Next* references the Cloud Item Type and the Excel file headers and will display them in the next screen.

5. Select *Unique Identifier*
   All available criteria (including Item Name and Number) can be used to match the items in Excel to the items in Cloud. The Excel options are based off the column headers in the first row of the first Excel sheet.
   Note: Unique identifier cannot also be used as a field to import if selected as an identifier. It will be disabled in the *Match Criteria* drop down.

6. Match *Criteria* and *Excel Column Headers > Add*
   These matches will define which criteria in Cloud will get updated with the values in Excel. Multiple matches can be identified.

7. *Import*

8. Report of criteria updated in Cloud is presented to the user. Values will get updated and referenced in the Audit Trail.

File Management

All users are able to add files, including new versions of existing files to the application. The maximum allowed size for uploaded files is 50MB. Attachments are searchable by the attachment title, description or contents.

1. Upload a File
2. Delete a File or Hyperlink from the System
3. Modify File Permissions
4. Search for a File
5. Edit or Upload New Versions of Files in the System

Upload a File

You can upload a file to the application without associating it with a specific instance of an item using the File Manager feature. Later on, you can easily attach a file in the system to an item. See Manage Attachments for more information on attaching existing files to Items.

All users now have the ability to upload multiple files and attach to multiple items in the system. (6.3)

- Add a maximum of 5 files

- Can be added to an undefined set of items (no limitation)

- Available in all areas of the applicable files can be attached

Uploading

1. Click on **Tools > File Manager.**

2. A list of all the files currently on the system will appear.

3. Click *Add New File.*

4. On the Upload New File page, click the Browse button Select File > file gets listed

   When a user uploads a new file into the system, it will take into account the file name from where it's being browsed from and insert that name into the Name field. This functionality has been added to all areas to which files can be attached.

   - Only inserts the name if the name field is empty

   - It will not overwrite the name if one was already entered

5. Add Description and Keyword (if applicable)

6. Repeat steps to add additional files (6.3)

7. Click the Save File button. The upload new file page will refresh and the file will be checked-in.

Note: You cannot modify the content of a file within GRC Cloud. Instead, you need to download the current copy to your computer, make changes and upload a new version of the file to the application. The application will retain all copies of the file for reference purposes and allocate individual version numbers so they can be easily identified.

Delete a File or Hyperlink from the System

This will permanently delete all versions of the file from the system.

1. Click on **Tools > File Manager.**

2. Optional: Enter the name, description or keywords of the File you are looking for.

3. Click the *Search* button.

4. A file list also appears below the search box.

5. Place a checkmark beside the File(s) you wish to delete, and click the **X** button.

6. A window will appear to confirm that you wish to delete the file. Click *OK.*

Modify File Permissions

1. Click on **Tools > File Manager.**

2. A list of all the files currently on the system will appear.

3. Click the on the File Name of the desired File.

4. The *Edit File or Attachment Information* window will appear.

5. In the detail panel under the Permissions tab, you will see existing permissions for that item.

6. If the file is checked-in then click the *Edit* button at the top of the panel.

7. Click the *Add Users/Groups* button to view a list of all users within the system that can be given various permissions to this Item.

8. Check the User Group(s) you want to assign permissions to or open a group by clicking on the plus sign to select individual members listed within that group.

9. Click the *Add Selected User/Groups* button. The users or groups selected will now appear in the list ready to be assigned specific permissions.

10. By default, each user or group added will be given Read permissions. Use the check boxes to determine any additional permission for each user and group listed.

11. To edit existing permissions, check/uncheck the applicable boxes, or click the **X** to remove all permissions for a user or group.

12. Click *Save* to apply your change(s).

Search for a File

You can locate files using a keyword(s) found in the file's name and/or description, file type, Item Type the file is attached to. In the case of text files and Microsoft Office documents, by text contained within the document.

1. Click on **Tools > File Manager.**

2. A list of all the files currently on the system will appear.

3. Click *Search Files.*

4. Enter the desired search criteria.

5. Filter by one or more selections: Name, Description, Keywords and Content.

6. Click *Search.*

7. All matching files will be listed.

Edit or Upload New Versions of Files in the System

You can locate files using a keyword(s) found in the file's name and/or description, file type, Item Type the file is attached to. In the case of text files and Microsoft Office documents, by text contained within the document.

Administrators can restrict all users (including administrators) from uploading potential harmful files into the Cloud system. This is achieved by adding the file extension into the system setting field. File extension must be separated by commas. (Example: exe, com, vbs, dll) See "System Settings" on page 250

Interchangeable file type versions. Ability to upload any type of file as a version, even if it differs from the original version

type. **Example:** Upload a file as .docx, user can then upload a new version as .doc or even xls. All restrictions surrounding version uploading have been removed.

1. Click on **Tools > File Manager.**

2. A list of all the files currently on the system will appear.

3. Navigate to the desired file.

4. Click on the File Name of the desired File.

5. The *Edit File or Attachment Information* window will appear. Click the Edit button at the top of the page, unless the Item has already been checked out by you.

If the *Edit* button does not appear, it is because the file has been checked out. The status of the file will say "Checked out to:...", and the file cannot be edited until it has been checked back in.

6. Modify the information as desired.

7. Attach File to Multiple Items: select additional items to attach the file to in Manage by (6.3)

8. Click *Save* to apply your change(s).

Period End

Overview

The purpose of period end is to create an archive and reference point for an organization's data and to create saved data that can be retrieved for comparison purposes. This is particularly important for companies complying with Sarbanes Oxley Section 404, Canada's Bill 198 or other compliance activities who may have to give evidence of their compliance at a given point in time. Archived data can be used to provide time-based comparisons displayed in Manage by Location and Manage by Scoping Items, Matrix Assessor and in graphical form using the Chart Builder. Period End is available to Administrator users only.

The Period End process enables the Administrator to "clean up" data, including:

- Change status of all "signed off" items to "open"

- Remove issues, action plans, steps, tests, and test results (any non-framework items)

- Clear evaluation data

- Either unattach files from items or purge them from the system

- Reset Workflows

Note: completion of the Period End process deletes all Audit Trail and Change Log entries
Administrators are no longer forced to clear the Audit Trail and Change Log. A new option on Step 2 to indicates whether the logs are cleared. (7.0)

Step 2 of 5: Archive and Maintenance

Archive and Maintenance

☑ Clear Change Log and Audit Trail

Click 'Go to Next Step' to archive the current state of the database. Some period end maintenance will be performed on your database.

Note: continuing to maintain the Audit Trail and Change Log may impact view item performance**.** If performance degradation arises, disable the Change Log tab via the System Settings (Display Change Log in Item View).

The Administrator selects which of these items are reset or removed. The framework itself is left intact from period to period.

Period End Process

Lockout All Other Users

New in 5.4
File attachments can be either removed from items, or purged en masse, in Step 4 of the Period End process.

The Administrator is led through a five-step process with step by step instructions on the screen. The five steps are:

1. Lockout Other Users and Name this Period

2. Archive and Maintenance

3. Delete Non-framework Items En Masse

4. Clear Criteria and Function Values and Remove or Purge Attached files or Reset Workflows

5. Reopen Items and Remove User Lockout

Access the Period End feature as follows: **Administration > System > Period End.** All users will be "locked out" of the system while the Period End process is running.

Note: If you start a period-end process accidentally or decide that you do not have sufficient information to complete it, just run through the steps without deleting any items or clearing any criteria. This will not affect any information in the system. Afterwards, contact Resolver Client Support and request that they delete that period-end archive for you. **Note that a small fee will apply for deleting the period-end.**

Step 1 of 5: Lockout Other Users and Name this Period

1. Choose whether to send an e-mail notification to all system users. This enables the Administrator to warn users that the Period End process will be taking place. As all users will be immediately locked out of the system, it is advised that the Administrator should send this e-mail. The wording of the e-mail is customizable and instructions for amending the e-mail appear on the screen. All users will receive the e-mail whether they are logged into GRC

Cloud or not. To avoid e-mailing many users the Administrator may choose to run the Period End outside normal business hours. The Administrator may edit the text of the e-mail by following the instructions on the screen.

2. The Administrator must choose a "name" for this period as this name will be used to identify various periods for time-based reporting. Therefore names should be simple and descriptive.

For instance:

- Q2, 2008

- 2008-Jan

- 2008-01-31

3. When these steps are completed click *Begin Period End Process.* The next screen confirms the completion of these steps. (At this point an email will be sent to all users informing them a period end is in progress, regardless of whether the Administrator sent the first email described in step 1 or not, and that they will be notified when they can return to work in the system upon completion of the period end.)

4. Click *Go To Next Step*.

Step 2 of 5: Archive and Maintenance

In this step, a copy of the current data will be archived. There are no options to select.

1. Uncheck *Clear Change Log and Audit Trail* if it's necessary to maintain the Change Logs and Audit Trail. (7.0)

2. Click *Go to Next Step* to continue. The next screen simply confirms the completion of the Archive and Maintenance step.

2. Click *Go To Next Step.*

Step 3 of 5: Delete Non-Framework Items "En Masse":

In this step all "Non-Framework items" such as Issues, Action Plans, Steps, Test Results that are not part of a framework, and Test Results may be deleted. The selection of which Non-Framework Items are to be deleted is made by creating a hierarchical report of items and then selecting which ones are to be deleted.

Note: Resolver advises that clients should typically not delete large numbers of items. An example of the problem with deletions, is the case of Test Results. From this perspective, testers will need to use test result items in the next period and would not want to recreate them all from "scratch". Therefore, instead of deleting Test Results, simply clear the criteria which will be reassessed in the new period. Similarly, from the perspective of Deficiencies, decide whether you want to retain old Deficiencies or delete them each period.

1. Create a hierarchical report using relevant sections of the framework and by selecting the item types to be viewed. Although the Period End function will only delete non-framework items, framework items (such as folders, locations, risks, controls) may also be viewed in order to ease navigating around the framework.

2. After generating a hierarchical report, select all items or check the box(es) adjacent to any item(s) to be deleted and then click the Delete button at the top if the screen.

3. Click *Rebuild* to create additional hierarchical reports to list other framework items and repeat steps 2 and 3.

4. When all items to be deleted have been selected, click *Go to Next Step.* The next screen confirms the completion of these steps.

5. Click *Go To Next Step.*

Step 4 of 5: Clear Criteria and Function Values / Remove or Purge Attached Files / Reset Workflows

In this step, attributes or evaluations of any items may be cleared, along with the results of any functions and attached files. The selection of criteria and function results to be cleared is made by creating a hierarchical report of items and then selecting the desired criteria.

1. Create a hierarchical report using the relevant sections of the framework and indicating the item types to be viewed. One or more hierarchical reports may be created and these reports may be amended by using the Rebuild button to return to the report design screens to refine which items are to be viewed.

2. Click the *Clear Results* tab to select which criteria or function results are to be cleared or files removed. Where there are sub types for an item, the criteria selection needs to be made for each sub-type.

3. For files there are two choices; the files can either be removed from the items in this report, OR, the files can be removed from the item AND purged from File Manager. Check the appropriate box.

4. When all the items and criteria to be cleared are in the report, click *Clear.* This will clear the selected criteria for all items in the report. (Note that it will not clear criteria for areas of the organization that do not appear in the report.) If you do not wish to clear all items in the system, you may need to run a number of smaller reports, clearing criteria values order to ensure all the required items are cleared without clearing ones that you wish to retain.

5. You are asked to confirm that these items are to be cleared. (The Clear process cannot be undone.) Click *OK.*

6. Click *Reset Workflow* (will reset all items workflow states listed in the report to the start state).

7. Confirm confirmation message.

8. When all the Clearing has been completed, click *Go to Next Step.* The next screen confirms the completion of these steps.

9. Click *Go To Next Step.*

Step 5 of 5: Reopen Items and Remove User Lockout

Now that the database has been archived and selected item criteria have been cleared and non-framework items removed, all Signed Off items will be opened and the system will be made available to all users. There are no options to select in this section.

1. Click *Go to Next Step.* GRC Cloud confirms the completion of this step.

2. Click *Go To Next Step.* A screen will confirm the completion of the Period End Process.

3. Press *Finish* to return to the GRC Cloud home page. GRC Cloud users will be informed by e-mail that the system is now available again. This step will re-open all signed off items in the system and remove the user lockout allowing users to login again.

2 Factor Authentication

2 Factor Authentication provides additional security when logging into GRC Cloud. Available on a per user basis, via the user profile, both light users and administrators can enable the setting. Upon logging into the system, the user will be prompted to enter the authentication code sent to their Inbox.

Enabling 2 Factor Authentication

1. Via the main menu: *Username* > *Edit My Profile*

2. Scroll to the bottom of the profile page

3. Under Optional Settings: *Check Enable two factor authentication*

4. *Save*

5. Option can also be enabled when Administrators are creating a new user (See "User Management" on page 235 OR

6. Administrator Access: *USername* > *Administration > Users*

7. *Select a User Profile*

8. Under Optional Settings: *Check Enable two factor authentication*

9. *Save*

Logging In

1. Enter user credentials.

2. Email is sent to users inbox.

3. Select *'This is a Trusted PC'* (Optional).
   Note: If selected, the user will not be prompted to enter the code if logging in from the same PC they defined as trusted. This will persist until the user login lapses 14 days. After 14 days without a login, they will be prompted again for the key. (8.0)

4. Submit

Note: If 2 Factor Authentication is enabled for a user, the Forgot Password option will not be available. The user will be required to contact their administrator in order to change their password.

Administrator Permissions

Two types of administrative options:

1. **Administrator**: User has full administrative privileges across the entire site.

2. **Limited Administrator (6.1)**: User has the potential to have full administrative privileges. However, they can be limited from accessing any administrative area of the site.

Limited Administration

Enables the 'site' Administrator(s) to restrict Limited Administrators to all the areas defined below:

- **Design Menu :** Criteria / Item Templates / Frameworks

- **Administration Menu**: Users / Groups / Roles / Challenge Questions / System Settings / Email Templates / Import Criteria Values / Period End

Restrictions: The following restrictions have been placed on the new user type:

1. Cannot add users to Administrator group.

2. Cannot alter other Administrators or Limited Administrators.

3. Cannot make normal users into any type of Administrator.

Note: The Limited Administrator cannot modify or create other users in the system with higher permission sets even if granted Group and User access.

Creating a Limited Administrator

1. Administration > Create a User

2. Go to *Groups Membership* tab > Check off *Administrators* group

3. Go Back to *General* tab and scroll down

   Options are now available to limit the administrator from all menu options.

4. Uncheck/check the areas to remove/grant access for that administrator .

5. *Save*

Login Page

Built on a responsive design approach - as the screen gets small, the page adopts to the size and only provides the key elements for login - the login page will allow administrators to brand the page with the logo of their choice; as well as, deliver a specific message to their users before entering the system. Administrators have full control over build elements via the [system settings](#).

Customization of the Client Logo

1. As an administrator, go the System Settings: Administration > System > System Settings.

2. Scroll down to *Login Page Image* setting.

3. Click *Browse.*

4. Select an image (.gif, .jpg, or .png; recommended size is 160px x 80px).

5. Click *Save* at the top of the page.

6. Clear your cache: Ctrl + F5

7. Log out to verify image is correct.

Customization of the Welcome Message

1. As an administrator, go the System Settings: Administration > System > System Settings.

2. Scroll down to *Text to display on the Login Page* setting.

3. Add in the text that will welcome your user base.

4. Rich Text and hyperlinks are available.

Resolver Contact Info

If you are in need of assistance please contact us through one of the methods below:

Technical Support, End-User Support and Remote Training

US and Canada   1-877-755-3716
Outside US and Canada   +001-646-367-2086

Development Ideas/ Suggestions

www.resolvergrc.com

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GRC Cloud