Version 25.2ab (Compliance Management)

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Improvements

Compliance Management

- AI Quick Actions set up for both Summarize Regulatory Text and find Similar Requirements on requirement forms:
    - Requirement - CM - 1 - Library
    - Requirement - CM - 1a - Library (New/Updated Requirement)
    - Requirement - CM - 2 - Risk Assessment
- Simplified the Compliance Management User Interface by renaming workflows, repositioning actions, and adding contextual guidance.
    - Renaming Workflows to improve clarity.
    - Created an orchestrated event to move all requirements from Assign Compliance to Assess Compliance.
    - Guidance text added to recommend running the Supporting Information trigger.
    - Removed the description column from the Regulatory Update report.
    - Progress and control coverage is now visible at the framework level.
    - Configuration Details:
        - Compliance Assessment - Requirement Workflow:
            - Renamed workflow state Assign Compliance Owner → Assign Compliance. Within this workflow renamed button Send for Risk Assessment → Send for Compliance Assessment
            - Renamed workflow state Assess Risk → Assess Compliance
    - Compliance Assessment workflow:
        - Added button "Assess Compliance" and OE: Assess Compliance from Compliance Assessment in Progress. Consumed OE on Compliance Assessment - Requirement Workflow- Assign Compliance
        - Gave access to Compliance Team
        - Added button and description to Compliance Assessment - 1 - Overview
    - Regulatory Updates Report:
        - Created new data definition Regulatory Updates, Alert, Requirement
        - Removed requirement description column from all tables and added date updated
    - Requirement - CM - 2 - Risk Assessment form
        - Added a section for description and made it collapsable.
    - Sub Topic - CM - Assessment in Progress

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        - Added column "Compliance Level" on requirements relationship table
    - Compliance Framework - Library Form:
        - Reordered reports on tabs
        - Created a separate collapsable section for Supporting Information
    - Compliance Team User permissions:
        - Removed "assign" permission from requirement OT - Regulatory Update workflow state
        - Added "assign" permissions on Alert OT - Regulatory Update workflow state
    - Parent OTs in read-only pills on Compliance Forms:
        - Requirement - CM - 1 – Library
        - Sub Topic – Library
        - Topic – Library
        - Requirement - CM - 2 - Risk Assessment
        - Sub Topic - CM - Assessment in Progress
        - Topic - CM - Assessment in Progress
    - Progress & Control Coverage # Requirements Library:
        - On Subtopic OT created formula # Active Requirements with variable relationship - requirement - active status component - count AND variable relationship - requirement - regulatory update status component - count. Sum of active requirements.
        - On Topic OT created formula # Active Requirements with variable REQUIREMENTS.
        - On Compliance Framework OT created # Active Requirements with variable REQUIREMENTS.
    - Assessments:
        - On Subtopic OT created # Requirements with SUM (ASSIGNCOMPLIANCEREQUIREMENT) + SUM (ASSESSCOMPLIANCEREQUIREMENT) + SUM (COMPLIANCETEAMREVIEWREQUIREMENT) + SUM (REMEDIATIONREQUIREMENT) + SUM (MONITORINGREQUIREMENT)
        - On Topic created # of Requirements with variable REQUIREMENTS
        - On Compliance Framework created # of Requirements with variable REQUIREMENTS
        - Compliance Assessment created # of Requirements with variable REQUIREMENTS
    - # Controls:
        - On requirement OT created formula #controls with variable SUM (COUNT)
        - On sub topic OT created formula #controls with relationship requirement and

control formula sum

  - On topic OT created formula # controls with relationship sub topic and control formula sum
  - On framework OT created formula # controls with relationship topic and control formula sum
  - On compliance assessments created formula # controls with relationship framework and control formula sum
- Control Coverage:
  - On requirement OT created formula Control Coverage with relationship controls and COUNT>=1?1:0
  - On requirement OT created Library Controls formula any DRAFTCONTROL OR ACTIVECONTROL
  - On sub topic OT created Library Controls formula LIBRARYCONTROLS
  - On topic OT created Library Controls formula LIBRARYCONTROLS
  - On compliance framework OT created Library Controls formula sum LIBRARYCONTROLS
  - On requirement OT created RCM Controls formula any ASSIGNCONTROLOWNERCONTROL OR SELFASSESSMENTCONTROL OR REVIEWCONTROL OR REMEDIATIONCONTROL OR COMPLETECONTROL
  - On sub topic OT created Library Controls formula RCMCONTROLS
  - On topic OT created Library Controls formula RCMCONTROLS
  - On compliance framework OT created Library Controls formula RCMCONTROLS
  - On sub topic OT created Control Coverage formula RCMCONTROLS/REQUIREMENTS
  - On sub topic OT created Active Control Coverage formula LIBRARYCONTROLS/ACTIVEREQUIREMENTS
  - On topic OT created Control Coverage formula RCMCONTROLS/REQUIREMENTS
  - On topic OT created Active Control Coverage formula LIBRARYCONTROLS/ACTIVEREQUIREMENTS
  - On Compliance Framework OT created Control Coverage formula RCMCONTROLS/REQUIREMENTS
  - On Compliance Framework OT created Active Control Coverage formula LIBRARYCONTROLS/ACTIVEREQUIREMENTS
  - On Compliance Assessment created Control Coverage formula RCMCONTROLS/REQUIREMENTS
- Added formulas in the following forms:
  - Regulator Library – Library

        - Compliance Framework – Library
        - Topic – Library
        - Sub Topic – Library
        - Requirement - CM - 1 – Library
        - Compliance Assessment - 1 – Overview
        - Compliance Framework - CM - Assessment In Progress
        - Topic - CM - Assessment in Progress
        - Sub Topic - CM - Assessment in Progress
        - Requirement - CM - 2 - Risk Assessment
- Standardized the Compliance Management application by eliminating inconsistent naming and improving form design and report structure.
    - Configuration Details:
        - View and Activities:
            - Renamed activities Assign Compliance Owner → Assign Compliance (updated description); Assess Risk → Assess Compliance.
            - Within Assign Compliance Activity renamed views Assign Compliance Owner Report→ Assign Compliance Report; Assign Compliance Owner → Assign Compliance and updated description.
            - Within Assess Compliance activity renamed Requirements Pending Risk Assessment → Requirements Pending Compliance Assessment and updated description.
            - Removed Requirements Overview Report view from activities Assess Compliance, Review and Remediation.
        - Reporting:
            - Removed role "compliance team" from Executive Dashboard.
            - Removed role "compliance team" from Management Dashboard.
            - Removed role Compliance Management Administrator and Compliance Team from "Compliance Management" activity on "Reports".
        - Created activity "reports" and added the following views:
            - Removed role "compliance team" from Executive Dashboard.
            - Removed role "compliance team" from Management Dashboard.
            - Removed role Compliance Management Administrator and Compliance Team from "Compliance Management" activity on "Reports" App.

All Applications

- Application Data import files were updated to match the Risk Management Data Import file (unless otherwise stated), creating an integrated story across the GRC suite of applications.
- Created two new dashboard views to include all GRC application data, allowing users to

view all GRC data in one place.

    - GRC Executive Dashboard
    - GRC Management Dashboard

- Applied changes to form design across all GRC applications to ensure that all forms follow a consistent standard, creating a better user experience.
- Enabled View Latest Update on the following forms:
    - Requirement - CM - 1a - Library (New/Updated Requirement): Automatically enable the view latest updates toggle when opening this form
    - Requirement - CM - 2 - Risk Assessment
    - Requirement - CM - 1 - Library
    - Requirement Detail - Library
    - Requirement Detail - Library (New/Updated Requirement)
    - Requirement Detail - New/Updated Requirement
    - Control - GRC - 2 - Control Self-Assessment
    - Risk - RM - 5a - Assess Risk
    - Risk - RM - 5c - Assess Risk (Step by Step)
    - Internal Audit Project - 3 - Fieldwork, Reporting, Complete and Archive
    - Internal Audit Project - 2- Planning Memo
    - Process - IA - Process Overview
    - Risk - IA - Risk Overview
    - Control - IA - Testing Working Paper
    - Test - IA - Testing Working Paper
    - IC - Financial Statement Account Overview
    - IC - Financial Statement Sub Account Overview
    - Process - IC - 1 - Process Overview
    - Process - IC - 2 - Process Owner Overview
    - Sub Process - IC - Overview
    - Control - IC - 2a - Control Walkthrough and Testing
    - Request - IA & IC - 1 - Auditor
    - Policy - GRC - Overview - Policy Reviewer
    - Citation - IT Compliance - 3 - Internal Assessment
    - Control - IT Risk & Compliance - 3 - Assessment
    - Control - GRC - 1 - Library
    - Control - GRC - Report (Pallet)
    - Control - IA - Audit Client Overview
    - Control - IA - Document Requests (Pallet)
    - Control - IC - 2b - Document Requests (Pallet)
    - Control - IC - 3 - Control Owner Overview

- Control - IC - 5 - External Auditor Overview
- Control - IT Risk & Compliance - 2 - IT Control Owner Assignment
- Issue - GRC - Overview
  - Corrective Action - GRC - Overview