Version 25.3ab (Compliance Management)

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Improvements

Compliance Management

- Applied improvements to the Dashboards within the Compliance Management application, presenting trends, risks, and program status clearly and consistently. The following configuration details are applied:
    - RCM Executive Dashboard
        - Compliance Frameworks (library compliance framework ID)
        - Active Requirements (library requirement id)
        - Total Controls (control id)
        - Compliance Level by Compliance Framework with drill down table Compliance Framework, Requirement Name, Inherent Risk Score, Residual Risk Score, Compliance Level
        - Control Effectiveness by Framework with drill down table compliance framework, requirement name, control effectiveness
        - Open Issue Status with drill down table issue name, workflow state, business unit, compliance framework and compliance name
        - Heatmap Inherent Risk vs Residual Risk on Requirements with drill down table compliance framework, requirement name, inherent risk score, residual risk score, compliance Level
    - RCM Management Dashboard
        - Compliance Assessment Progress with drill down table Compliance assessment name, business unit name, compliance framework name
        - Requirement Status % by Business Unit with drill down table compliance assessment name, compliance framework name, requirement name, requirement workflow state
        - Control Status % by Business Unit with drill down table compliance framework name, control name, control workflow state
        - Open and Overdue Issues by Business Unit with drill down table issue name, workflow state, business unit, compliance framework and compliance name
        - Compliance Level and Control Effectiveness by Requirements heatmap with drill down business unit, compliance framework name, requirement name, compliance level, control effectiveness
        - Non-compliant requirement tables with columns business unit name, compliance framework name, requirement name with filter to show only non-

compliant requirements.

- The Requirement – CM – 2 – Risk Assessment and Requirement – CM – 1 – Library forms were reorganized, creating clean consistent sections, a defined hierarchy, and systematically placed collapsible to complete assessments faster. The following changes were applied to the forms:
    - Requirement – CM – 2 – Risk Assessment
        - Removed the following elements:
            - Theme Field
            - Date of Obligation Status Update
            - Regulator ID Field
            - Regulator Name
        - Removed comment and attachments field on inherent risk, control effectiveness and residual risk tabs.
        - Requirement Description as collapsable section
        - Added a separate tab for controls (only for assign) and requirement details and risk events
        - Added level of compliance as a tab next to issues
        - Requirement attributes as a separate tab.
        - Risk ratings formulas card is also shown for "assess compliance wf state"
        - Left side bar for assess compliance, compliance team review, remediation, monitoring, archived.
    - Requirement – CM – 1 – Library
        - Removed the following elements:
            - Themes
            - Regulatory ID Field
            - Regulatory Name
            - Content Properties card
        - Added the following tabs:
            - Requirement, Requirement Details, and Controls
        - Moved Requirement Description to its own collapsible.
        - Matched attributes tab with the Requirement – CM – 2 – Risk Assessment form.
    - Requirement Detail – Library
        - Removed themes, regulator ID, regulator name
        - Removed content properties card and all fields
        - Matched attributes tab with Requirement - CM - 2 - Risk Assessment for Ascent and custom
    - Sub Topic – Library
        - Removed description from requirements relationship table

All GRC Applications

- The Control Recommendation AI-powered feature has been enabled across GRC applications. The feature will identify controls linked to a requirement or risk and present that information to the user, quickly identifying controls, improving consistency, and reduces control duplication.
    - Enabled Recommended Controls for CM, RM, BCM, ITRM, IA on the following forms:
        - Requirement - CM - 2 - Risk Assessment
        - Requirement - CM - 1 - Library
        - Requirement - CM - 1a - Library (New/Updated Requirement)
        - Risk - RM - 2 - Risk Triage
        - Risk - RM - 3 - Library
        - Risk - RM - 4 - Assign Risk Owners
        - Risk - RM - 5a - Assess Risk
        - Risk - RM - 5b - Assess Risk (Standard ERM)
        - Risk - RM - 5c - Assess Risk (Step by Step)
        - IT Risk - IT Risk Management - 2 - IT Risk Profiling
        - IT Risk - IT Risk Management - 3 - Library
        - IT Risk - IT Risk Management - 4 - Assign IT Risk Owner
        - IT Risk - IT Risk Management - 5 - Assess Risk
        - Risk - BCM - 2 - Risk Review
        - Risk - BCM - 3 - Library
        - Risk - BCM - 4 - Assign Risk Owners
        - Risk - BCM - 5 - Assess Risk
        - Risk - IA - Risk Overview
        - Risk - IA - Audit Client Overview