

# GRMA

Governance Module

GCA Functions

User Role tested: **Risk Assessor, Task User, Risk Controller, Management, Process owner**

10.04.2025

Testing of NEW Assessments scheduled

# Risk Assessor: Banesh logged in

Schedule Assessment (Internal One Time and Repeat Frequency)

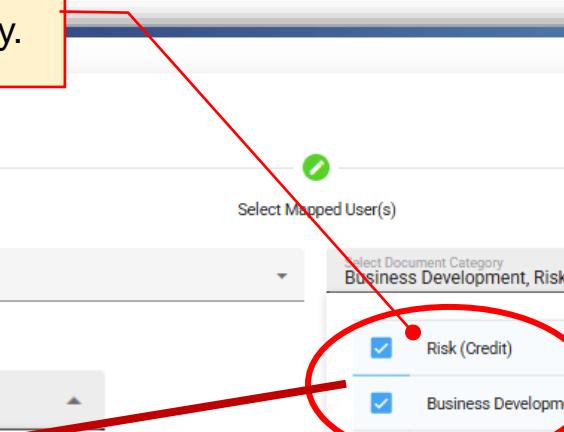
1 Set Assessment Schedule      2 Doc Category Preference      3 Select Mapped User(s)      4 Set Assessment Preferences      5 Set Notification Alerts

Select Document Type\*  
Standard Operating Procedures

Select Document Sub Category  
 Account Opening

Select Document Category  
Business Development, Risk (Credit)  
 Risk (Credit)  
 Business Development

Selected Multiple options, the Sub-Category shows options for one category only.



# Risk Assessor: Banesh logged in

This Assessment was originally scheduled for 14<sup>th</sup> Apr to 14<sup>th</sup> Apr. From Manage Assessment option, I changed the date to 10<sup>th</sup> Apr to 10<sup>th</sup> Apr and removed one User from the mapping. But no change appears here. Neither the Task User – “Bijay” can see the Assessment scheduled.

Assessment ID	Assessment Name	Assessment Type	Competence Level	Assessor	Scheduled Frequency	Assessment Start Date	Assessment End Date	Assessment Request Date	Action				
7210	06.03 - Test T...	General	Ordinary	Level of Unde...	Banesh Vard...	Assessment ...	1 Daily	11 Apr 2025	13 Apr 2025	10 Apr 2025	<button>View</button>		
ProBuds Stra...	New Delhi	202512189	06.03 - Test T...	General	Ordinary	Level of Unde...	Banesh Vard...	Assessment ...	1 Daily	12 Apr 2025	14 Apr 2025	10 Apr 2025	<button>View</button>
ProBuds Stra...	New Delhi	202537768	06.03 - Test T...	General	Ordinary	Level of Unde...	Banesh Vard...	Assessment ...	1 Daily	13 Apr 2025	14 Apr 2025	10 Apr 2025	<button>View</button>
ProBuds Stra...	Greater Noida	202538781	06.03 Mix Te...	Private	Paid	Practical Kno...	Banesh Vard...	Assessment ...	N/A	11 Apr 2025	12 Apr 2025	10 Apr 2025	<button>View</button>
ProBuds Stra...	New Delhi	202565791	06.03 - Test T...	General	Ordinary	Level of Unde...	Banesh Vard...	Assessment ...	1 Daily	10 Apr 2025	12 Apr 2025	10 Apr 2025	<button>View</button>
ProBuds Stra...	New Delhi	202567075	06.03 - Test T...	General	Ordinary	Level of Unde...	Banesh Vard...	Assessment ...	1 Daily	14 Apr 2025	14 Apr 2025	10 Apr 2025	<button>View</button>

# Risk Assessor: Banesh logged in

ProBuds Strategy Consulting  
New Delhi

Governance Banesh Vardhan

Notification Center

Inbox Outbox

No Mails are Available

Filter All

While the Assessment was scheduled, there was no notification found that was sent out to the Task users (Outbox). *Neither any Notification was received by Task Users in their respective Inbox.*

# Risk Assessor: Banesh logged in

The screenshot displays two pages of a web application under the title "Risk Assessor: Banesh logged in".

**Top Navigation Bar:** Shows "Governance" and "Banesh Vardhan".

**Sidebar (Left):** Includes links for "Raise Querie" (circled in red), "Review Queries", "Track Status", "Notification", "Profile", and "Logout". A callout box notes "Spelling correction required: Raise Query".

**Page 1: Add Query/ Issue**

- Form Fields:** "Importance: \* Urgent", "Main Menu: \* Begin Assessment" (circled in red), "Resource Person: \* Ram Kumar" (circled in red).
- Search and Select Feature:** A dropdown menu is shown with options: Varun Kumar, Marin Hira, VK Singla, Tamesh Jairam, Malini K, Kinjay Kumar, Shyam Naresh.
- Text Box:** "Names should appear with following format (details extracted from User master): <Full Name> | <Designation> | <Department> | <Entity & location name>"
- Buttons:** "SUBMIT", "Choose files" (No file chosen), and a file input field.

**Page 2: Add Query/ Issue (Details View)**

- Form Fields:** "Importance: \* Urgent", "Main Menu: \* Assessment Mitigation" (circled in red).
- Text Box:** "Search and Select Feature is missing".
- Text Box:** "Scroll Bar is missing".
- Text Box:** "Component" (partially visible on the right).

# Risk Assessor: Banesh logged in

New Delhi

## View Query/ Issue Details

### Details of Query/ Issue Raised:

Tracking ID:	TRK1744349633253	Status:	Open
Importance:	urgent	Module:	Governance
Main Menu:	Begin Assessment	Component:	Begin Assessment Scheduled
Subject Title:	Not able to view scheduled Assessments		
Issue Details:	I'm not able to view any scheduled Assessments. Please check at your end		
Attachments:	1. raise_GRC Changes.pptx ( <a href="#">Download</a> )		
Issue Raised By/ On:	Banesh Vardhan/2025-04-11 11:03:54	Reporting Person:	Marin Hira

### Details of Query/ Issue Resolved:

Resolution Category:			
Resolution Details:			
Attachments:			
Issue Resolved By/ On:	Marin Hira/Marin Hira	Reporting Person:	Banesh Vardhan

Replace this header with: **Issue Handled By**

Only name of Person handling the issue

Replace this header with: **Last Updated on**

Mention the Last updated date / time on this issue.  
If no update has been received, "NA" can be mentioned

# Risk Assessor: Marin logged in

## View Query/ Issue Details

Details of Query/ Issue Raised:

Tracking ID:	TRK174434963253	Status:	Open
Importance:	urgent	Module:	Governance
Main Menu:	Begin Assessment	Component:	Begin Assessment Scheduled
Subject Title:	Not able to view scheduled Assessments		
Issue Details:	I'm not able to view any scheduled Assessments. Please check at your end		
Attachments:	<a href="#">1. raise_GRC Changes.pptx (Download)</a>		
Issue Raised By/ On:	Banesh Vardhan/2025-04-11 11:03:54	Reporting Person:	Marin Hira

## Query / Issue Resolution

Resolution Category: Issue wrongly reported

Resolution Details: I'm not looking at any Assessment Scheduling. Please contact Gov Administrator for this matter

Attachments:  No file chosen

CANCEL

max 1500  
hrs  
94/1500

After submission of this issue resolving, the window did not close or refresh and no confirmation message appeared. But the issue has been saved to be 'resolved'.

SUBMIT

# Risk Assessor: Banesh logged in

## Add Query/ Issue

Importance: \*  
High

Main Menu: \*  
Company Compliance content Library

Reporting Person: \*

Subject Title: \*

Max 100 Characters

Issue Details: \*

Min 5 - Max 1500 Ch

Attachments:

SUBMIT

No List of Users appeared as per the above combination.  
*List of Users appear only when 'Governance' is selected.*

**Role Mapping for specific tasks for defining 'Reporting Person'**

Role Mapping for Reporting Person

Mapping to specific tasks to be done through role mapping for defining 'Reporting Person' (for issue resolving tasks only):

- Where User is mapped to specific Task that handles issues related to such module
- At the time of raising the Issue, selection of Reporting Person will be made based on the above mapping

**Module specific Tasks**

Resolver for All Application Issues	Mapped to Resolve all Main Menu Items under All Modules
Resolver for Common Admin Issues	Mapped to Resolve all Main Menu Items under Common Admin Module
Resolver for Governance Module Issues	Mapped to Resolve all Main Menu Items under Governance Module
Resolver for Risk Module Issues	Mapped to Resolve all Main Menu Items under Risk Module
Resolver for Compliance Module Issues	Mapped to Resolve all Main Menu Items under Compliance Module

List of Users should appear based on the combination saved here.

Something Like This!!!

Select User for Reporting Person role:

Entity Name:  Location:

Select User Name:

Select Modules:

Common Admin  Governance Module  Compliance Module  Risk Module

CANCEL SUBMIT

This Requirement needs to be followed for the purpose of getting the List of Users

Begin Assessment Schedule

Select Assessment Template

Drag a column header here to group by that column

Asse...	Asse...	Type ...	Sub T...	Comp...	Risk ...	Asse...	Versi...	Objec...	Mess...	Asse...	Start ...	End D...	Asse...
No data													

Two Assessments were scheduled to be started from 10<sup>th</sup> Apr but the Task User – “Bijay” cannot see any Assessment scheduled.

No data

Page 1 of 1 (0 items) < 1 >

# Risk Assessor: Banesh logged in

**CHECK AGAIN**

Monitored Assessments

Select Scheduled Assessment

Select Assessment Request

Drag a column header here to group by that column

Scheduled Asses...	Assessor Name	Assessment U...	Start Date	End Date	Template	Due Date	Status
internal Repeat freq...	Ganesh		16 Mar 2025	06.03 - Test Template	06 Mar 2025		Assessment Schedu...
internal Repeat freq...			23 Mar 2025	06.03 - Test Template	06 Mar 2025		Assessment Schedu...
internal R...			30 Mar 2025	06.03 - Test Template	06 Mar 2025		Assessment Schedu...
03 Apr 2025			06 Apr 2025	06.03 - Test Template	06 Mar 2025		Assessment Schedu...

Testing done on 26.03.2025. The End Date has gone past the testing date (26.03.25), but the Assessment Status still shows as "Assessment Scheduled" instead of "Assessment Expired"

status =

Assessment Schedu...

Assessment Schedu...

Assessment Schedu...

Assessment Schedu...

Assessment Schedu...

Assessment Schedu...

FRS understanding not followed (refer page 70 of Gov Part 2).

How will the Assessments Expired move out of the List???

- In case Assessment attempt was in progress and due to lapse of due time, the Assessment remained incomplete, the Assessment so attempted successfully before closing will be saved and result for only those questions attempted will be calculated. However, the Assessment attempted will move to "Assessment Result" with Status shown as "Incomplete Assessment". Result status will show as "Assessment Concluded & Result Awaited".
- Upon successful completion of Assessment, the Assessment attempted will move to "Assessment Result" with Status shown as "Assessment Completed". Result status will show as "Assessment Concluded & Result Awaited".
- In case of expiry of assessment/ unattempted assessment, it will move to "Assessment Result" with Status shown as "Assessment Expired". Result status will show as "Assessment Concluded & Result Awaited".
- Result will be announced to the Task Owners once all the assessments are complete. Performance metric such as, Level of Understanding, Heat Maps, Risk Scores, key performance indicators, etc will be updated.

# Task User: Amir logged in

## Begin Assessment Schedule

Under Assessor name column, incorrect Name (Amir Khan) is being shown. The correct name should be Banesh

Assessment ID is missing. Please replace this Version Col with Assessment ID, both in "Begin Assessment" and "My Assessment" screens

Assess...	Type Na...	Sub Typ...	Compet...	Assesse...	Objectiv...	Message...	Start Date	End Date	Assesse...
Assess...	Type Na...	Sub Typ...	Compet...	Assesse...	Objectiv...	Message...	Start Date	End Date	Assesse...
06.03 - Tes...	General	Ordinary			For testing ...	Please co...	13 Mar 2025	16 Mar 2025	06 Mar 2025

FRS understanding not followed (refer page 60 of Gov Part 2).

Since these Assessments are Expired at the login date), these Assessments should not be listed to Task User, and a separate list should show under "Assessments Expired" and "Unanswered Questions and Tasks".

CHECK AGAIN

**Process Control Ref**

**GCA-01E**

**Process Flow**

- The Task Owner to whom the assessment applies to, will receive notification for the Governance Assessment scheduled either by Internal Risk Assessor, External 3rd Party Assessor, or Self-Assessment by Process Owner.
- The Task Owner will need to acknowledge the assessment before he commences to complete it

**Use FILTER & SEARCH for Assessment Scheduled listing:**

- Filter options:
  - Show ALL 'Active' Assessment Scheduled (in chronological order – earliest to latest)
- Search Criteria:

- In case Assessment attempt was in progress and due to lapse of due time, the Assessment remained incomplete, the Assessment so attempted successfully before closing will be saved and result for only those questions attempted will be calculated. However, the Assessment attempted will move to "Assessment Result" with Status shown as "Incomplete Assessment". Result status will show as "Assessment Concluded & Result Awaited".
- Upon successful completion of Assessment, the Assessment attempted will move to "Assessment Result" with Status shown as "Assessment Completed". Result status will show as "Assessment Concluded & Result Awaited".
- In case of expiry of assessment/ unattempted assessment, it will move to "Assessment Result" with Status shown as "Assessment Expired". Result status will show as "Assessment Concluded & Result Awaited".
- Result will be announced to the Task Owners once all the assessments are complete. Performance metric such as, Level of Understanding, Heat Maps, Risk Scores, key performance indicators, etc will be updated.

FRS understanding not followed (refer page 70 of Gov Part 2).

How will the "Assessments Expired" move out of the List then???  
Please check the logic for "Incomplete Assessment" as well.

# Task User: Amir logged in

The heading states, "Assessor Name" where as there is another column with same information called "Assessor" where "Assessor Name" is mentioned.

*removed*

CHECK AGAIN

This column was supposed to show Assessment ID, but it is showing data of Assessment Temp ID

Assessment ID	Assessor Temp ID	Assessor Name	Start Date	End Date	Assessment Type
1	djkcSDJ...	Amir Kh...	20 Mar 2...	23 Mar 2...	06 Mar 2...
2	AJDBCA...	Amir Kh...	27 Mar 2...	30 Mar 2...	06 Mar 2...
3	Testing t...	Amir Kh...	01 Apr 2...	02 Apr 2...	01 Apr 2...
4	Test Me...	Amir Kh...	01 Apr 2...	02 Apr 2...	01 Apr 2...

# Task User: Amir logged in

Indeed, this Assessment was first Attempted Later, and the attempted and completed login shows as "Assessment was never attempted".

**CHECK AGAIN**

Even though this Assessment is "Expired", since it appears in this list , I tried to attempt it.  
*After Attempting , I got the "Successful" message, but this assessment doesn't move away from here after attempting, neither it is showing in "Completed Assessors" login under Assessment.*

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**Selected Assessment Details**

Competency Name: ProBuds Strategy Consulting  
Unit Location: Greater Noida  
Assessment ID: 202505654  
Assessment Name: 06.03 - Test Template  
Mapped Users: Amir Khan, Supali Dev  
Assessment Type: General  
Assessment Sub-Type: Ordinary  
Competency Category: Level of Understanding  
Assessor Name: Banesh Vardhan  
**Assessment Status: Assessment Attempt Later**  
Scheduled Frequency: 1 Weekly  
Assessment Start Date: 13 Mar 2025  
Assessment End Date: 16 Mar 2025  
Assessment Request Date: 06 Mar 2025

OK

# Task User: Supali logged in

Begin Assessment Schedule

Select Assessment Template

Drag a column header here to g

Assess... Type Na... Sub Typ...

Version ... Objectiv... Messag... Start Date ... End Date ... Assesse...

06.03 - Tes... General 1 For testing ... Please co... 20 Mar 2025 23 Mar 2025 06 Mar 2025

06.03 Mix ... P... Assessme... 1 Testing sc... Complete a... 29 Mar 2025 01 Apr 2025 29 Mar 2025

10 20 All

Page 1 of 1 (2 items) < 1 >

**Incorrect Assessor Name being shown**

**CHECK AGAIN**

Supali Dev

Testing done on 29.03.2025.  
The End Date has gone past the testing date (29.03.25), but the Assessment List still shows as "Assessment List" instead of "Completed List" and not "Incomplete List".

Greater Noida

## My Assessments

Select Assessment Template

Drag a column header

Assessments list

Version N... Objective ... Message ... Start Date ... End Date ... Assesse...

GCT Reports

GCA Reports

Document Awareness

Begin Assessment

Manage assessment

**My Assessments**

Assessment Result

CHECK AGAIN

Level of Und...	Banesh Vard...	1	For testing o...	Please comp...	13 Mar 2025	16 Mar 2025	06 Mar 2025
Practical Kn...	Banesh Vard...	1	Testing sche...	Complete all ...	29 Mar 2025	01 Apr 2025	06 Mar 2025

Page 1 of 1 (2 items) < 1 >

# Risk Assessor: Banesh logged in

Monitored Assessments

Select Scheduled Assessment

Incorrect Assessment selected, yet it is not in the result window.

CHECK AGAIN

Start Date	End Date	Name of Assess...	Created Date	status			
13 Mar 2025	16 Mar 2025	06.03 - Test Template	06 Mar 2025	Assessment Attemp...			
20 Mar 2025	23 Mar 2025	06.03 - Test Template	06 Mar 2025	Assessment Schedu...			
27 Mar 2025	30 Mar 2025	06.03 - Test Template	06 Mar 2025	Assessment Schedu...			
03 Apr 2025	06 Apr 2025	06.03 - Test Template	06 Mar 2025	Assessment Schedu...			
internal One time	Kavya	202586620	29 Mar 2025	01 Apr 2025	06.03 Mix Template ...	29 Mar 2025	Assessment Attemp...

Manage assessment

My Assessments

Monitored Assessment

10 20 All

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