GOVERNANCE CONTROL

&

RISK MANAGEMENT

UNDERSTANDING & CUSTOMIZATION REQUIREMENTS

GOVERNANCE & RISK MANAGEMENT APPLICATION
[GRMA]

DEVELOPMENT STAGE

GOVERNANCE MODULE

ProBuds
Strategy Consulting
Consulting | Compliance | Risk | Management

eCompliance
COMPLETE COMPLIANCE ECO SYSTEM

LABOUR + INDUSTRIAL COMPLIANCES

FINANCIAL COMPLIANCES

LEGAL DIARY

DOCUMENT MANAGEMENT

EVENT BASED COMPLIANCES

Verify

Accord

ISO 27001:2013

ISO 9001

GOVERNANCE REPORTS & DASHBOARDS

PART 1

GOVERNANCE CONTROL REPORTS

1 | **Applicable to Content Controller/ Content Manager**

★ - Mandatory Headers   ✚ - Optional Headers   📄 PDF 📊 X 📄 CSV - Export Options

Report Name: List of Published Documents (Depository)

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status

Optional Headers
± Date of Publishing
± Document Last Edited on
± Document Review Frequency
± Document Confidentiality
± Nature of Document
± Authority Type
± Authority Name
± Document Review Status
± Document Internal Number
± Document Process Owner
± Document Approver
± Document Effective Date
± No. of Attachments
± Indicative Reading Time
± Publisher Comments
± Document Linking

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	
- Acknowledgement Date	
- Reading Date	
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	✔
• Status:	✔
- Document Status	✔
- Review Status	✔
- Acknowledgement Status	
- Accessibility Status	

2 | **Applicable to Content Controller/ Content Manager**

⭐ **- Mandatory Headers**   ➕ **- Optional Headers**   📄PDF 📊Excel 📋CSV **- Export Options**

Report Name: List of Discarded Drafts

Mandatory Headers	Optional Headers
* Document ID	
* Title of Document	
* Sub-Title of Document	
* Document Type	
* Document Category	
* Document Sub-Category	
* Date of Discard	
* Discarded By	
* Document Status	

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	
- Internal Doc No	
- Publisher Name	
- Process Owner	
- Approver Name	
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	
- Effective Date	
- Discard Date	✔
- Disable Date	
- Acknowledgement Date	
- Reading Date	
• Nature of Document	
• Authority Type > Authority Name	
• Document Confidentiality	
• Document Review Frequency	
• Status:	✔
- Document Status	✔
- Review Status	
- Acknowledgement Status	
- Accessibility Status	

3 **Applicable to Content Controller/ Content Manager**

★ - Mandatory Headers   ➕ - Optional Headers   PDF 📊 CSV - Export Options

Report Name: List of Document Drafts Saved

Mandatory Headers	Optional Headers
* Document ID	
* Title of Document	
* Sub-Title of Document	
* Document Type	
* Document Category	
* Document Sub-Category	
* Document Last Edited on	
* Last Updated By	
* Document Status	

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	
- Internal Doc No	
- Publisher Name	
- Process Owner	
- Approver Name	
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	
Based on:	
- Publishing Date	
- Effective Date	
- Discard Date	
- Disable Date	
- Acknowledgement Date	
- Reading Date	
• Nature of Document	
• Authority Type > Authority Name	
• Document Confidentiality	
• Document Review Frequency	
• Status:	✔
- Document Status	✔
- Review Status	
- Acknowledgement Status	
- Accessibility Status	

4 Applicable to Content Controller/ Content Manager

★ - Mandatory Headers   ➕ - Optional Headers   📄PDF 📊XLS 📄CSV - Export Options

Report Name: List of Published Document Versioning

Mandatory Headers	Optional Headers	Filter Options	Applicable
* Document ID	± Date of Publishing	• Free Text Search	✔
* Version Control No.	± Document Last Edited on	- Title of Document	✔
* Title of Document	± Document Review Frequency	- Sub-Title of Document	✔
* Sub-Title of Document	± Document Confidentiality	- Objective	✔
* Document Type	± Nature of Document	- Keywords	✔
* Document Category	± Authority Type	- Internal Doc No	✔
* Document Sub-Category	± Authority Name	- Publisher Name	✔
* Name of Publisher	± Document Review Status	- Process Owner	✔
* Document Status	± Document Internal Number	- Approver Name	✔
* Date of Last Version Change	± Document Process Owner	• Doc Type > Category > Sub-Category	✔
* Last Updated By	± Document Approver	• Date Range: (From) ____ (To) _____ (Default: past 30 days)	✔
* No. of Versions	± Latest Effective Date	Based on:	
	± No. of Attachments	- Publishing Date	✔
	± Indicative Reading Time	- Effective Date	✔
	± Publisher Comments	- Discard Date	
	± Document Linking	- Disable Date	
		- Acknowledgement Date	
		- Reading Date	
		• Nature of Document	✔
		• Authority Type > Authority Name	✔
		• Document Confidentiality	✔
		• Document Review Frequency	✔
		• Status:	✔
		- Document Status	✔
		- Review Status	✔
		- Acknowledgement Status	
		- Accessibility Status	

5 | **Applicable to Content Controller/ Content Manager**

★ - Mandatory Headers   ✚ - Optional Headers   📄PDF 📊Excel 📄CSV - Export Options

Report Name: List of Disabled Published Documents

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Date of Disable
* Disabled By
* Reason to Disable

Optional Headers
± Date of Publishing
± Document Last Edited on
± Document Review Frequency
± Document Confidentiality
± Nature of Document
± Authority Type
± Authority Name
± Document Review Status
± Document Internal Number
± Document Process Owner
± Document Approver
± Latest Effective Date
± No. of Attachments
± Indicative Reading Time
± Publisher Comments
± Document Linking

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	✔
- Acknowledgement Date	
- Reading Date	
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	✔
• Status:	✔
- Document Status	✔
- Review Status	
- Acknowledgement Status	
- Accessibility Status	

6 Applicable to Content Controller/ Content Manager

⭐ - Mandatory Headers ➕ - Optional Headers

📄PDF 📊Excel 📄CSV - Export Options

Report Name: List of Published Document Review Status

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Document Review Frequency
* Document Review Status
* No. of Days Remaining to Review

Optional Headers
± Date of Publishing
± Document Last Edited on
± Document Confidentiality
± Nature of Document
± Authority Type
± Authority Name
± Document Internal Number
± Document Process Owner
± Document Approver
± Latest Effective Date
± No. of Attachments
± Indicative Reading Time
± Publisher Comments
± Document Linking

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	
- Acknowledgement Date	
- Reading Date	
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	✔
• Status:	✔
- Document Status	✔
- Review Status	✔
- Acknowledgement Status	
- Accessibility Status	

7a

Applicable to Content Controller/ Content Manager

★ - Mandatory Headers

➕ - Optional Headers

📄 PDF 📊 Excel 📋 CSV - Export Options

Report Name: List of Acknowledgement Requested Documents

1st LEVEL REPORT

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Acknowledgement Requested?
* Acknowledgement Due Date
* No. of Days Remaining to Acknowledge

If the Acknowledgement has been requested, **Link to open 2nd level of Report may be provided for 'Download' purposes**, else option to open/ download 2nd Level is not needed

Optional Headers
± Date of Publishing
± Document Last Edited on
± Document Confidentiality
± Nature of Document
± Authority Type
± Authority Name
± Document Internal Number
± Document Process Owner
± Document Approver
± Latest Effective Date
± No. of Attachments
± Indicative Reading Time
± Publisher Comments
± Document Linking

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	
- Acknowledgement Date	✔
- Reading Date	
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	
• Status:	✔
- Document Status	✔
- Review Status	
- Acknowledgement Status	✔
- Accessibility Status	✔

7b

Applicable to Content Controller/ Content Manager

⭐ - Mandatory Headers

✚ - Optional Headers

PDF X CSV - Export Options

Report Name: List of Acknowledgement Requested Documents

2nd LEVEL REPORT

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Acknowledgement Status
* Company Name
* Location Name
* Name of User
* Email ID
* Due Date of Acknowledgement
* Date of Acknowledgement
* Time Taken to Acknowledge
* Accessibility Status

Sub Tasks: Governance Control Reports

GGT-01A

8a

Applicable to Content Controller/ Content Manager

⭐ - Mandatory Headers

➕ - Optional Headers

PDF | Excel | CSV - Export Options

Report Name: List of Document Accessibility Status

1st LEVEL REPORT

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Accessibility Available?

Optional Headers
± Date of Publishing
± Document Last Edited on
± Document Confidentiality
± Nature of Document
± Authority Type
± Authority Name
± Document Internal Number
± Document Process Owner
± Document Approver
± Latest Effective Date
± No. of Attachments
± Indicative Reading Time
± Publisher Comments
± Document Linking

If the Accessibility is Available, **Link to open 2nd level of Report may be provided for 'Download' purposes**, else option to open/ download 2nd Level is not needed

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	
- Acknowledgement Date	✔
- Reading Date	
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	
• Status:	✔
- Document Status	✔
- Review Status	
- Acknowledgement Status	✔
- Accessibility Status	✔

8b Applicable to Content Controller/ Content Manager

⭐ - Mandatory Headers   ➕ - Optional Headers   📄PDF 📊XLS CSV - Export Options

Report Name: List of Document Accessibility Status

2ⁿᵈ LEVEL REPORT

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Acknowledgement Status
* Company Name

Mandatory Headers
* Company Name
* Location Name
* Name of User
* Email ID
* Due Date of Acknowledgement
* Date of Acknowledgement
* Time Taken to Acknowledge
* Accessibility Status
* Indicative Reading Time
* Date of Reading Completed On
* Time Taken to Read the Document
* Accessibility User Permissions

9a | **Applicable to Content Controller/ Content Manager**

⭐ **- Mandatory Headers**   ➕ **- Optional Headers**   📄📊 CSV **- Export Options**

Report Name: List of Document Access Mapping Status

1st LEVEL REPORT

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Mapped Company Name
* Mapped Location Name
* No. of Users

Optional Headers
± Date of Publishing
± Document Last Edited on
± Document Confidentiality
± Nature of Document
± Authority Type
± Authority Name
± Document Internal Number
± Document Process Owner
± Document Approver
± Latest Effective Date
± No. of Attachments
± Indicative Reading Time
± Publisher Comments
± Document Linking

If the No. of Users is Available, **Link to open 2nd level of Report may be provided for 'Download' purposes**, else option to open/ download 2nd Level is not needed

Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	
- Acknowledgement Date	
- Reading Date	
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	
• Status:	✔
- Document Status	✔
- Review Status	
- Acknowledgement Status	
- Accessibility Status	

Sub Tasks: Governance Control Reports

9b | **Applicable to Content Controller/ Content Manager**

⭐ **- Mandatory Headers**   ➕ **- Optional Headers**   📄 📊 📄 **- Export Options**

Report Name: List of Document Access Mapping Status

2nd LEVEL REPORT

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Name of Publisher
* Document Status
* Mapping Status
* Company Name
* Location Name
* Name of User
* Email ID
* Date of Mapping
* Accessibility User Permissions

10

Applicable to Task Owner

★ **- Mandatory Headers**

✚ **- Optional Headers**

📄 PDF | 📊 Excel | 📄 CSV **- Export Options**

Report Name: List of Published Documents in Repository

Mandatory Headers
* Document ID
* Version Control No.
* Title of Document
* Sub-Title of Document
* Document Type
* Document Category
* Document Sub-Category
* Acknowledgement Status
* Date of Acknowledgement
* Company Name
* Location Name
* Document Effective Date
* Accessibility Status

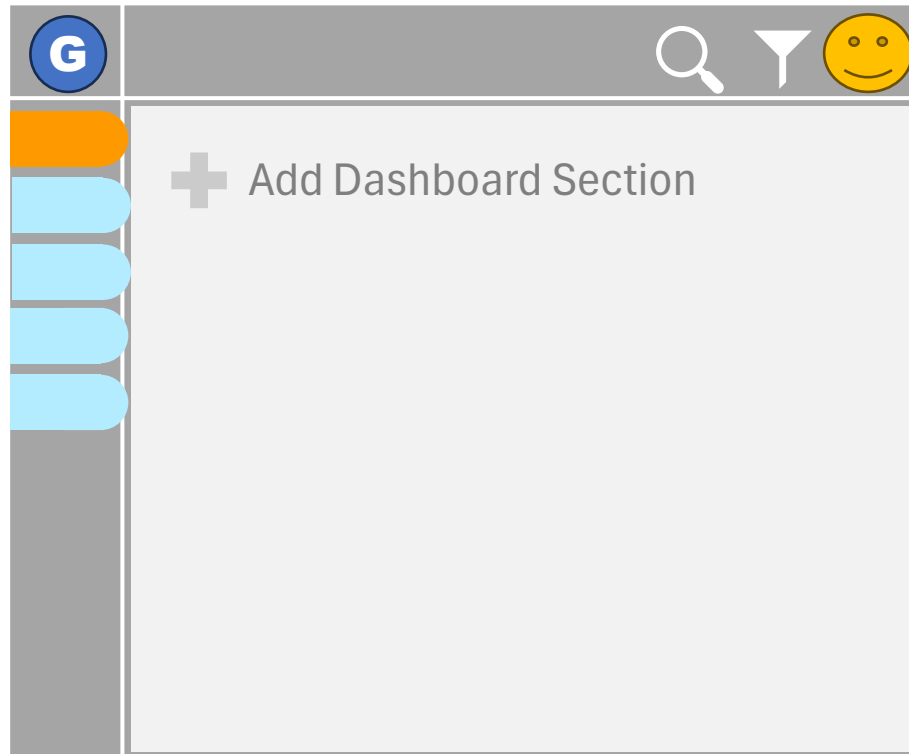| Optional Headers |
|---|
| ± Name of Publisher |
| ± Date of Publishing |
| ± Document Last Edited on |
| ± Document Internal Number |
| ± Document Confidentiality |
| ± Nature of Document |
| ± Authority Type |
| ± Authority Name |
| ± Document Process Owner |
| ± Document Approver |
| ± Publisher Comments |
| ± No. of Attachments |
| ± Indicative Reading Time |
| ± Date of Reading Completed On |
| ± Time Taken to Read the Document |
| ± Accessibility User Permissions |

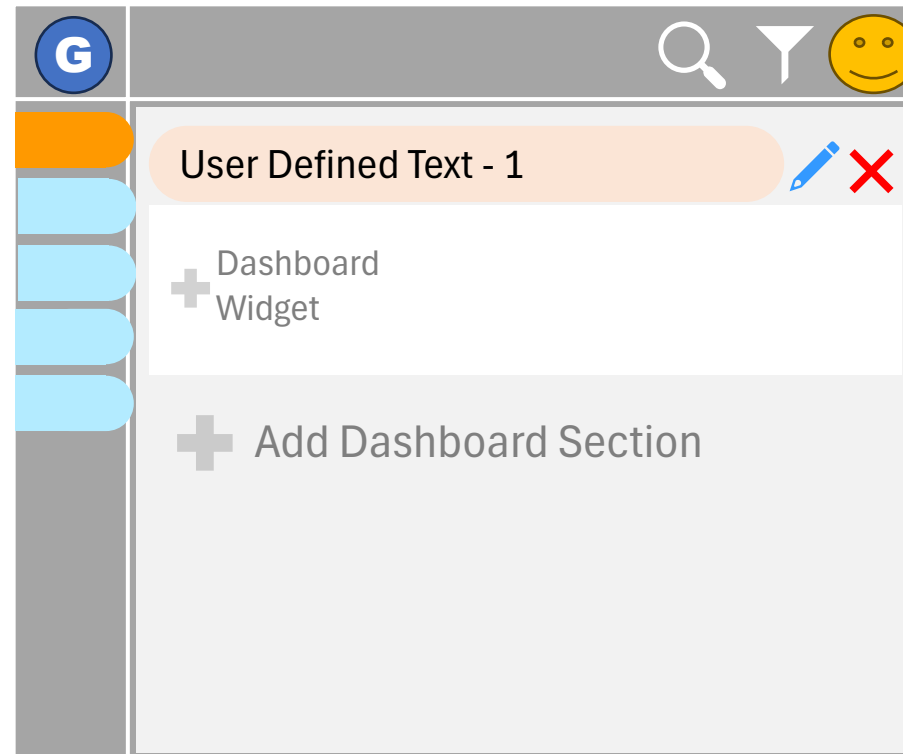| Filter Options	Applicable
• Free Text Search	✔
- Title of Document	✔
- Sub-Title of Document	✔
- Objective	✔
- Keywords	✔
- Internal Doc No	✔
- Publisher Name	✔
- Process Owner	✔
- Approver Name	✔
• Doc Type > Category > Sub-Category	✔
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	
- Acknowledgement Date	✔
- Reading Date	✔
• Nature of Document	✔
• Authority Type > Authority Name	✔
• Document Confidentiality	✔
• Document Review Frequency	
• Status:	✔
- Document Status	
- Review Status	
- Acknowledgement Status	✔
- Accessibility Status	✔

GOVERNANCE REPORTS & DASHBOARDS

PART 2
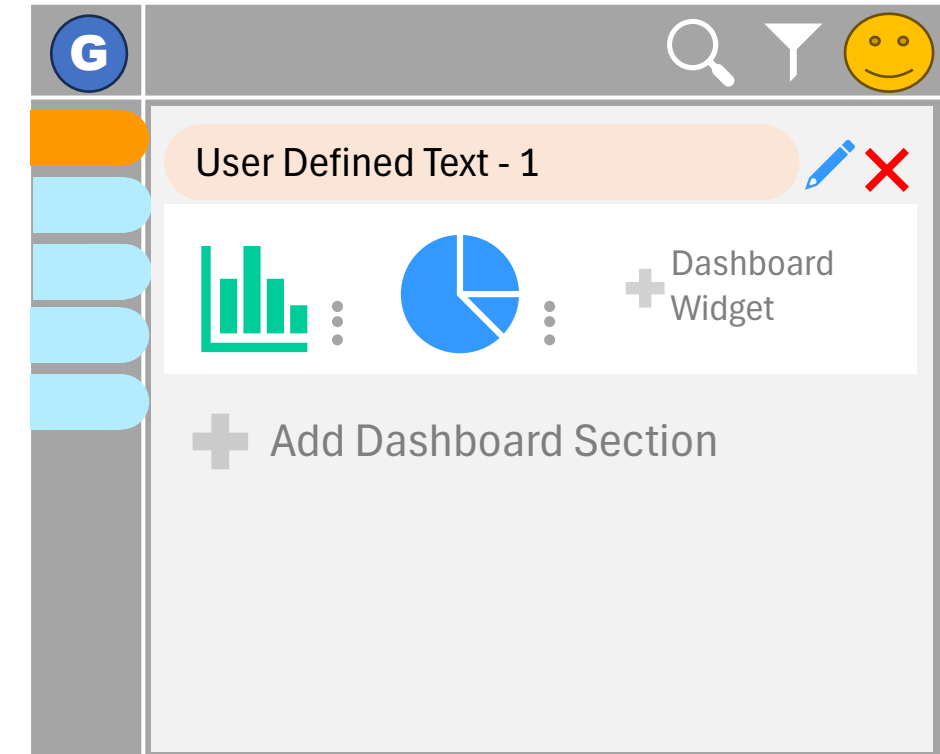
GOVERNANCE CONTROL DASHBOARDS

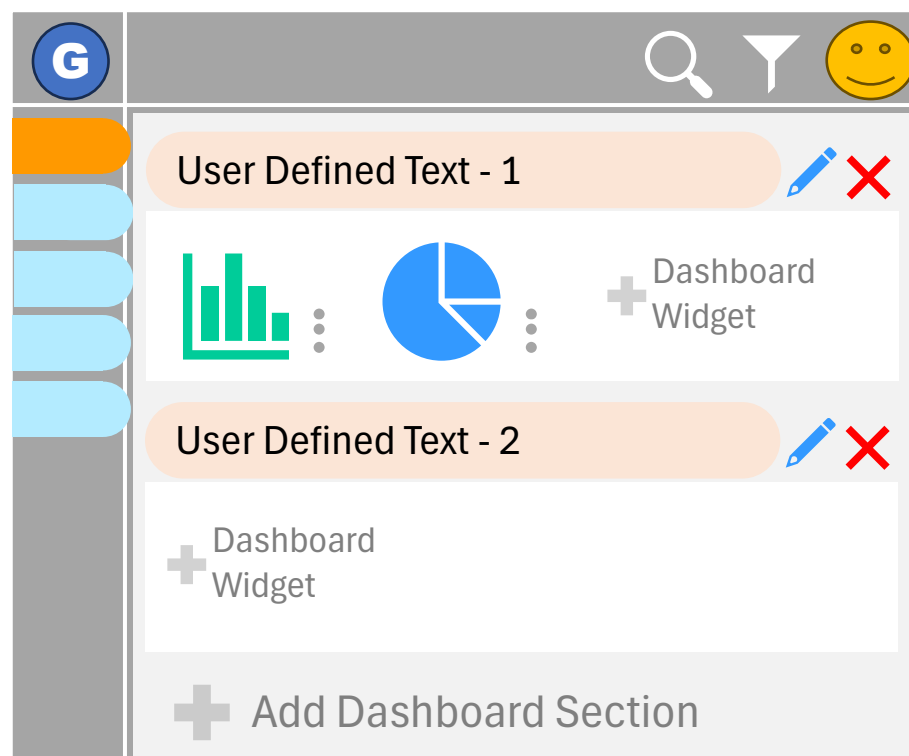# Sub Tasks: Dashboard Template Design

0. Default Template Window

Add Dashboard Section

1. When Section Text is added

User Defined Text - 1

Dashboard Widget

Add Dashboard Section

2. When Dashboard Widget is added

User Defined Text - 1

Dashboard Widget

Add Dashboard Section

3. When another Section Text is added

User Defined Text - 1

Dashboard Widget

User Defined Text - 2

Dashboard Widget

Add Dashboard Section

3. When another Dashboard Widget is added

User Defined Text - 1

Dashboard Widget

User Defined Text - 2

22

Dashboard Widget

Add Dashboard Section
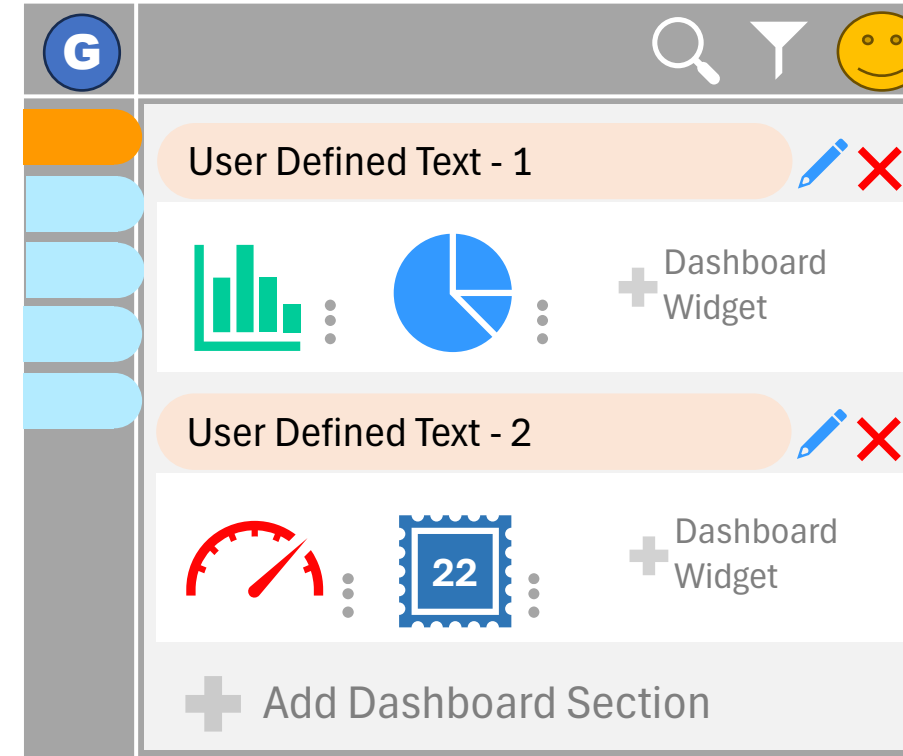
Follow more for List of Dashboard Widgets

DASHBOARDS - Published Documents

- 22 * Total Depository List - Summary
- * Total Depository List – Doc Type > Doc Category > Sub-Category
- * Total Depository List – Document Confidentiality
- * Total Depository List – Authority Type > Authority Name
- * Total Depository List – Nature of Document
- * Total Depository List – Average Indicative Reading Time

DASHBOARDS - Saved Drafts

- 22 * Saved Drafts - Summary
- * Saved Drafts – Doc Type > Doc Category > Sub-Category

DASHBOARDS - Discarded Drafts

- 22 * Discarded Drafts - Summary
- * Discarded Drafts – Doc Type > Doc Category > Sub-Category

Additional Filter will be required as option

Added in Last <7, 15, 30, 60, 90, 120> Days

DASHBOARDS - Newly Added Documents

- 22 * Newly Added Documents – Summary
- * Newly Added Documents – Doc Type > Doc Category > Sub-Category
- * Newly Added Documents – Document Confidentiality
- * Newly Added Documents – Authority Type > Authority Name
- * Newly Added Documents – Nature of Document
- * Newly Added Documents – Average Indicative Reading Time

Additional Filter will be required as option

Added in Last <7, 15, 30, 60, 90, 120> Days

DASHBOARDS - Consolidated Acknowledgement Request Status

- * Acknowledgement Request Status – Summary (Total Requested vs Total Acknowledged)
- * Acknowledgement Request Status – Doc Type > Doc Category > Sub-Category (% of completion)

Common Filter Options | Applicable

- Date Range: (From) _____ (To) _____ (Default: past 30 days) ✔

  Based on:
  - Publishing Date ✔
  - Effective Date ✔
  - Discard Date ✔
  - Disable Date ✔
  - Acknowledgement Date ✔

DASHBOARDS - Disabled Documents

- 22 * Disabled Documents - Summary
- * Disabled Documents – Doc Type > Doc Category > Sub-Category
- * Disabled Documents – Document Confidentiality
- * Disabled Documents – Authority Type > Authority Name
- * Disabled Documents – Nature of Document

DASHBOARDS - Document Review Frequency

- * Total Documents – with Review Status > Review Frequency
- * Total Documents – with Review Frequency > Review Status

DASHBOARDS - Published Documents

- * Total Depository List - Summary
- * Total Depository List – Doc Type > Doc Category > Sub-Category
- * Total Depository List – Document Confidentiality
- * Total Depository List – Authority Type > Authority Name
- * Total Depository List – Nature of Document
- * Total Depository List – Average Indicative Reading Time

DASHBOARDS - Disabled Documents

- * Disabled Documents - Summary
- * Disabled Documents – Doc Type > Doc Category > Sub-Category
- * Disabled Documents – Document Confidentiality
- * Disabled Documents – Authority Type > Authority Name
- * Disabled Documents – Nature of Document

Additional Filter will be required as option

Added in Last <7, 15, 30, 60, 90, 120> Days

DASHBOARDS - Newly Added Documents

- * Newly Added Documents – Summary
- * Newly Added Documents – Doc Type > Doc Category > Sub-Category
- * Newly Added Documents – Document Confidentiality
- * Newly Added Documents – Authority Type > Authority Name
- * Newly Added Documents – Nature of Document
- * Newly Added Documents – Average Indicative Reading Time

DASHBOARDS - Document Review Frequency

- * Total Documents – with Review Status > Review Frequency
- * Total Documents – with Review Frequency > Review Status

Common Filter Options	Applicable
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Discard Date	
- Disable Date	✔
- Acknowledgement Date	

DASHBOARDS
- Published Documents (as per access mapping)

* Total Repository List - Summary

* Total Repository List – Doc Type > Doc Category > Sub-Category

* Total Repository List – Document Confidentiality

* Total Repository List – Authority Type > Authority Name

* Total Repository List – Nature of Document

* Total Repository List – Average Indicative Reading Time
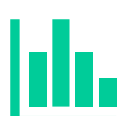
Additional Filter will be required as option

Added in Last <7, 15, 30, 60, 90, 120> Days

DASHBOARDS
- Acknowledgement Requested

* Acknowledgement Request Status – Summary (Total Requested vs Total Acknowledged)

* Acknowledgement Request Status – Doc Type > Doc Category > Sub-Category (% of completion)

Additional Filter will be required as option

Added in Last <7, 15, 30, 60, 90, 120> Days

DASHBOARDS
- Newly Added Documents (as per access mapping)

* Newly Added Documents – Summary

* Newly Added Documents – Doc Type > Doc Category > Sub-Category

* Newly Added Documents – Document Confidentiality

* Newly Added Documents – Authority Type > Authority Name

* Newly Added Documents – Nature of Document

* Newly Added Documents – Average Indicative Reading Time

Additional Filter will be required as option

Added in Last <7, 15, 30, 60, 90, 120> Days

DASHBOARDS
- Average Reading Time

* Average Reading Time – Summary (Indicative vs Actual)

* Average Reading Time – Doc Type > Doc Category > Sub-Category (% of completion)

Common Filter Options	**Applicable**
• Date Range: (From) _____ (To) _____ (Default: past 30 days)	✔
Based on:	
- Publishing Date	✔
- Effective Date	✔
- Acknowledgement Date	✔
- Reading Date	✔

DASHBOARDS
- Document Pending Reading

* Total Documents – Summary with Pending Status

* Total Documents – Doc Type > Doc Category > Sub-Category with Pending Status