



GOVERNANCE CONTROL & RISK MANAGEMENT

UNDERSTANDING & CUSTOMIZATION REQUIREMENTS

GOVERNANCE & RISK MANAGEMENT APPLICATION
[GRMA]
DEVELOPMENT STAGE

**GOVERNANCE
MODULE**

ProBuds
Strategy Consulting
Consulting | Compliance | Risk | Management



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GOVERNANCE REPORTS & DASHBOARDS

PART 3

GOVERNANCE ASSESSMENT REPORTS

Sub Tasks: Governance Assessment Reports

1

Applicable to Risk Assessor/
Process Owner/ TPA



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessment Templates

Mandatory Headers

- * Assessment Template ID
- * Assessment Template Name
- * Competency Skill Level
- * Assessment Type
- * Assessment Sub-Type
- * No. of Questions
- * Total Attempt Time
- * Name of Creator
- * Template Status

Optional Headers

- ± Date of Creation
- ± Template Last Edited on
- ± Template Last Edited by
- ± Assessment Template Description
- ± Applicability of Reference/ Explanation
- ± Applicability of Show Hint
- ± No. of times Template used
- ± Template last scheduled for Assessment

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name
- Evaluation under Doc Type > Category > Sub-Category
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date ✓
 - Last Edited Date ✓
 - Disable Date
 - Assessment Due Date
 - Assessment Completion Date
 - Acknowledgement Date
 - Assessment Request Date
- Assessment Schedule Frequency
- Assessment Temp Type > Sub-Type ✓
- Type of Assessment Scheduled
- Competency Skill Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
- Assessment Scheduled Status:
 - Due
 - Expired
 - Completed
 - Incomplete
 - In Progress
- Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

2

Applicable to Risk Assessor



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessment Templates Disabled

Mandatory Headers

- * Assessment Template ID
- * Assessment Template Name
- * Competency Skill Level
- * Assessment Type
- * Assessment Sub-Type
- * No. of Questions
- * Total Attempt Time
- * Name of Creator
- * Template Status
- * Date of Disable
- * Disabled By
- * Reason to Disable

Optional Headers

- ± Date of Creation
- ± Template Last Edited on
- ± Template Last Edited by
- ± Assessment Template Description
- ± Applicability of Reference/ Explanation
- ± Applicability of Show Hint
- ± No. of times Template used
- ± Template last scheduled for Assessment

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name
- Evaluation under Doc Type > Category > Sub-Category
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date ✓
 - Last Edited Date ✓
 - Disable Date ✓
 - Assessment Due Date
 - Assessment Completion Date
 - Acknowledgement Date
 - Assessment Request Date
- Assessment Schedule Frequency
- Assessment Temp Type > Sub-Type ✓
- Type of Assessment Scheduled
- Competency Skill Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
- Assessment Scheduled Status:
 - Due
 - Expired
 - Completed
 - Incomplete
 - In Progress
- Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

3a

Applicable to Risk Assessor



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessment Templates Access Mapping

1st LEVEL REPORT

Mandatory Headers

- * Assessment Template ID
- * Assessment Template Name
- * Competency Skill Level
- * Assessment Type
- * Assessment Sub-Type
- * No. of Questions
- * Total Attempt Time
- * Name of Creator
- * Template Status
- * Mapped Company Name
- * Mapped Location Name
- * No. of Mapped Assessors

Optional Headers

- ± Date of Creation
- ± Template Last Edited on
- ± Template Last Edited by
- ± Assessment Template Description
- ± Applicability of Reference/ Explanation
- ± Applicability of Show Hint
- ± No. of times Template used
- ± Template last scheduled for Assessment

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name
- Evaluation under Doc Type > Category > Sub-Category
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date ✓
 - Last Edited Date ✓
 - Disable Date
 - Assessment Due Date
 - Assessment Completion Date
 - Acknowledgement Date
 - Assessment Request Date
- Assessment Schedule Frequency
- Assessment Temp Type > Sub-Type ✓
 - Type of Assessment Scheduled
 - Competency Skill Level ✓
 - Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
 - Assessment Scheduled Status:
 - Due
 - Expired
 - Completed
 - Incomplete
 - In Progress
- Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

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

3b

Applicable to Risk Assessor



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessment Templates Access Mapping

2nd LEVEL REPORT

Mandatory Headers

- * Assessment Template ID
- * Assessment Template Name
- * Competency Skill Level
- * Assessment Type
- * Assessment Sub-Type
- * No. of Questions
- * Total Attempt Time
- * Name of Creator
- * Template Mapping Status
- * Mapped Company Name
- * Mapped Location Name
- * Name of User
- * Email ID
- * Date of Mapping
- * Accessibility User Permissions

4a

Applicable to Risk Assessor/
Process Owner/ TPA



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Acknowledgement Requested Assessments

1st LEVEL REPORT

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Total Attempt Time
- * Name of Assessor
- * Assessment Status
- * No. of Users
- * Assessment Due Date

Optional Headers

- ± Date of Request
- ± Assessment Schedule Frequency
- ± End Repeat Date (if applicable)
- ± Assessment Start Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Name of TPA (if applicable)
- ± Assessment Type
- ± Assessment Sub-Type

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled ✓
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name ✓
- Evaluation under Doc Type > Category > Sub-Category ✓
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date
 - Last Edited Date
 - Disable Date
 - Assessment Due Date ✓
 - Assessment Completion Date
 - Acknowledgement Date ✓
 - Assessment Request Date ✓
- Assessment Schedule Frequency ✓
- Assessment Temp Type > Sub-Type ✓
- Type of Assessment Scheduled ✓
- Competency Skill Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
- Assessment Scheduled Status:
 - Due ✓
 - Expired
 - Completed
 - Incomplete
 - In Progress
- Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

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

Sub Tasks: Governance Assessment Reports

4b

Applicable to Risk Assessor/
Process Owner/ TPA



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Acknowledgement Requested Assessments

Sheet 1 – Mapped Users

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Total Attempt Time
- * Name of Assessor
- * Name of TPA (if applicable)
- * Assessment Status
- * Assessment Acknowledgement Status
- * Assessment Due Date
- * Company Name
- * Location Name
- * Name of User
- * Email ID
- * Date of Acknowledgement
- * Time Taken to Acknowledge

Sheet 2 – Exempted Users

Mandatory Headers

- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department
- * Reason for Exemption from Assessment

2nd LEVEL REPORT

Sub Tasks: Governance Assessment Reports

5

Applicable to Task Owner



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Filter Options

Applicable

- | Filter Options | Applicable |
|---|------------|
| • Free Text Search | ✓ |
| - Assessment Template Name | ✓ |
| - Assessment Template Description | ✓ |
| - Objective of Assessment Scheduled | ✓ |
| - Keywords | ✓ |
| - Assessment Template ID | |
| - Created By | |
| - Edited By | |
| - Assessor Name | ✓ |
| • Evaluation under Doc Type > Category > Sub-Category | ✓ |
| • Date Range: (From) ____ (To) ____ (Default: past 30 days) | ✓ |
| Based on: | |
| - Creation Date | |
| - Last Edited Date | |
| - Disable Date | |
| - Assessment Due Date | ✓ |
| - Assessment Completion Date | |
| - Acknowledgement Date | ✓ |
| - Assessment Request Date | |
| • Assessment Schedule Frequency | |
| • Assessment Temp Type > Sub-Type | ✓ |
| • Type of Assessment Scheduled | ✓ |
| • Competency Skill Level | ✓ |
| • Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) | ✓ |
| • Assessment Scheduled Status: | |
| - Due | ✓ |
| - Expired | |
| - Completed | |
| - Incomplete | |
| - In Progress | |
| • Mitigation Action Plan Status: | |
| - Assigned | |
| - In Progress | |
| - Completed | |

Report Name: List of Assessments Scheduled with Status

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Total Attempt Time
- * Name of Assessor
- * Assessment Status
- * Assessment Due Date
- * Remaining Time Left to Attempt

Optional Headers

- ± Assessment Acknowledgement Status
- ± Date of Acknowledgement
- ± Message for Task Owner
- ± Assessment Start Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Name of TPA (if applicable)
- ± Assessment Type
- ± Assessment Sub-Type

6a

Applicable to Risk Assessor/
Process Owner/ TPA/ CRC/ Mgt



- Mandatory Headers



- Optional Headers



PDF



- Export Options

| Filter Options | Applicable |
|---|------------|
| • Free Text Search | ✓ |
| - Assessment Template Name | ✓ |
| - Assessment Template Description | ✓ |
| - Objective of Assessment Scheduled | ✓ |
| - Keywords | ✓ |
| - Assessment Template ID | ✓ |
| - Created By | ✓ |
| - Edited By | ✓ |
| - Assessor Name | ✓ |
| • Evaluation under Doc Type > Category > Sub-Category | ✓ |
| • Date Range: (From) ____ (To) ____ (Default: past 30 days) | ✓ |
| Based on: | |
| - Creation Date | |
| - Last Edited Date | |
| - Disable Date | |
| - Assessment Due Date | ✓ |
| - Assessment Completion Date | ✓ |
| - Acknowledgement Date | ✓ |
| - Assessment Request Date | |
| • Assessment Schedule Frequency | ✓ |
| • Assessment Temp Type > Sub-Type | ✓ |
| • Type of Assessment Scheduled | ✓ |
| • Competency Skill Level | ✓ |
| • Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) | ✓ |
| • Assessment Scheduled Status: | |
| - Due | ✓ |
| - Expired | ✓ |
| - Completed | ✓ |
| - Incomplete | ✓ |
| - In Progress | ✓ |
| • Mitigation Action Plan Status: | |
| - Assigned | |
| - In Progress | |
| - Completed | |

Report Name: List of Assessments Scheduled with Status

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Total Attempt Time
- * Name of Assessor
- * Assessment Status
- * No. of Users
- * Assessment End Date

Optional Headers

- ± Date of Request
- ± Assessment Schedule Frequency
- ± Assessment Start Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Name of TPA (if applicable)
- ± Assessment Type
- ± Assessment Sub-Type

1st LEVEL REPORT

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

Sub Tasks: Governance Assessment Reports

6b

Applicable to Risk Assessor/
Process Owner/ TPA/ CRC/ Mgt



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: List of Assessments Scheduled with Status

2nd LEVEL REPORT

Sheet 1 – Mapped Users

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Total Attempt Time
- * Name of Assessor
- * Name of TPA (if applicable)
- * Assessment Status
- * Date of Acknowledgement
- * Assessment Due Date
- * Assessment End Date
- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department

Sheet 2 – Exempted Users

Mandatory Headers

- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department
- * Reason for Exemption from Assessment

7a

Applicable to Risk Assessor/
Process Owner/ TPA/ CRC/ Mgt



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessments Completed with Result

1st LEVEL REPORT

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Overall Accuracy
- * Total Attempt Time
- * Avg Actual Time Taken
- * Assessment Status
- * Name of Assessor/ TPA
- * No. of Attempted Users/ Total
- * Assessment Completion Date

Optional Headers

- ± Date of Request
- ± Assessment Schedule Frequency
- ± Assessment Start Date
- ± Assessment Due Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Assessment Type
- ± Assessment Sub-Type

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled ✓
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name ✓
- Evaluation under Doc Type > Category > Sub-Category ✓
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date
 - Last Edited Date
 - Disable Date
 - Assessment Due Date ✓
 - Assessment Completion Date ✓
 - Acknowledgement Date ✓
 - Assessment Request Date
- Assessment Schedule Frequency ✓
- Assessment Temp Type > Sub-Type ✓
- Type of Assessment Scheduled ✓
- Competency Skill Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
- Assessment Scheduled Status:
 - Due ✓
 - Expired ✓
 - Completed ✓
 - Incomplete ✓
 - In Progress ✓
- Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

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

7b

Applicable to Risk Assessor/
Process Owner/ TPA/ CRC/ Mgt



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessments Completed with Result

2nd LEVEL REPORT

Sheet 1 – Subject > Topic

Sheet 2 – Competency Check Level

Sheet 3 – Question wise

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department
- * Questions Attempted/ Total
- * Total Attempt Time
- * Actual Time Taken
- * Assessment Completion Date
- * Competency Check Level (Ques)
- * Question Answered Correctly
- * Accuracy %
- * Rank/ Percentile
- * Score Indicator

This report will be
grouped as per
Subject > Topic

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department
- * Questions Attempted/ Total
- * Total Attempt Time
- * Actual Time Taken
- * Assessment Completion Date
- * Subject > Topic
- * Question Answered Correctly
- * Accuracy %
- * Rank/ Percentile
- * Score Indicator

This report will be
grouped as per
Competency Check
Level

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Question Details
- * No. of Users attempted/ Total
- * Overall Accuracy %
- * Competency Check Level (Ques)
- * Assessment Completion Date
- * Performance Indicator
- * Total Attempt Time
- * Actual Avg Time Taken

This report will be
grouped as per
Subject > Topic

8a

Applicable to Task Owner



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: List of Assessments Completed with Result

1st LEVEL REPORT

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Questions Attempted/ Total
- * Actual Time Taken
- * Assessment Status
- * Assessment Completion Date
- * Question Answered Correctly
- * Rank/ Percentile
- * **Score Indicator**
- * Assessment Remarks for Task Owner(s)
- * **Complete Performance Synopsis**

Optional Headers

- ± Total Attempt Time
- ± Name of Assessor
- ± Assessment Start Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Name of TPA (if applicable)
- ± Assessment Type
- ± Assessment Sub-Type
- ± Assessment Due Date
- ± Overall Score Awarded
- ± Key Result/ Improvement Area

If the Score Indicator 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

If the Result Synopsis is available, Link to open 3rd level of Report may be provided for 'Download' purposes, else option to open/ download 3rd Level is not needed

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled ✓
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By
 - Edited By
 - Assessor Name ✓
- Evaluation under Doc Type > Category > Sub-Category ✓
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date
 - Last Edited Date
 - Disable Date
 - Assessment Due Date ✓
 - Assessment Completion Date ✓
 - Acknowledgement Date ✓
 - Assessment Request Date
 - Assessment Schedule Frequency ✓
 - Assessment Temp Type > Sub-Type ✓
 - Type of Assessment Scheduled ✓
 - Competency Skill Level ✓
 - Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
 - Assessment Scheduled Status:
 - Due ✓
 - Expired ✓
 - Completed ✓
 - Incomplete ✓
 - In Progress ✓
 - Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

8b

Applicable to Task Owner



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: List of Assessments Completed with Result

2nd LEVEL REPORT

Sheet 1 – Subject > Topic

Sheet 2 – Competency Check Level

Sheet 3 – Question wise

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Questions Attempted/ Total
- * Total Attempt Time
- * Actual Time Taken
- * Assessment Completion Date
- * Competency Check Level (Ques)
- * Question Answered Correctly
- * Accuracy %
- * Score Indicator

This report will be grouped as per Subject > Topic

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Questions Attempted/ Total
- * Total Attempt Time
- * Actual Time Taken
- * Assessment Completion Date
- * Subject > Topic
- * Question Answered Correctly
- * Accuracy %
- * Score Indicator

This report will be grouped as per Competency Check Level

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Question Details
- * Overall Accuracy %
- * Competency Check Level (Ques)
- * Assessment Completion Date
- * Performance Indicator
- * Total Attempt Time
- * Actual Time Taken

This report will be grouped as per Subject > Topic

Sub Tasks: Governance Assessment Reports

8c

Applicable to Task Owner



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: List of Assessments Completed with Result

3rd LEVEL REPORT

Text Format to be created as per the client requirement

9a

Applicable to Risk Assessor/
Process Owner/ TPA/ CRC/ Mgt



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: Assessment Performance Indicators Analysis

1st LEVEL REPORT

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * No. of Questions
- * Overall Accuracy
- * Assessment Remarks for Task Owner(s)
- * Assessment Status
- * Name of Assessor/ TPA
- * Assessment Completion Date
- * No. of Attempted Users/ Total

Optional Headers

- ± Assessment Start Date
- ± Assessment Due Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Assessment Type
- ± Assessment Sub-Type
- ± Total Attempt Time
- ± Avg Actual Time Taken

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled ✓
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name ✓
- Evaluation under Doc Type > Category > Sub-Category ✓
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date
 - Last Edited Date
 - Disable Date
 - Assessment Due Date ✓
 - Assessment Completion Date ✓
 - Acknowledgement Date ✓
 - Assessment Request Date
 - Assessment Schedule Frequency ✓
 - Assessment Temp Type > Sub-Type ✓
 - Type of Assessment Scheduled ✓
 - Competency Skill Level ✓
 - Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
 - Assessment Scheduled Status:
 - Due ✓
 - Expired ✓
 - Completed ✓
 - Incomplete ✓
 - In Progress ✓
 - Mitigation Action Plan Status:
 - Assigned
 - In Progress
 - Completed

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

9b

Applicable to Risk Assessor/
Process Owner/ TPA/ CRC/ Mgt



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: Assessment Performance Indicators Analysis

Sheet 1 – Score Indicators

Sheet 2 – Key Improvement Indicators

Sheet 3 – Question wise

2nd LEVEL REPORT

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department
- * Questions Attempted/ Total
- * Total Attempt Time
- * Actual Time Taken
- * Assessment Completion Date
- * Question Answered Correctly
- * Key Improvement Indicators
- * Accuracy %
- * Rank/ Percentile
- * Average Score

This report will be
grouped as per
Score Indicators

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Name of User
- * User Email ID
- * User Department
- * Questions Attempted/ Total
- * Total Attempt Time
- * Actual Time Taken
- * Assessment Completion Date
- * Question Answered Correctly
- * Score Indicators
- * Accuracy %
- * Rank/ Percentile
- * Average Score

This report will be
grouped as per Key
Improvement
Indicators

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Competency Skill Level
- * Type of Assessment Scheduled
- * Company Name
- * Location Name
- * Business Function
- * Question Details
- * No. of Users attempted/ Total
- * Overall Accuracy %
- * Competency Check Level (Ques)
- * Assessment Completion Date
- * Performance Indicator
- * Total Attempt Time
- * Actual Avg Time Taken

This report will be
grouped as per
Subject > Topic

10
a

Applicable to Process Owner/
CRC/ RC/ Mgt



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: Mitigation Action Plan

1st LEVEL REPORT

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Mitigation Tracker ID
- * Mitigation Plan Start Date
- * Mitigation Requested By
- * No. of Tasks Assigned
- * No. of Tasks Completed
- * Mitigation Plan Status

Optional Headers

- ± Assessment Start Date
- ± Assessment Completion Date
- ± Person Requesting Assessment
- ± Document Type
- ± Document Category
- ± Document Sub-Category
- ± Assessment Type
- ± Assessment Sub-Type
- ± Name of Assessor/ TPA
- ± Overall Score Awarded
- ± Key Result/ Improvement Area
- ± No. of Attempted Users/ Total

Filter Options

Applicable

- Free Text Search ✓
 - Assessment Template Name ✓
 - Assessment Template Description ✓
 - Objective of Assessment Scheduled ✓
 - Keywords ✓
 - Assessment Template ID ✓
 - Created By ✓
 - Edited By ✓
 - Assessor Name ✓
- Evaluation under Doc Type > Category > Sub-Category
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date
 - Last Edited Date
 - Disable Date
 - Assessment Due Date
 - Assessment Completion Date ✓
 - Acknowledgement Date
 - Assessment Request Date
- Assessment Schedule Frequency
- Assessment Temp Type > Sub-Type ✓
- Type of Assessment Scheduled ✓
- Competency Skill Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓
- Assessment Scheduled Status:
 - Due
 - Expired
 - Completed
 - Incomplete
 - In Progress
- Mitigation Action Plan Status:
 - Assigned ✓
 - In Progress ✓
 - Completed ✓

If the No. of Tasks 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

Sub Tasks: Governance Assessment Reports

10
b

Applicable to Process Owner/
CRC/ RC/ Mgt



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: Mitigation Action Plan

2nd LEVEL REPORT

Sheet 1 – Mitigation Tasks Assigned

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Mitigation Tracker ID
- * Mitigation Plan Start Date
- * Company Name
- * Location Name
- * Business Function
- * Name of Assignee
- * Assignee Email ID
- * Mitigation Task ID
- * Mitigation Task Details
- * Assigned By
- * Management Inputs
- * Action Priority
- * Assignment Date
- * Assignment Due Date
- * Assignment Completion Date
- * Assignment Task Status

Sheet 2 – Unacknowledged Suggestions

Mandatory Headers

- * Assessment ID
- * Assessment Name
- * Mitigation Suggestion
- * Suggested By
- * Suggested on
- * Mitigation Action Status

Sub Tasks: Governance Assessment Reports

11

Applicable to CRC/ RC/ Mgt/
Leadership Team



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: Governance Assessment Certificate

3rd LEVEL REPORT



**Text Format to be created as
per the client requirement**

12
a

Applicable to Risk Assessor/ Content Controller/ Content Manager



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: Question Bank Reserve Listing

1st LEVEL REPORT

Mandatory Headers

- * Questions Created By
- * Company Name
- * Location Name
- * Department
- * No. of Questions Created
- * No. of Questions used in Assessment
- * No. of 'Active' Questions
- * Useability Factor (%)
- * Question last Created On

Optional Headers

If the No. of Questions 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 ✓
 - Question Description
 - Question Objective
 - Keywords
 - Created By ✓
 - Edited By ✓
 - Created By ✓
- Subject > Topic ✓
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date ✓
 - Last Edited Date ✓
 - Disable Date ✓
- Competency Check Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓

12
b

Applicable to Risk Assessor/ Content Controller/ Content Manager



- Mandatory Headers



- Optional Headers



- Export Options

Report Name: Question Bank Reserve Listing

2nd LEVEL REPORT

Sheet 1 – Active Questions

Mandatory Headers

- * Question ID
- * Question Description
- * Question Created By
- * Question Created On
- * Competency Check Level
- * Score Weightage
- * Question Listing Status
- * No. of Times used in Assessment
- * Estimated Time to Attempt
- * Related Subject
- * Related Topic
- * Error Reported?
- * Question last used in Assessment
- * Question last edited on

Sheet 2 – Inactive Questions

Mandatory Headers

- * Question ID
- * Question Description
- * Question Created By
- * Question Created On
- * Competency Check Level
- * Score Weightage
- * No. of Times used in Assessment
- * Question Listing Status
- * Question Disable Date

13

Applicable to All Users *except*
Task Owner



- Mandatory Headers



- Optional Headers



PDF



- Export Options

Report Name: My Question Bank Listing

Mandatory Headers

- * Question ID
- * Question Description
- * Question Created By
- * Question Created On
- * Competency Check Level
- * Score Weightage
- * Question Listing Status

Optional Headers

- ± No. of Times used in Assessment
- ± Estimated Time to Attempt
- ± Related Subject
- ± Related Topic
- ± Error Reported?
- ± Question last used in Assessment
- ± Question last edited on
- ± Keywords
- ± Objective in Assessment

Filter Options

Applicable

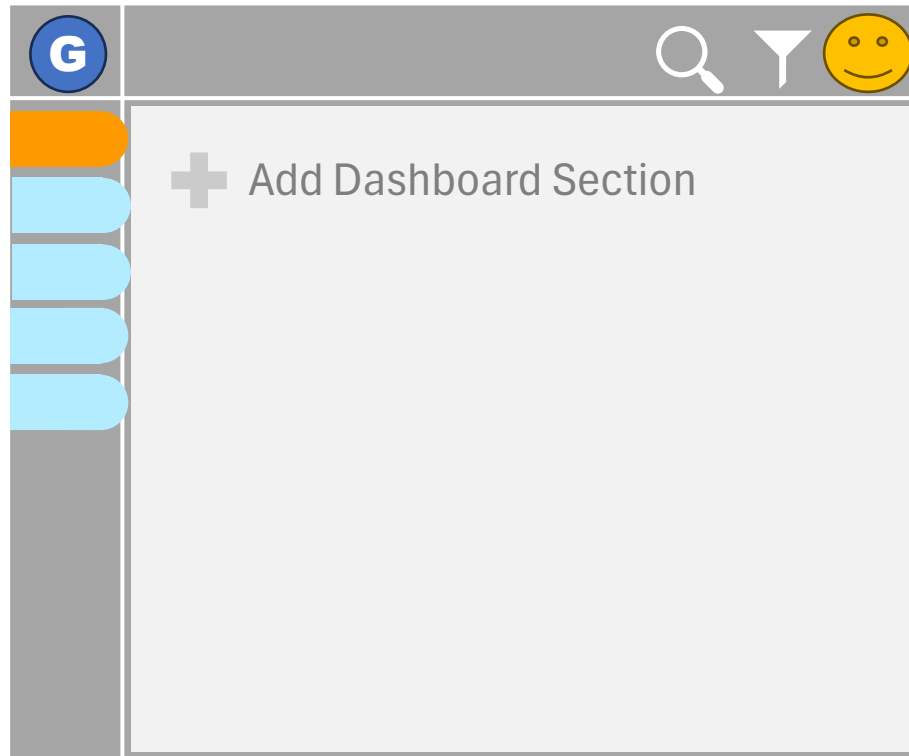
- Free Text Search ✓
 - Question Description
 - Question Objective
 - Keywords
- Created By ✓
- Edited By ✓
- Created By ✓
- Subject > Topic ✓
- Date Range: (From) ____ (To) ____ (Default: past 30 days) ✓
 - Based on:
 - Creation Date ✓
 - Last Edited Date ✓
 - Disable Date ✓
- Competency Check Level ✓
- Attempt Time Range: (From) ____ mins (To) ____ mins (Default: 1 min – 999 mins) ✓

GOVERNANCE REPORTS & DASHBOARDS

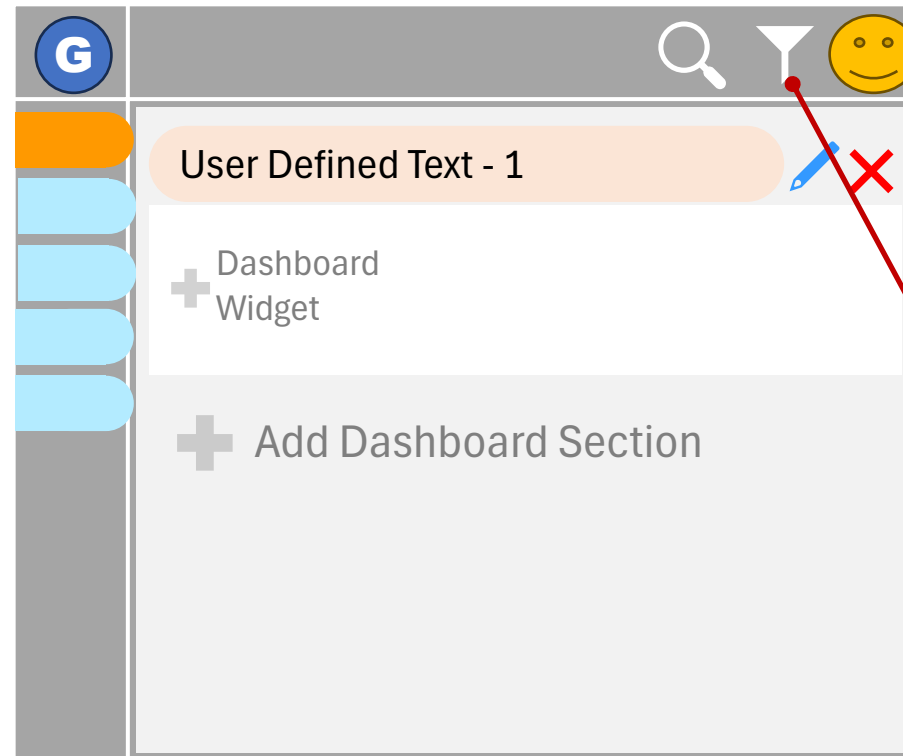
PART 4

**GOVERNANCE
ASSESSMENT
DASHBOARDS**

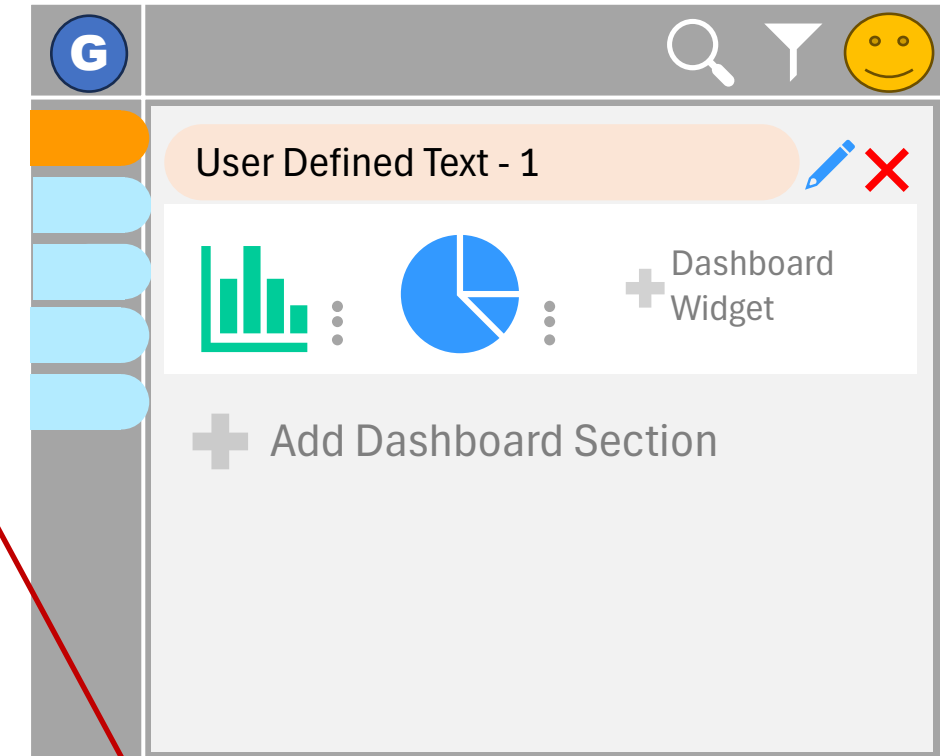
0. Default Template Window



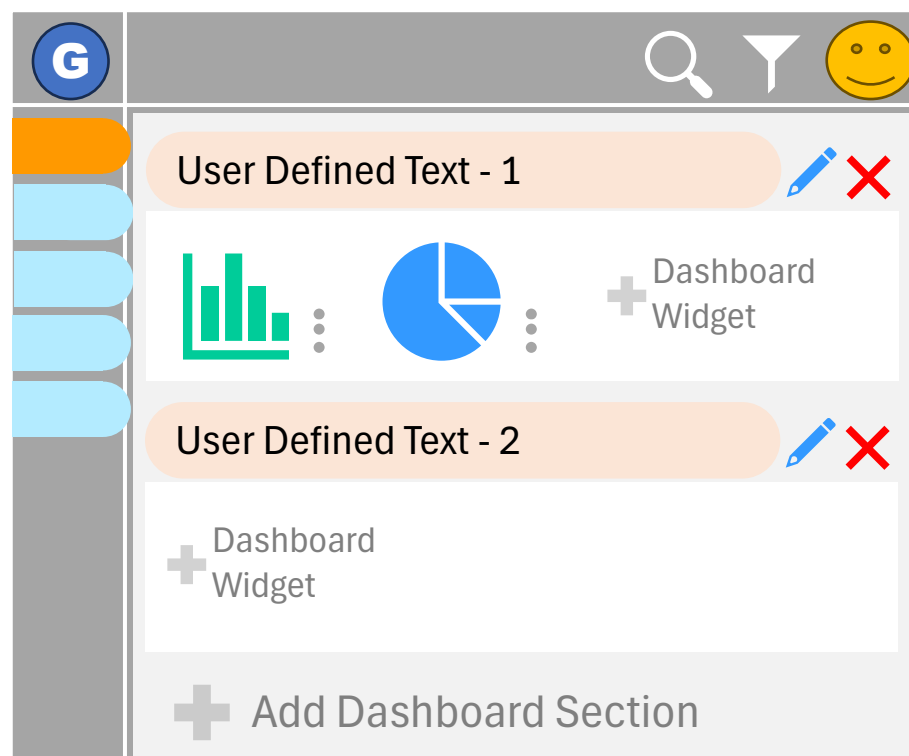
1. When Section Text is added



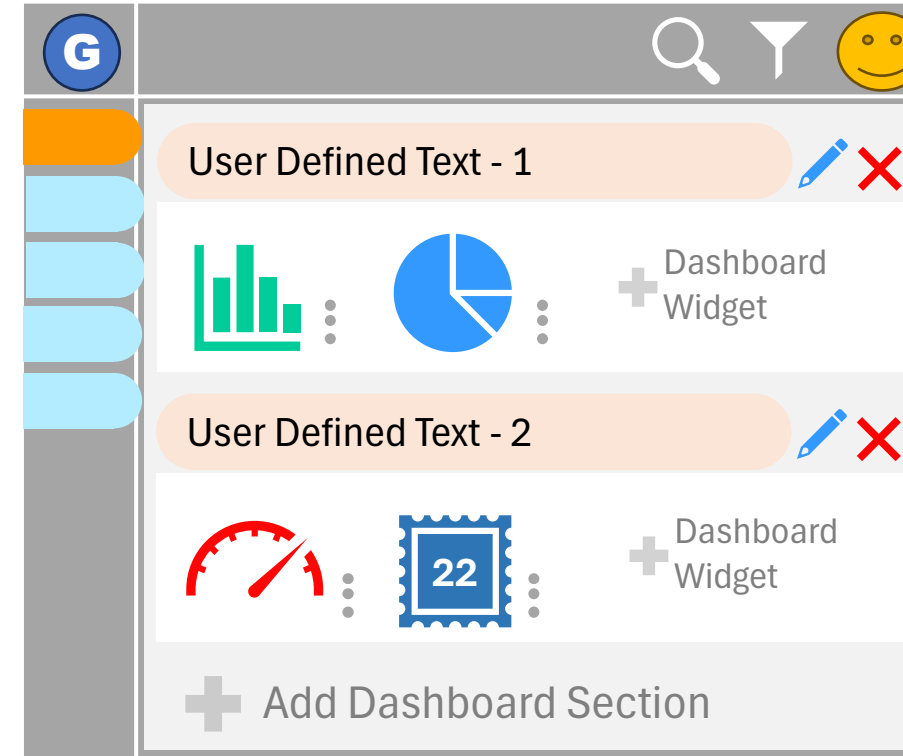
2. When Dashboard Widget is added



3. When another Section Text is added



3. When another Dashboard Widget is added



| Common Filter Options | Applicable |
|---|------------|
| • Date Range: (From) ____ (To) ____ (Default: past/ next 30 days) | ✓ |
| Based on: | |
| - Creation Date | ✓ |
| - Last Edited Date | ✓ |
| - Disable Date | ✓ |
| - Assessment Due Date | ✓ |
| - Assessment Completion Date | ✓ |
| - Acknowledgement Date | ✓ |
| - Assessment Request Date | ✓ |

Follow more for
List of
Dashboard
Widgets



DASHBOARDS
- Assessment Scheduled

| | |
|--|---|
| | * Pending Acknowledgement – Summary |
| | * Assessment – Due – Summary |
| | * Assessment – Expired – Summary |
| | * Assessment – Completed – Summary |
| | * Assessment – Incomplete – Summary |
| | * Assessment – In Progress – Summary |
| | * Pending Acknowledgement – Type of Assessment |
| | * Assessment – Due – Type of Assessment |
| | * Assessment – Expired – Type of Assessment |
| | * Assessment – Completed – Type of Assessment |
| | * Assessment – Incomplete – Type of Assessment |
| | * Assessment – In Progress – Type of Assessment |

DASHBOARDS
- Last Assessment Result

| | |
|--|---|
| | * Assessment Score – Summary |
| | * Proficiency Level – Summary (Competency Skill Level = Score Indicator) |
| | * Key Performance Indicator – Summary (Improvement Indicator) |
| | * Rank Positioning |
| | * Achiever Listing (You vs Best vs Average) |
| | * Last 5 Assessments based on Score Indicator |

Additional Filter will be required as option

In Last <5, 10, 15> Assessments

DASHBOARDS
- Assessment Performance Analysis

| | |
|--|--|
| | * Assessment Score |
| | * Proficiency Level (Competency Skill Level = Score Indicator) |
| | * Key Performance Indicator |
| | * Rank Positioning |
| | * Achiever Listing (You vs Best vs Average) |

DASHBOARDS

- Assessment Scheduled



* Request for Assessment – Summary



* Assessment – Due – Summary



* Assessment – Expired – Summary



* Assessment – Completed – Summary



* Assessment – Incomplete – Summary



* Assessment – In Progress – Summary



* Request for Assessment – Type of Assessment



* Assessment – Due – Type of Assessment



* Assessment – Expired – Type of Assessment



* Assessment – Completed – Type of Assessment



* Assessment – Incomplete – Type of Assessment



* Assessment – In Progress – Type of Assessment

DASHBOARDS

- Assessment Scheduled



* Assessment – Due – Doc Type > Doc Category > Sub-Category



* Assessment – Expired – Doc Type > Doc Category > Sub-Category



* Assessment – Completed – Doc Type > Doc Category > Sub-Category



* Assessment – Incomplete – Doc Type > Doc Category > Sub-Category



* Assessment – In Progress – Doc Type > Doc Category > Sub-Category



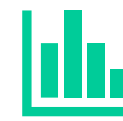
* Assessment – Due – Template Type > Sub-Type



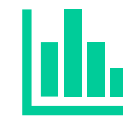
* Assessment – Expired – Template Type > Sub-Type



* Assessment – Completed – Template Type > Sub-Type



* Assessment – Incomplete – Template Type > Sub-Type



* Assessment – In Progress – Template Type > Sub-Type

DASHBOARDS

- Assessment Templates



* No. of 'Active' Assessment Templates



* No. of 'Inactive' Assessment Templates



* No. of 'Active' Assessment Templates - Template Type > Sub-Type



* No. of 'Active' Assessment Templates – Competency Skill Level



* No. of 'Active' Assessment Templates – Attempt Time Range

DASHBOARDS

- Consolidated Assessment Acknowledgement Status



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



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

Continue for
more List of
Dashboard
Widgets

Additional Filter will be required as option

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

DASHBOARDS

- Last Assessment Result



* Overall Assessment Score & Score Indicator– Summary



* Achiever Listing - Top 10 Performers



* Underperformance - Bottom 10 Performers



* Assessment Comments Requested – Summary

DASHBOARDS

- Assessment Result



* No. of Assessment Results



* No. of Assessment Results – Competency Skill Levels



* No. of Assessment Results – Template Type > Sub-Type



* No. of Assessment Results – Doc Type > Doc Category > Sub-Category



* No. of Assessment Results – Score Indicator

Additional Filter will be required as option

In Last <5, 10, 15> Assessments

DASHBOARDS

- Assessment Performance Analysis



* Overall Assessment Score Indicator



* Overall Proficiency Level (Competency Skill Level = Score Indicator)



* Achiever Listing - Top 10 Gainers

DASHBOARDS

- Assessment Scheduled



* Request for Assessment – Summary



* Assessment – Due – Summary



* Assessment – Expired – Summary



* Assessment – Completed – Summary



* Assessment – Incomplete – Summary



* Assessment – In Progress – Summary



* Request for Assessment – Type of Assessment



* Assessment – Due – Type of Assessment



* Assessment – Expired – Type of Assessment



* Assessment – Completed – Type of Assessment



* Assessment – Incomplete – Type of Assessment



* Assessment – In Progress – Type of Assessment

DASHBOARDS

- Assessment Scheduled



* Assessment – Due – Doc Type > Doc Category > Sub-Category



* Assessment – Expired – Doc Type > Doc Category > Sub-Category



* Assessment – Completed – Doc Type > Doc Category > Sub-Category



* Assessment – Incomplete – Doc Type > Doc Category > Sub-Category



* Assessment – In Progress – Doc Type > Doc Category > Sub-Category



* Assessment – Due – Template Type > Sub-Type



* Assessment – Expired – Template Type > Sub-Type



* Assessment – Completed – Template Type > Sub-Type



* Assessment – Incomplete – Template Type > Sub-Type



* Assessment – In Progress – Template Type > Sub-Type

DASHBOARDS

- Assessment Scheduled



* Assessment – Due – Scheduled Frequency



* Assessment – Expired – Scheduled Frequency



* Assessment – Completed – Scheduled Frequency



* Assessment – Incomplete – Scheduled Frequency



* Assessment – In Progress – Scheduled Frequency

DASHBOARDS

- Assessment Templates



* No. of 'Active' Assessment Templates



* No. of 'Inactive' Assessment Templates



* No. of 'Active' Assessment Templates - Template Type > Sub-Type



* No. of 'Active' Assessment Templates – Competency Skill Level



* No. of 'Active' Assessment Templates – Attempt Time Range

Continue for more List
of Dashboard Widgets



DASHBOARDS

- Consolidated Assessment Acknowledgement Status

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

DASHBOARDS

- Last Assessment Result

- * Overall Assessment Score & Score Indicator– Summary
- * Achiever Listing - Top 10 Performers
- * Underperformance - Bottom 10 Performers
- * Assessment Comments Requested – Summary

Additional Filter will be required as option

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

DASHBOARDS

- Assessment Result

- * No. of Assessment Results
- * No. of Assessment Results – Competency Skill Levels
- * No. of Assessment Results – Template Type > Sub-Type
- * No. of Assessment Results – Doc Type > Doc Category > Sub-Category
- * No. of Assessment Results – Score Indicator

Additional Filter will be required as option

In Last <5, 10, 15> Assessments

DASHBOARDS

- Assessment Performance Analysis

- * Overall Assessment Score Indicator
- * Overall Proficiency Level (Competency Skill Level = Score Indicator)
- * Achiever Listing - Top 10 Gainers

DASHBOARDS

- Assessment Scheduled



* Request for Assessment – Summary



* Assessment – Due – Summary



* Assessment – Expired – Summary



* Assessment – Completed – Summary



* Assessment – Incomplete – Summary



* Assessment – In Progress – Summary



* Request for Assessment – Type of Assessment



* Assessment – Due – Type of Assessment



* Assessment – Expired – Type of Assessment



* Assessment – Completed – Type of Assessment



* Assessment – Incomplete – Type of Assessment



* Assessment – In Progress – Type of Assessment

DASHBOARDS

- Assessment Scheduled



* Assessment – Due – Doc Type > Doc Category > Sub-Category



* Assessment – Expired – Doc Type > Doc Category > Sub-Category



* Assessment – Completed – Doc Type > Doc Category > Sub-Category



* Assessment – Incomplete – Doc Type > Doc Category > Sub-Category



* Assessment – In Progress – Doc Type > Doc Category > Sub-Category



* Assessment – Due – Template Type > Sub-Type



* Assessment – Expired – Template Type > Sub-Type



* Assessment – Completed – Template Type > Sub-Type



* Assessment – Incomplete – Template Type > Sub-Type



* Assessment – In Progress – Template Type > Sub-Type

DASHBOARDS

- Assessment Scheduled



* Assessment – Due – Scheduled Frequency



* Assessment – Expired – Scheduled Frequency



* Assessment – Completed – Scheduled Frequency



* Assessment – Incomplete – Scheduled Frequency



* Assessment – In Progress – Scheduled Frequency

DASHBOARDS

- Last Assessment Result



* Overall Assessment Score & Score Indicator– Summary



* Achiever Listing - Top 10 Performers



* Underperformance - Bottom 10 Performers



* Assessment Commented – Summary



* Management Input Required

Continue for more List
of Dashboard Widgets



Additional Filter will be required as option

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

DASHBOARDS

- Assessment Result



* No. of Assessment Results



* No. of Assessment Results –
Competency Skill Levels



* No. of Assessment Results –
Template Type > Sub-Type



* No. of Assessment Results – Doc
Type > Doc Category > Sub-Category



* No. of Assessment Results – Score
Indicator

Additional Filter will be required as option

In Last <5, 10, 15> Assessments

DASHBOARDS

- Assessment Performance Analysis



* Overall Assessment Score Indicator



* Overall Proficiency Level (Competency
Skill Level = Score Indicator)



* Achiever Listing - Top 10 Gainers



* Achiever Listing - Top 10 Business
Functions



* Underperformance - Bottom 10
Business Functions

DASHBOARDS

- Mitigation Action Plan



* No. of Mitigation Plans -
Assigned



* No. of Mitigation Plans – In
Progress



* No. of Mitigation Plans –
Completed



* No. of Mitigation Plans – In
Progress with Overdue Tasks

DASHBOARDS

- Mitigation Action Plan

22

* No. of Mitigation Plans -
Assigned

22

* No. of Mitigation Plans – In
Progress

22

* No. of Mitigation Plans –
Completed

22

* No. of Mitigation Plans – In
Progress with Overdue Tasks

DASHBOARDS - Question Bank



* No. of Question in My Question Bank – with status



* No. of Questions – Error Reported



* No. of Questions – Competency Check Level



* No. of Questions – Average Attempt Time Range

Additional Filter will be required as option

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

DASHBOARDS - Newly Added Questions



* No. of Question in My Question Bank



* No. of Questions – Error Reported



* No. of Questions – Competency Check Level



* No. of Questions – Average Attempt Time Range



* No. of Questions Disabled

DASHBOARDS

- Question Bank Reserve



* No. of Questions in Question Bank Reserve – with status



* No. of Questions – Competency Check Level



* No. of Questions – Average Attempt Time Range



* No. of Contributors – Type of User Role

Additional Filter will be required as option

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

DASHBOARDS

- Newly Added Questions



* No. of Questions in Question Bank Reserve



* No. of Questions – Competency Check Level



* No. of Questions – Average Attempt Time Range



* No. of Questions Disabled



* No. of Contributors – Type of User Role

THANKS