

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

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

Schedule Assessment (Internal One Time and Repeat Frequency)

Progress bar: 1. Set Assessment Schedule (green checkmark), 2. Doc Category Preference (orange 2), 3. Select Mapped User(s) (green checkmark), 4. Set Assessment Preferences (grey 4), 5. Set Notification Alerts (grey 5).

Set Assessment Schedule

Select Document Type*
Standard Operating Procedures

Select Document Sub Category

- ☒ Account Opening

Select Mapped User(s)

Select Document Category
Business Development, Risk (Credit)

- ☒ Risk (Credit)
- ☒ Business Development

Risk Assessor: Banesh logged in

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

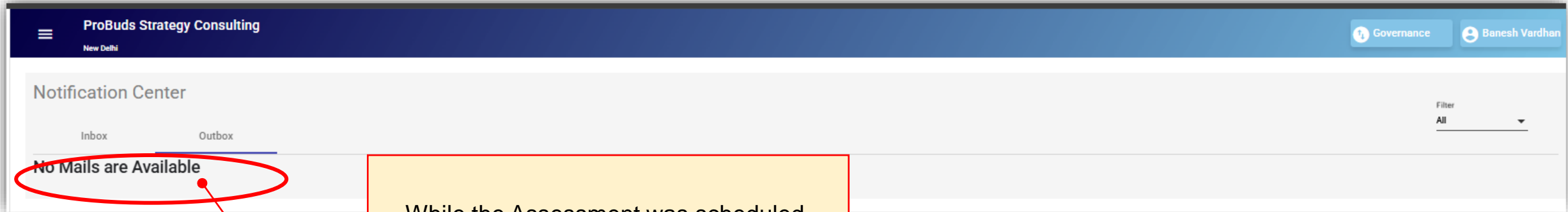
Schedule Assessment (Internal One Time and Repeat Frequency)

[Schedule New Assessment](#)

ser – “Bijay” can
t scheduled.

Assessment ID	Assessment Name	Assessment Type	Assessment Level	Competency	Assessor	Assessment Frequency	Scheduled Frequency	Assessment Start Date	Assessment End Date	Assessment Requested Date	Actions		
7210	06.03 - Test T...	General	Ordinary	Level of Unde...	Banesh Vard...	Assessment ...	1 Daily	11 Apr 2025	13 Apr 2025	10 Apr 2025	View		
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	View
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	View
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	View
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	View
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	View

Risk Assessor: Banesh logged in



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

Governance Banesh Vardhan

Rise Querie

Review Queries

Track Status

Notification

Profile

Logout

Spelling correction required:
Raise Query

Add Query/ Issue

Importance: *
Urgent

Module: *
Governance

Main Menu: *

Assessment Mitigation

Assessment Result

Assessment Template

Assessment Template Library

Begin Assessment

Default Notifier

Document Awareness

Govenance Dashboard

Choose files No file chosen

Search and Select Feature is missing

Scroll Bar is missing

Add Query/ Issue

Importance: *
Urgent

Main Menu: *

Begin Assessment

Reversion Path: *

Ram Kumar

Varun Kumar

Marin Hira

VK Singla

Tamesh Jairam

Malini K

Kinjay Kumar

Shyam Naresh

SUBMIT

Search and Select Feature is missing

Names should appear with following format
(details extracted from User master):
<Full Name> | <Designation> | <Department> |
<Entity & location name>

Scroll Bar is missing

Risk Assessor: Banesh logged in

NEW DESIGN

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 (Download)		
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

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 (Download)		
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:

Choose files

 No file chosen

CANCEL

max 1500
chrs 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

Module: *
E-Compliance

Components: *
Create Company Compliance Content

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

Reporting Person: *

Subject Title: *

Max 100 Characters

Issue Details: *

Min 5 - Max 1500 Ch

Attachments:

SUBMIT

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

Task User: Bijay logged in

The screenshot displays the 'Begin Assessment Schedule' page. On the left is a navigation menu with the following items: Governance, Governance Control Tasks, Governance Content Management, Module Admin Management, Governance Control Assessment, Governance Assessment Reports, Governance Assessments Dashboard, Governance Question Bank, and Begin Assessment. The main content area features a 'Select Assessment Template' dropdown, a table header with columns like 'Asse...', 'Type ...', 'Sub T...', 'Comp...', 'Risk ...', 'Versi...', 'Objec...', 'Mess...', 'Start ...', 'End D...', and 'Asse...'. Below the header, a red oval highlights the 'No data' message. A callout box points to this message with the text: 'Two Assessments were scheduled to be started from 10th Apr but the Task User – “Bijay” cannot see any Assessment scheduled.' The bottom right shows 'Page 1 of 1 (0 items)' and a pagination control with a blue circle containing the number 1.

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

Page 1 of 1 (0 items) < 1 >

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

Begin Assessment Scheduled

Risk Assessor: Banesh logged in

GCT Reports

GCA Reports

GGT Governance

Document Awareness

Published Document Listing

Governance Assessment

Assessment Template Library

Governance Question Bank

Map Assessment Template Access

Scheduled Assessment

Begin Assessment

Manage assessment

My Assessements

Monitored Assesement

Monitored Assessments

Select Scheduled Assessment

Select Assessment Request

Drag a column header here to group by that column

Scheduled Asses...

Assessor Name

Assessment

internal Repeat freq...

Gane

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 P

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...

CHECK AGAIN

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???

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...

Messag...

Start Date

End Date

Assesse...

06.03 - Tes...

General

Ordinary

For testing ...

Please co...

13 Mar 2025

16 Mar 2025

06 Mar 2025

1

For testing ...

Please co...

20 Mar 2025

23 Mar 2025

06 Mar 2025

Page 1 of 1 (2 items)

– In case Assessment attempt was in progress and due to lapse of due time, the Assessment remained incomplete, the Assessment

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

FRS understanding not followed (refer page 6 of Gov Part 2).

Since these Assessments are Expired (at the login date), these Assessments should not be listed to Task User, and should show under “Assessments Unanswered Questions and

[illegible]

Page 1 of 1 (2 items) < 1 >

Process Control Ref	Process Flow
GCA-01E	<ul style="list-style-type: none"> - 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 the he commences to complete it
GCA-01E.1	<p><u>Use FILTER & SEARCH for Assessment Scheduled listing:</u></p> <ul style="list-style-type: none"> - Filter options: <ul style="list-style-type: none"> - Show ALL 'Active' Assessment Scheduled (in chronological order – earliest to latest) - Search Criteria:

Process Control Ref	Process Flow
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- | Process Control Ref | Process Flow |
|---------------------|---|
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Use FILTER & SEARCH for Assessment Scheduled listing:

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

- Use FILTER & SEARCH for Assessment Scheduled listing:**
- **Filter options:**
 - Show ALL 'Active' Assessment Scheduled (in chronological order – earliest to latest)

- 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.*

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

Greater Noida

Begin Assessment Schedule

Select Assessment Template

Drag a column header here to group

Assessment Temp ID	Assessment ID	Assessor	Version	Objective	Message	Assessor Name	Start Date	End Date	Assessment Date
10	20	All							

Page 1 of 1 (4 items) 1

Annotations:

- The heading states, "Assessor Name" where as there is another column with same information "Assessor" where "Assessor Name" is removed.
- This column was supposed to show Assessment ID, but it is showing data of Assessment Temp ID.
- CHECK AGAIN**

Task User: Amir logged in

The screenshot displays the ProBuds Strategy Consulting interface. On the left is a sidebar with navigation options: GCT Reports, GCA Reports, Document Awareness, Begin Assessment, and Manage assessment. The main area shows a table of assessments. One assessment, '06.03 - Test ...', is highlighted. A red circle is drawn around the 'Start Date' (13 Mar 2025) and 'End Date' (16 Mar 2025) columns in the table. Below the table, a modal window titled 'Assessment Details' is open, showing various fields: 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 (circled in red), Scheduled Frequency: 1 Weekly, Assessment Start Date: 13 Mar 2025, Assessment End Date: 16 Mar 2025, and Assessment Request Date: 06 Mar 2025. An 'OK' button is at the bottom of the modal.

My Asses

Select Asses

Drag a colu

Assessm... Type Name Sub Type Objective ... Message ... Start Date End Date Assesse...

06.03 - Test ... 1 For testing o... Please comp... 13 Mar 2025 16 Mar 2025 06 Mar 2025

Page 1 of 1 (1 items) < 1 >

Indeed, this Assessment was f
Attempted Later, and th
attempted and complete
login shows as "Asses
was never

CHECK AGAIN

Assessment Details

Unit 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

Begin Assessment Schedule

Select Assessment Template

Drag a column header here to g

Incorrect
Assessor Name
being s

CHECK AGAIN

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

Assess...	Type Na...	Sub Ty...	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	Supali Dev	1	Testing sc...	Complete a...	29 Mar 2025	01 Apr 2025	29 Mar 2025

10

20

All

Page 1 of 1 (2 items)

1

Task User: Supali logged in

Greater Noida

My Assessments

Select Assessment Template

Drag a column head...

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

CHECK AGAIN

...ter,
...ed, yet it
...d not in the
...sult window.

	Start Date ▾	End Date ▾	Name of Assess... ▾	Created Date ▾	status ▾
	13 Mar 2025	16 Mar 2025	06.03 - Test Template	06 Mar 2025	Assesment Attem...
	20 Mar 2025	23 Mar 2025	06.03 - Test Template	06 Mar 2025	Assessment Schedu...
Repeat freq...	27 Mar 2025	30 Mar 2025	06.03 - Test Template	06 Mar 2025	Assessment Schedu...
Internal Repeat freq...	03 Apr 2025	06 Apr 2025	06.03 - Test Template	06 Mar 2025	Assessment Schedu...
internal One time	29 Mar 2025	01 Apr 2025	06.03 Mix Template ...	29 Mar 2025	Assesment Attem...



Manage assessment

My Assesements

Monitored Assesement

Page 1 of 1 (5 items) < 1 >