



ICRM Entity Universe

ICRM Entity Universe

Product	Activity	Regulations	Policy
Product	Activity	Regulations	Policy
Entity Name	Entity ID	Entity Status	Assessment Unit
Entity Name	Entity ID	Entity Status	Assessment Unit
Region	Country	LOB	LE
Region	Country	LOB	LE



ICRM Entity Universe

Entity Details

ENTITY NAME ENTITY NAME	ENTITY ID ENTITY ID	RISK ASSESSMENT ID RISK ASSESSM...	RISK ASSESSMENT STATUS RISK ASSESSM...	RISK ASSESSMENT VERSION RISK ASSESSM...	
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▶ Assessment Units

▼ Business Details

Products

Product Name	Product Description	Channel(s)*
Lesses	Unknown	select ▾
Lesses	Unknown	select ▾
Lesses	Unknown	select ▾

Activity

Activity Name	Activity Description	Dependencies			
		Critical Application	External Vendor	Activity Dependent On	Activity is performed for
Lesses	Unknown	select ▾	select ▾	select ▾	select ▾
Lesses	Unknown	select ▾	select ▾	select ▾	select ▾
Lesses	Unknown	select ▾	select ▾	select ▾	select ▾

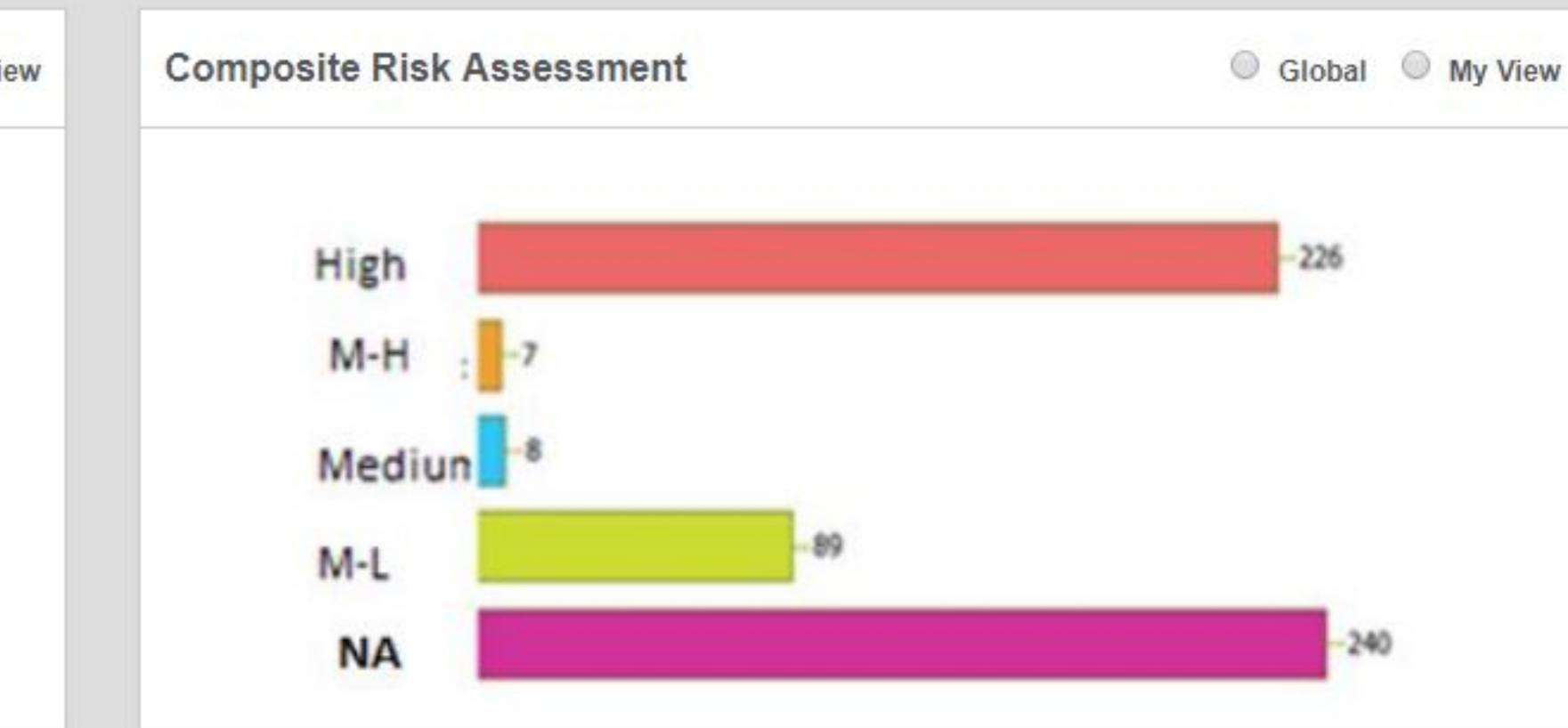
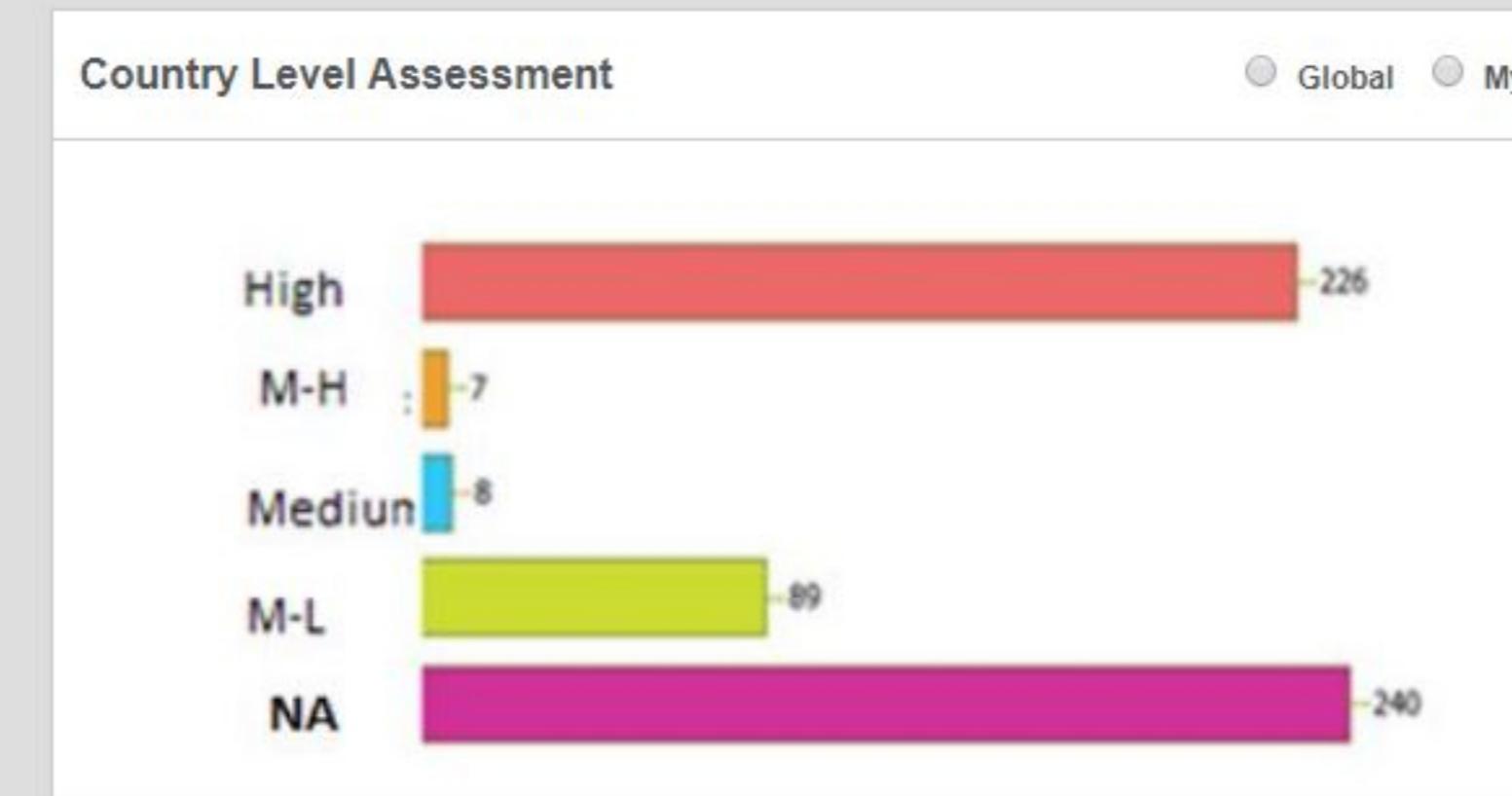
▶ Regulations Policies

▶ Assessment Components

▶ Oversight & Controls



RA Dashboard



My Risk Assessment(s)

+ New RA

Entity Name	Entity ID	Composite Risk Assement(2018)	Composite Risk Assement(2017-2018)	Risk Assement ID	Risk Assement Version	Risk Assement Status	CAM
AIMS UAT	E60994	High	Medium-High	RA-627777	1	Draft	
AIMS UAT	E60994	High	Medium-High	RA-627776	1	Current	
AIMS UAT	E60994	Medium-Low	Low	RA-627776	1	Approved	
AIMS UAT	E60994	Medium-Low	Low	RA-627767	1	Current	
AIMS UAT	E60994	Medium-Low	Low	RA-624577	1	Approved	
AIMS UAT	E60994	Low	Low	RA-625647	1	Current	
AIMS UAT	E60994	Medium-Low	Low	RA-626217	1	Current	
AIMS UAT	E60994	High	Low	RA-627777	1	Draft	
AIMS UAT	E60994	Medium-Low	Low	RA-627777	1	Approved	
AIMS UAT	E60994	High	Medium-Low	RA-627777	1	Draft	
AIMS UAT	E60994	High	Low	RA-627777	1	Draft	
AIMS UAT	E60994	High	Low	RA-627777	1	Draft	
AIMS UAT	E60994	High	Low	RA-627777	1	Draft	
AIMS UAT	E60994	High	Medium-Low	RA-627777	1	Draft	

Entity Universe Risk Assessment Annual Plan Assurance Review

RA Dashboard RA Details

ENTITY NAME ENTITY NAME	ENTITY ID ENTITY ID	RISK ASSESSMENT ID RISK ASSESSM...	RISK ASSESSMENT STATUS RISK ASSESSM...	RISK ASSESSMENT VERSION RISK ASSESSM...	
General Information					
WP Reference # <input type="text"/>	ICRM Entity Name <input type="text"/>	Entity ID <input type="text"/>			
CA Team <input type="text"/>	Business Segment <input type="text"/>	Country <input type="text"/>			
Legal Entity <input type="text"/>	Last Reviewed <input type="text"/>	Date of Last Review <input type="text"/>			
Name of Review <input type="text"/>	Overall Rating <input type="text"/>				
Laws, Rules, Regulation					
Entry Attributes					
CitiGroup Level Assessment					
Country Level Assessment					
Composite Assessment					

Review

Annual Review Planning

Plan Name	Plan ID	Period	Plan Status	Total Plan Hours	Start Date	End Date	Review Count
AIMS UAT Wakethrough	E60994	2018	Active	40,0000	02/01/2018	12/31/2018	344
AIMS UAT Wakethrough	E60854	2017	Completed	02/01/2018	02/01/2017	12/31/2017	580
AIMS UAT Wakethrough	E60994	2016	Completed	40,000	02/01/2016	12/31/2016	344
AIMS UAT Wakethrough	E60854	2016	Completed	30,000	02/01/2016	12/31/2016	485
AIMS UAT Wakethrough	E60994	2015	Completed	40,000	02/01/2015	12/31/2015	344
AIMS UAT Wakethrough	E60854	2014	Completed	35,000	02/01/2014	12/31/2014	450
AIMS UAT Wakethrough	E60994	2013	Completed	40,000	02/01/2013	12/31/2013	344
AIMS UAT Wakethrough	E60854	2012	Completed	45,0000	02/01/2012	12/31/2012	455
AIMS UAT Wakethrough	E60994	2012	Completed	40,000	02/01/2012	12/31/2012	344
AIMS UAT Wakethrough	E60854	2011	Completed	30,0000	02/01/2011	12/31/2011	345
AIMS UAT Wakethrough	E60994	2010	Completed	40,0000	02/01/2010	12/31/2010	544
AIMS UAT Wakethrough	E60854	2009	Completed	35,000	02/01/2009	12/31/2009	655

Annual Review Planning							
Entity Universe		Risk Assessment	Annual Plan	Assurance Review			
				Review Details			
Entity Name	Entity ID	Risk Assessment ID	Composite Risk	RA Completion Date	Review Due Date	Select	
AIMS UAT Wakethrough	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
AIMS UAT Wakethrough	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
AIMS UAT Wakethrough	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
AIMS UAT Wakethrough	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
AIMS UAT Wakethrough	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
AIMS UAT Wakethrough	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
Total CE(L,1)	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	
RCF Testing	E60994	RA-627777	High	12/31/2017	12/31/2018	<input type="checkbox"/>	



My Reviews

Review ID	Review Status	Review Name	Review Type	Senior Associate	Manager	Director	Plan ID	Entity ID	RA ID	Composite Risk
A-191071	Planning	RCM Generation issue caused by entity scoping	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High
A-191067	Draft	Audit Entity Scoping Testing	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High
A-191042	Planning	Entity scoping Testing	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High
A-191037	Planning	Entity Scope Test - RCM Impact	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High
A-191029	Fieldwork	FID Standardization	Risk based	Lead Auditor02(LAudit02)	Audit Controller02 (AudC002)	Grimse, Coin(CG043437)				
A-191029	Planning	Save and Close on Actual Planning Date Entry	Risk based	Grimse, Coin(CG043437)	Choi, Derek(dc39126)	Clarke, Kevin(kc47899)				
A-191029	Reporting	111616	Risk based	Grimse, Coin(CG043437)	Genur, Atian(ag76234)	DeSantis, Paul(pd78259)				
A-191032	Fieldwork	Demo - Audit Name AIBC	Risk based	Lam, Jonathan(jl66223)	Audit Controller02 (AudC002)	Raza, Abbas(RA49267)				
A-191026	Completed	RACF Applicability	Risk based	Lam, Jonathan(jl66223)	Gary, Foma(FG14770)	Khan, Lata(lk21232)				
A-191026	Completed	RACF Applicability	Risk based	Lam, Jonathan(jl66223)	Gary, Foma(FG14770)	Khan, Lata(lk21232)				
A-191032	Fieldwork	Demo - Audit Name AIBC	Risk based	Lam, Jonathan(jl66223)	Audit Controller02 (AudC002)	Raza, Abbas(RA49267)				
A-191037	Planning	Entity Scope Test - RCM Impact	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High
A-191037	Planning	Entity Scope Test - RCM Impact	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High
A-191037	Planning	Entity Scope Test - RCM Impact	Risk based	Grimse, Coin(CG043437)	Lam, Jonathan(jl66223)	Albert, Ramdi, Liz(la19003)	P2018	E60994	RA-0256	High



CA Dashboard

CA Details

ENTITY NAME ENTITY NAME	ENTITY ID ENTITY ID	RISK ASSESSMENT ID RISK ASSESSM...	RISK ASSESSMENT STATUS RISK ASSESSM...	RISK ASSESSMENT VERSION RISK ASSESSM...	
Review Announcement Memo	Review Planning Document	Review Work Program	Design Effectiveness Assessment	Process Flow and Narrative	Save Submit Export Discard Expand
Assessment Entity Responsible Executive Assessment Entity Responsible Executive					Insert Date 11/17/2017
Insert Review Insert Review					Planning Planning start date and End Date
Assessment Review Name Assessment Review Name					Compliance Assurance Team Compliance Assurance Team
Review Manager Insert name of Review Manager					Officer Title Senior Associate
Address 1 Address 1					Address 2 Address 2
City City					State State
Email Email					Phone Phone work/home/mobile

ENTITY NAME ENTITY NAME	ENTITY ID ENTITY ID	RISK ASSESSMENT ID RISK ASSESSM...	RISK ASSESSMENT STATUS RISK ASSESSM...	RISK ASSESSMENT VERSION RISK ASSESSM...	
Review Announcement Memo	Review Planning Document	Review Work Program	Design Effectiveness Assessment	Process Flow and Narrative	Save Submit Export Discard Expand

▼ BUSINESS DESCRIPTION

ICRM Assessment
1

Organization
Title

Notes
Comment

► REGULATORY MANDATED REVIEW

► REGULATORY MANDATED REVIEW

► APPLICABLE POLICIES

► SYSTEMS OVERVIEW

► MANAGER'S CONTROL ASSESSMENT (MCA) OVERVIEW

► OVERVIEW OF INTERNAL AUDIT (IA) COVERAGE

► OVERVIEW OF REGULATORY COVERAGE (INCLUDING ANY ISSUES)

► MONITORING AND SURVEILLANCE ISSUES

► OTHER SECOND LINE OF DEFENSE COVERAGE

► THIRD PARTY

Select Approvers

X

User List

Name	Role	Functional Area	Tier 1	Tier 2	Tier 3
Kaplan Samuel	Remdical Manager	Risk	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Edkins Carol	Senior Risk Manager	Risk	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Carroll Travis	Senior Credit Analysts	Analysts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Ananthula Sandoz	Super User	business	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Submit Close

Entity Universe Risk Assessment Annual Plan Assurance Review

CA Dashboard CA Details

ENTITY NAME ENTITY NAME	ENTITY ID ENTITY ID	RISK ASSESSMENT ID RISK ASSESSM...	RISK ASSESSMENT STATUS RISK ASSESSM...	RISK ASSESSMENT VERSION RISK ASSESSM...
Review Work Program	Design Effectiveness Assessment	Process Flow and Narrative		

Save Submit Export Discard Expand

GENERAL INFORMATION

Review Name	Review ID
Review Name	Review ID
Planning Start Date	Field Start Date
Title	Daytime Phone
Senior Associate Name	Manager Name
Senior Associate Name	Manager Name

FIELDWORK PHASE

MCA EFFECTIVENESS

Entity Universe Risk Assessment Annual Plan Assurance Review

CA Dashboard CA Details

Entity Name ENTITY NAME	Entity ID ENTITY ID	Risk Assessment ID RISK ASSESSM...	Risk Assessment Status RISK ASSESSM...	Risk Assessment Version RISK ASSESSM...
Draft Report	Final Report			

Save Submit Export Discard Expand

► DETAILS

► REVIEW SCOPE

▼ CONCLUSION

Overall Assessment

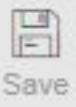
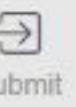
Concern	Cause	Consequence	Issue Level	Time to Remediation

► Law, Rules, Regulations and Policy

Entity Universe Risk Assessment Annual Plan Assurance Review

CA Dashboard CA Details 

ENTITY NAME ENTITY NAME	ENTITY ID ENTITY ID	RISK ASSESSMENT ID RISK ASSESSM...	RISK ASSESSMENT STATUS RISK ASSESSM...	RISK ASSESSMENT VERSION RISK ASSESSM...	
Validation					 Save  Submit  Export  Discard  Expand

► DETAILS

▼ REVIEW ISSUES

Risk Category Risk Category	Relevant Laws, Rules, Regulations, or Policy Relevant Laws, Rules, Regulations, or Policy	Issue Issue
Issue Number in Applicable Report Issue Number in Applicable Report	iCAPS Issue ID iCAPS Issue ID	Issue Level select
Issue Title Issue Title	Issue Description Comment	

Agreed Corrective Action Plans (CAPS) (per Review Report)		CAP number in iCAPS	Controls and/or Remedial Actions implemented by Management to address the CAPS
1			
2			

► Work Results – DEA/OET

► Overall Issue Validation Conclusion

► COMPLETED DETAILS