# Archer Individual Accountability Management

Accountability is quickly becoming a top-of-mind issue for many financial organizations both in Australia and EMEA. With regulations, like SMCR ([Senior Managers and Certification Regime](https://www.fca.org.uk/firms/senior-managers-certification-regime)) in EMEA and FAR ([Financial Accountability Regime](https://www.legislation.gov.au/)) in Australia, it is important to understand individual responsibilities (especially Senior Management and/or Executives) and hold them accountable to assigned responsibilities. These regulations were put in place to provide a governance process that will reduce harm to consumers and strengthen market integrity by making organizations hold individuals accountable for their conduct and competence.

Individual accountability is now a global concept and is becoming a regulatory focus area around the world. Regulated firms are being required to identify senior managers, executives, and certain key employees, allocate responsibilities to those individuals, draw together responsibility maps for the firm, and ensure that they are fit and proper for their roles, and meet conduct and certification rules established by the regulator.

The Individual Accountability Management solution provides the framework to manage accountability for key individuals within the organization. It provides confidence and insight into accountability coverage to Executives and Operational Teams. This solution provides full visibility into individual background, eligibility and more.

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## Release notes

|  |  |  |
| --- | --- | --- |
| Version | Release Date | Notes |
| Archer Individual Accountability Management 2024.11 | February 2025 | 1. Converted Regulatory Correspondence application to Archer Australian Correspondence app-pack 2. FAR Requirements for reporting:    * Track Significant Related Entities, Key Functions, and Accountabilities    * Track Accountability start and end date 3. Pricing updated 4. Updated reporting for accountability gaps and joint accountabilities 5. Track Committee Memberships per Accountability Statement/role 6. Updated Delegation per FAR requirements 7. Require temporary delegates to complete Acknowledgement as well 8. Cross-reference policies |
| Archer Individual Accountability Management 6.12 P4 | February 2023 | Initial release |

## Overview of Archer Individual Accountability Management

### Key features and benefits

With the Archer Individual Accountability Management App-Pack organizations can do the following:

* Identify key individuals and roles within the organization to track accountability.
* Document accountability, attestations, regulatory communication, and related events affecting accountability.
* Define prescribed responsibilities and attach to individual accountability.
* Document and track all notifications and communication with regulators.

Benefits include:

* Give confidence to Executives and operational teams alike with current insights into accountability coverage.
* Full visibility into individual background, eligibility and performance.
* High-level view of organizational accountability coverage.

### Prerequisites (system requirements)

| Components | Prerequisites |
| --- | --- |
| Archer Solution Area(s) | Archer Regulatory & Corporate Compliance Management |
| Archer Use Case(s) | * Archer Enterprise Catalog * Archer Issues Management |
| Archer Applications | * Contacts * Findings |
| Uses Custom Objects | No |
| Requires Archer On-Demand Application (ODA) License | This offering does not require any Archer On-Demand Applications but does require a license to utilize the offering. Please contact your Archer Sales Rep for more information. |
| Uses Custom Application | Includes 6 Applications and 3 questionnaires. |
| Archer Requirements | Archer Platform Release 2024.11 and later |
| Supported Archer Environments | * On-Premise * Archer SaaS |
| Requires Archer License | Additional licensing fees apply for the Archer Individual Accountability Management app-pack. Please contact Archer Sales Representative for more information and pricing. |

### Compatible use cases and applications

#### Required applications

|  |  |  |
| --- | --- | --- |
| Application | Use Case | Primary Purpose(s) of the Relationship |
| Contacts | Enterprise Catalog | To identify the Accountable Person. This serves as a central repository for contact information, is utilized across multiple areas of Archer, and contains information that is often leveraged by other use cases. |
| Findings | Issues Management | To identify and track any findings related to Accountable Persons or Accountability Statements. |

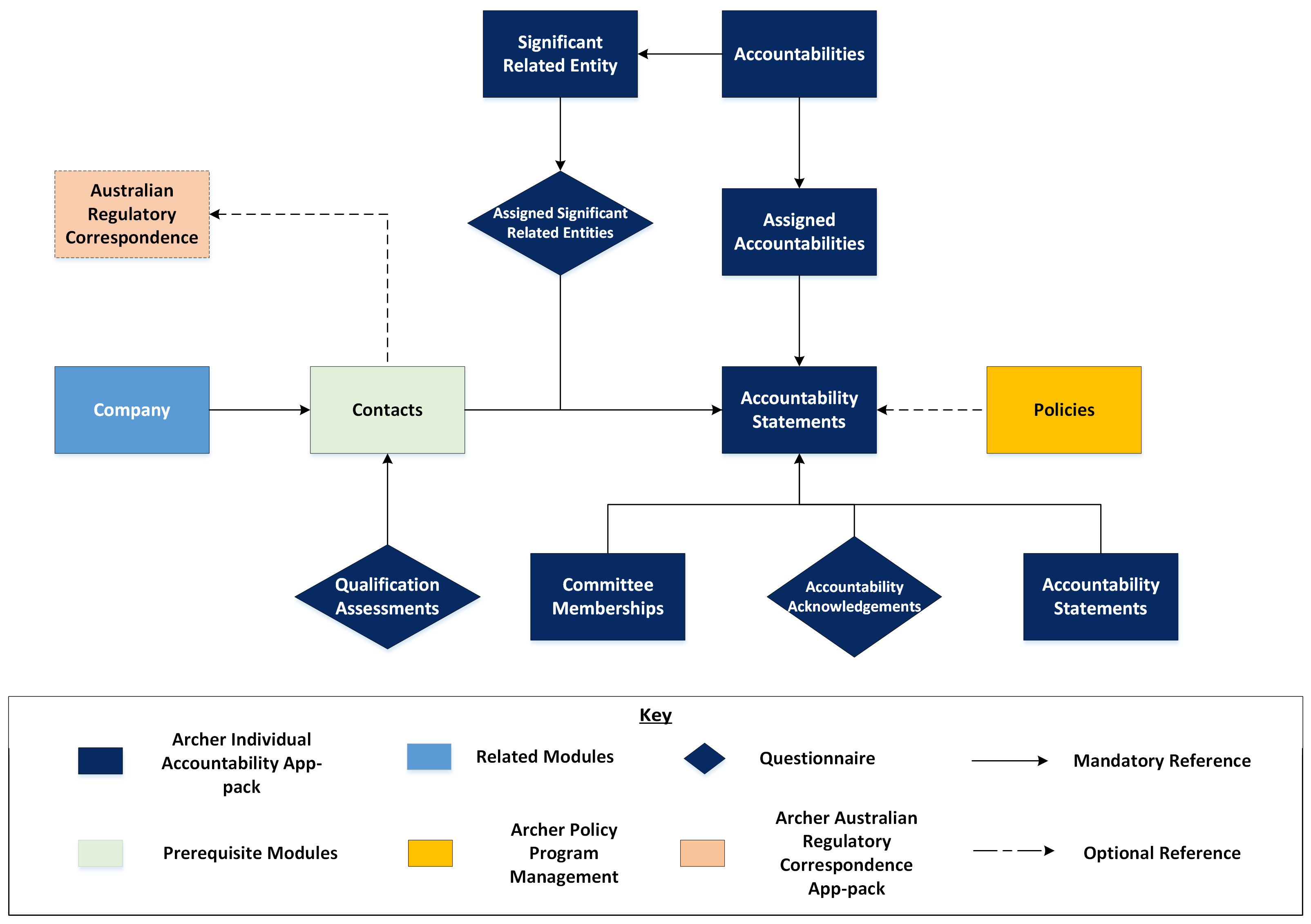
#### Related applications

| Application | Use Case | Primary Purpose(s) of the Relationship |
| --- | --- | --- |
| Australian Regulatory Correspondence | Archer Australian Regulatory Correspondence | Create FAR regulatory reporting forms and track FAR regulatory communications related to Accountable Persons and Entities. |
| COI Registry | Archer Conflict of Interest Management App-pack | Identify/map any conflicts of interest related to the Accountable Person. |
| Company | Enterprise Catalog | Identify employer details for Accountable Persons. |
| Contracts | Third Party Catalog | Identify contracts related to Accountabilities. |
| Control Procedures | Controls Assurance Program Management; Data Governance; Top-Down Assessment; IT Controls Assurance; Information Security Management System; PCI Management; IT Risk Management | Identify control procedures related to Accountability Statements. |
| Control Standards | Policy Program Management | Identify any obligations related to the accountabilities and accountability statements. |
| Document Repository | Archer Documentation Request Tracking | Store documents relating to Accountability Statements. |
| Evidence Repository | Controls Assurance Program Management; IT Controls Assurance; Audit Engagements & Workpapers | Identify sanctions related to an Accountable Person |
| Incidents | Incident Management | Identify incidents related to the Accountability Statements/Accountable Persons. |
| Policies | Policy Program Management | Identify policies related to Accountability Statements. |
| Regulatory Communication | Privacy Program Management | Track regulatory communications from the compliance officer in relation to the Accountability Statements and related Accountable Person. |
| Risk Register | Risk Catalog; Top-Down Assessment; IT Risk Management; Information Security Management System; Operational Scenario Analysis | Identify any risks related to the Accountability Statements and Accountable Persons. |
| Task Management | Task Management | Identify tasks assigned to Accountable Persons. |

## Archer Individual Accountability Management components

### Architecture diagram

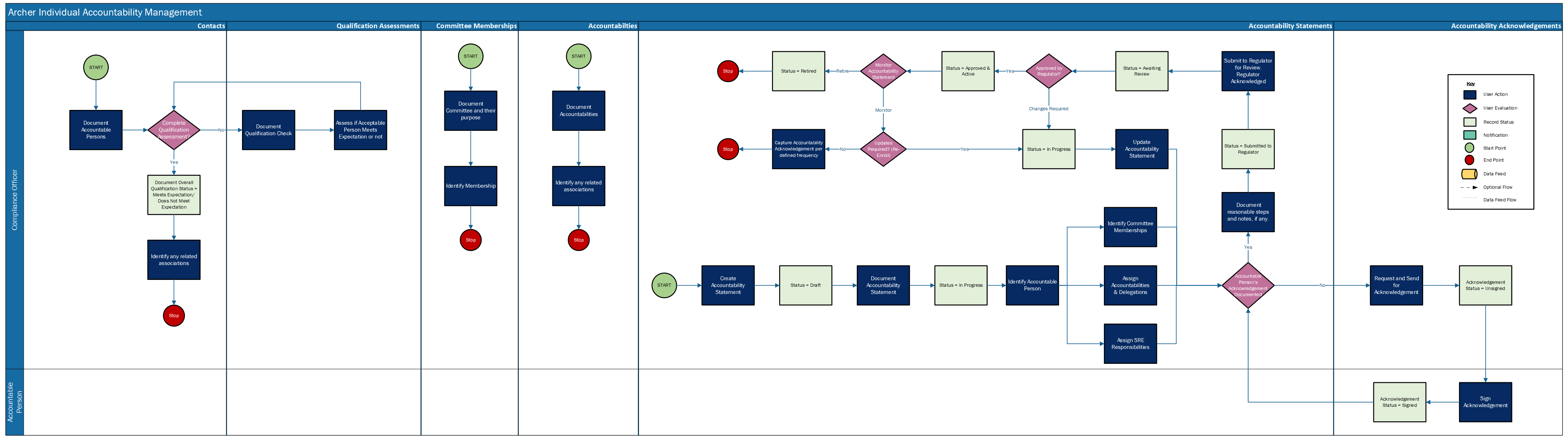
The following diagram shows the relationships between the applications in the Archer Individual Accountability Management app-pack.



**Note:** Australian Regulatory Correspondence application is only available if Archer Australian Regulatory Correspondence package is taken. This application is specific to the Financial Accountability Regime (FAR) of Australia.

### Swim lane diagram

The following diagram shows the general workflow of the applications:



### Applications and questionnaires

| Application | Description |
| --- | --- |
| Contacts | The Contacts application is used to identify the Accountable Person. This serves as a central repository for contact information, is utilized across multiple areas of Archer, and contains information that is often leveraged by other use cases. |
| Accountability Statements | The Accountability Statements application documents the Accountable Person, their accountabilities or responsibilities, their Significant Related Entities and a qualification assessment to determine if the Accountable Person is qualified to perform their role. The Accountability Statement application also identifies delegates for accountabilities and documents the Accountability Statement’s review and approvals and communication with the Regulators. |
| Accountabilities | The Accountabilities application documents the Accountabilities within an organization. It also captures whether the Accountability is a Key Function or not for an Entity. |
| Committee Memberships | The Committee Memberships application documents Committees, their purpose, and members. |
| Accountability Acknowledgements | The Accountability Acknowledgements questionnaire documents attestation from the Accountable Person for the Accountability Statement. |
| Qualification Assessments | The Qualification Assessments questionnaire captures required qualification checks and results for the Accountable Person. |
| Historical Accountability Statements | The Historical Accountability Statements application documents the historic details of the Accountability Statement like Accountable Person, their accountabilities or responsibilities. |
| Assigned Accountabilities | The Assigned Accountabilities Applications documents who is responsible for those Accountabilities, tying them to an Accountable Person. It also captures the start & end date of an accountable person against each accountability. |
| Significant Related Entity | This application captures the Significant Related Entity details related to an Entity, their start date & end date. |
| Assigned Significant Related Entity | This Questionnaire documents accountable person's responsibility / accountability, their start date & end date against each Significant Related Entity. |

### Personas and access roles

The following table describes the functions that make up the application’s organization roles. Depending on the organization of your company, these functions and responsibilities may vary.

| Function | Description |
| --- | --- |
| Compliance Officer | The Compliance Officer is responsible for documenting the Accountable Persons, responsibilities, impacted areas, reporting structure, and other key information as it pertains to the individual and their responsibilities. They are also responsible for vetting the Accountable Person and providing a statement of responsibilities or accountability statement in the case of a regulatory breach. Compliance Officers are also the point of contact with the Regulators. |
| Accountable Person | The Accountable Person is assigned responsibilities for their role and will sign the attestation for their role and responsibilities. This person can be an Executive, Senior Manager, or any key individual within the organization that needs to provide and track accountability. |

## Installing Archer Individual Accountability Management

The Archer Individual Accountability Management installation package includes applications and questionnaires that are specific to the offering.

### Security considerations

The information in this publication is provided “as is”. Archer makes no representations or warranties of any kind with respect to the information in this publication, and specifically disclaims implied warranties of merchantability or fitness for a particular purpose. Client is solely responsible for ensuring that the installation of the application is performed in a secure manner. Archer recommends clients perform a full security evaluation prior to implementation.

### Installation overview

Complete the following tasks to install the offering.

#### Step 1: Prepare for the installation

1. Ensure that your Archer system meets the following requirements:
   * Archer Platform version 2024.11
2. Obtain the Data Dictionary for the app-pack by contacting your Archer Account Representative. The Data Dictionary contains the configuration information for the use case.
3. Read and understand the "Packaging Data" section of Archer Help.

#### Step 2: Install the package

Installing a package requires that you import the package file, map the objects in the package to objects in the target instance, and then install the package. See [Installing the Application Package](#InstallAppPackage) for complete information.

The Archer Individual Accountability Management package contains “Contacts” core application. Please read the documentation for list of changes added to the Contacts application. It is recommended that users perform analysis on choosing whether to install the changes through package or perform manual changes.

### Installing the package

#### Task 1: Back up your database

There is no Undo function for a package installation. Packaging is a powerful feature that can make significant changes to an instance. Archer strongly recommends backing up the instance database before installing a package. This process enables a full restoration if necessary.

An alternate method for undoing a package installation is to create a package of the affected objects in the target instance before installing the new package. This package provides a snapshot of the instance before the new package is installed, which can be used to help undo the changes made by the package installation. New objects created by the package installation must be manually deleted.

#### Task 2: Import the package

1. Go to the Install Packages page.
   1. From the menu bar, click Admin menu.
   2. Under Application Builder, click Install Packages.
2. In the Available Packages section, click Import.
3. Click Add New, then locate and select the package file that you want to import.
4. Click OK.

The package file is displayed in the Available Packages section and is ready for installation.

#### Task 3: Map objects in the package

**Important:** This step is required only if you are upgrading to a later version of [ODA name].

1. In the Available Packages section, select the package you want to map.
2. In the Actions column, click  for that package.

The analyzer runs and examines the information in the package. The analyzer automatically matches the system IDs of the objects in the package with the objects in the target instances and identifies objects from the package that are successfully mapped to objects in the target instance, objects that are new or exist but are not mapped, and objects that do not exist (the object is in the target but not in the source).

**Note:** This process can take several minutes or more, especially if the package is large, and may time out after 60 minutes. This time-out setting temporarily overrides any IIS time-out settings set to less than 60 minutes.

When the analyzer is complete, the Advanced Package Mapping page lists the objects in the package file and corresponding objects in the target instance. The objects are divided into tabs, depending on whether they are found within Applications, Solutions, Access Roles, Groups, Sub- forms, or Questionnaires.

1. On each tab of the Advanced Mapping Page, review the icons that are displayed next to each object name to determine which objects require you to map them manually.

| Icon | Name | Description |
| --- | --- | --- |
| Awaiting mapping review | Awaiting Mapping Review | Indicates that the system could not automatically match the object or children of the object to a corresponding object in the target instance.  Objects marked with this symbol must be mapped manually through the mapping process.  **Important:** New objects should not be mapped. This icon should remain visible. The mapping process can proceed without mapping all the objects.  **Note:** You can execute the mapping process without mapping all the objects. The Awaiting mapping review icon is for informational purposes only. |
| Checkmark | Mapping  Completed | Indicates that the object and all child objects are mapped to an object in the target instance. Nothing more needs to be done with these objects in Advanced Package Mapping. |
| Missing objects | Do Not Map | Indicates that the object does not exist in the target instance or the object was not mapped through the Do Not Map option. These objects will not be mapped through Advanced Package Mapping, and must be remedied manually. |
|  | Undo | Indicates that a mapped object can be unmapped. This icon is displayed in the Actions column of a mapped object or object flagged as Do Not Map. |

1. For each object that requires remediation, do one of the following:
   * To map each item individually, on the Target column, select the object in the target instance to which you want to map the source object. If an object is new or if you do not want to map an object, select Do Not Map from the drop-down list.
   * **Important:** Ensure that you map all objects to their lowest level. When objects have child or related objects, a drill-down link is provided on the parent object. Child objects must be mapped before parent objects are mapped. For more details, see "Mapping Parent/Child Objects" in Archer Help.
   * To automatically map all objects in a tab that have different system IDs but the same object name as an object in the target instance, do the following:
   1. In the toolbar, click Auto Map.
   2. Select an option for mapping objects by name.

| Option | Description |
| --- | --- |
| Ignore case | Select this option to match objects with similar names regardless of the case of the characters in the object names. |
| Ignore spaces | Select this option to match objects with similar names regardless of whether spaces exist in the object names. |

* 1. Click OK.
  + The Confirmation dialog box opens with the total number of mappings performed. These mappings have not been committed to the data base yet and can be modified in the Advanced Package Mapping page.
  1. Click OK.
* To set all objects in the tab to Do Not Map, in the toolbar, click Do Not Map.

**Note:** To undo the mapping settings for any individual object, click  in the Actions column.

When all objects are mapped, the Checkmark icon is displayed in the tab title. The Missing objects icon is displayed next to the object to indicate that the object will not be mapped.

1. Verify that all other objects are mapped correctly.
2. (Optional) To save your mapping settings so that you can resume working later, see "Exporting and Importing Mapping Settings" in Archer Help.
3. Once you have reviewed and mapped all objects, click .
4. Select I understand the implications of performing this operation and click OK.

The Advanced Package Mapping process updates the system IDs of the objects in the target instance as defined on the Advanced Package Mapping page. When the mapping is complete, the Import and Install Packages page is displayed.

**Important:** Advanced Package Mapping modifies the system IDs in the target instance. Any Data Feeds and Web Service APIs that use these objects will need to be updated with the new system IDs.

#### Task 4: Install the package

All objects from the source instance are installed in the target instance unless the object can not be found or is flagged to not be installed in the target instance. A list of conditions that may cause objects not to be installed is provided in the Log Messages section. A log entry is displayed in the Package Installation Log section.

1. Go to the Install Packages page.
   1. From the menu bar, click Admin menu.
   2. Under Application Builder, click Install Packages.
2. In the Available Packages section, locate the package file that you want to install, and click Install.
3. In the Configuration section, select the components of the package that you want to install.
   * To select all components, select the top-level checkbox.
   * To install only specific global reports in an already installed application ,select the checkbox associated with each report that you want to install.

**Note:** Items in the package that do not match an existing item in the target instance are selected by default.

1. In the Configuration section, under Install Method, select an option for each selected component. To use the same Install Method for all selected components, select a method from the top-level drop-down list.

**Note:** If you have any existing components that you do not want to modify, select Create New Only. You may have to modify those components after installing the package to use the changes made by the package.

1. In the Configuration section, under Install Option, select an option for each selected component. To use the same Install Option for all selected components, select an option from the top-level drop-down list.

**Note:** If you have any custom fields or formatting in a component that you do not want to lose, select Do not Override Layout. You may have to modify the layout after installing the package to use the changes made by the package.

1. To deactivate target fields and data-driven events that are not in the package, in the Post-Install Actions section, select the Deactivate target fields and data-driven events that are not in the package check box. To rename the deactivated target fields and data-driven events with a user-defined prefix, select the Apply a prefix to all deactivated objects check box, and enter a prefix. This can help you identify any fields or data-driven events that you may want to review for clean up post-install.
2. Click Install.
3. Click OK.

#### Task 5: Review the package installation log

1. Go to the Package Installation Log tab of the Install Packages page.
   1. From the menu bar, click Admin menu.
   2. Under Application Builder, click Install Packages.
   3. Click the Package Installation Log tab.
2. Click the package that you want to view.
3. In the Package Installation Log page, in the Object Details section, click View All Warnings.

* **Note:** To view individual logs, in the Errors column of the log you want to view, click the Failures link or Warnings link. Clicking View All Errors, Failures, or Warnings opens the specific errors on a different page.

1. Click the Export icon to export the log file.
2. Click Close.
3. Enable Advanced Workflow in Accountability Statements and Accountability Acknowledgements.

### Performing Required Post-Installation Steps for New Users

For existing installations of the Archer Individual Accountability Management app-pack, follow the steps in the Upgrading Archer Individual Accountability Management section.

For initial installations of the Archer Individual Accountability Management app-pack, follow the steps below to identify and remove any unnecessary fields and data feeds.

1. Go to Accountabilities application and search for “Related Accountability Statements (OLD)” field. This field can be deleted, or it can be inactivated.
2. Go to Accountability Statements application and search for “Accountabilities (OLD)” field. This field can be deleted, or it can be inactivated.
3. Go to Historical Accountability Statements application and search for “Accountabilities (OLD)” field. This field can be deleted, or it can be inactivated.
4. Go to Manage Data Feeds and search for “Map Accountabilities & Accountability Statements in Assigned Accountabilities” feed. Please delete this feed or keep it inactive. This feed is designed to migrate data for existing customers.

### Setting up data feeds

#### Task 1: Configure the “Historical Accountability Statements” data feed

1. Go to the Manage Data Feeds page.
   1. From the menu bar, click Admin menu.
   2. Under Integration, click Data Feeds.
2. In the Manage Data Feeds section, locate and select the Historical Accountability Statements data feed.
3. From the General tab in the General Information section, select Active in Active check box.
4. Click the Source Connection tab. Complete the fields in the Log On Properties section as follows: In the URL field, type: YourServerName/VirtualDirectoryName/
5. In the Transport Configuration section User Name and Password fields, type the username and password of a Platform user that has access to all the records on the instance
6. In the Instance field, type the name of the Platform instance from which the data feed is coming (this is the instance name as you enter it on the Login window).
7. Verify that except for the Historical Accountability Statements, key field values are not missing from the data feed setup window.
8. Click Save.

**Note:** If Incidents is available please note, Incidents is mapped to Incident ID (System Tracking ID). Incident ID is Application Tracking Id by default. Create a new System Tracking ID field in Incidents and map to the Incident > field Id from source.

**Important:** This data feed contains custom xslt. Please do not load default xslt into it.

#### Task 2: Schedule a data feed

**Important:** A data feed must be active and valid to successfully run.

As you schedule your data feed, the Data Feed Manager validates the information. If any information is invalid, an error message is displayed. You can save the data feed and correct the errors later; but the data feed does not process until you make corrections.

1. Go to the Schedule tab of the data feed that you want to modify.
   1. From the menu bar, click Admin menu.
   2. Under Integration, click Data Feeds.
   3. Select the data feed.
   4. Click the Run Configuration tab.
2. Go to the Schedule section and complete frequency, start and stop times, and time zone.
3. (Optional) To override the data feed schedule and immediately run your data feed, Click Run Now.
4. Click Save.

## Upgrading Archer Individual Accountability Management

The Archer Individual Accountability Management 2024.11 release required architectural changes to meet FAR regulatory reporting requirements. As a result, some application relationships have been updated. The details of these changes are outlined below:

1. Assign Committee Memberships to Accountability Statement: A new cross-reference has been introduced to support Committee Memberships assigned to Accountability Statements instead of the Accountable Person.
2. Assign Accountabilities to Accountability Statement: The Assigned Accountabilities application has been introduced to capture additional details about accountabilities assigned to Accountable Persons, such as start and end dates. Previously, the Accountabilities application was used to assign accountabilities to the Accountability Statement; it is now designated for documenting the organization's accountabilities.

To implement these changes, we have introduced new cross-references and incorporated them into the layout. Existing cross-references have been renamed or removed from the layout. Details of the modifications to the previous fields are provided below.

|  |  |  |
| --- | --- | --- |
| Application Name | Field Name Changed From | Field Name Changed To |
| Accountabilities | Related Accountability Statements  Type: Cross reference | Related Accountability Statements (OLD) |
| Accountability Statements | Accountabilities  Type: Related Records | Accountabilities (OLD) |
| Historical Accountability Statements | Accountabilities  Type: Related Records | Accountabilities old |

### Performing Required Post-Installation Steps for Existing Users

After the package installation, changes to the old cross-reference fields will be reflected as outlined above. However, the name and alias for the newly introduced fields will need to be updated as detailed below.

#### Task 1: Update field name and alias for Accountabilities

1. Go to Accountabilities application and search for Related Accountability Statements(1) field.
   1. Type: Related Records
   2. Available reference: Accountability Statements
2. Change the field Name to “Related Accountability Statements”
3. Change the Alias to “Related\_Accountability\_Statements”.

* **Note:** This is required for FAR regulatory reporting. This alias is used in mail merges.

1. Save the field.

#### Task 2: Update field name and alias for Accountability Statements

1. Go to Accountability Statements application and search for Accountabilities(1) field.

* Type: Cross reference
* Available Reference: Assigned Accountabilities

1. Change the field Name to “Accountabilities”
2. Change the Alias to “Accountabilities”.

* **Note:** This is required for FAR regulatory reporting. This alias is used in mail merges.

1. Save the field.

#### Task 3: Update filed name and alias for Historical Accountability Statements

1. Go to Historical Accountability Statements and search for Accountabilities (1) field.

* Type: Cross reference
* Available reference: Assigned Accountabilities

1. Change the field Name to “Accountabilities”
2. Change the Alias to “Accountabilities”.

* **Note:** This is required for FAR regulatory reporting. This alias is used in mail merges.

1. Save the field.

#### Task 4: Perform Required Data Migration Steps

The architectural changes affect the existing data. Data migration is required to align with the new changes. Please follow the steps outlined below for the migration process.

#### Step 1: Configure “Map Accountabilities & Accountability Statements in Assigned Accountabilities“ data feed

1. Go to the Manage Data Feeds page.
   1. From the menu bar, click Admin menu.
   2. Under Integration, click Data Feeds.
2. Locate & select the Map Accountabilities & Accountability Statements in Assigned Accountabilities data feed.
3. Make sure the Target is "Assigned Accountabilities" application. Then click on the source connection tab. Complete the fields in the Log on Properties section as follows: In the URL field, provide Yourservername/VirtualdirectoryName/
4. In the Transport configuration section provide UserName and Password of a platform user that has access to all the records on the instance.
5. In the Instance field, provide the current instance name.
6. Make sure you have installed "Create Records in Assigned Accountabilities" report in Accountability Statements application.
7. This feed contains custom xslt. Please do not load default xslt.
8. Verify the mapping as mentioned in the table.

|  |  |
| --- | --- |
| Source | **Target** |
| AccountabilityStatementTrackingID | Accountability Statements -> Tracking ID |
| AccountabilitiesTrackingID | Accountability -> Tracking ID |

1. Verify that except for the Assigned Accountabilities, key field values are Tracking ID for Accountability Statements & Accountabilities.
2. Activate & save the data feed.
3. Run only one time to migrate the data. After completion of the feed please inactivate the feed.
4. Validate the data.

#### Step 2: Configure “Map Committee Memberships with Accountability Statements“ data feed

1. Create a report in Contacts application with the following fields:
   1. Select “Name (Full) from contacts.
   2. Click on Add New relationship and select Accountability Statements. Add “Position/Role” & “Tracking ID” from Accountability Statements application.
   3. Click on Add New relationship and select Committee Memberships. Add “Committee Name” & “Tracking ID” field from the Committee memberships application.
   4. Search the result.
   5. Save the report.
2. Go to Manage Data Feeds page and click on Add New to create a data feed.
3. In the General Information Section
   1. Provide the feed name.
   2. Select Feed Type as Standard
   3. Select Target Application as Accountability Statements.
   4. Select Service Account Name.
4. In the Source Connection tab
   1. Select Transport Method as Archer Web Services Transporter.
   2. Under LogOn Properties section enter the URL.
   3. Under Transport Configuration Section, select Search Type as Report ID, provide the guid of the report created in the step1 in Report ID, enter Instance, enter User Name & Password of a platform user that has access to all the records in that instance.
5. In the Source Parsing tab Click on Load XSLT, select default xslt and click on load.
6. In the source Definition tab click on the import icon, select Run search and click on Run Now.
7. After loading the source go to Data map tab -> Field Map
   1. Under source fields expand the Relationship for Accountability Statements and map the Tracking ID field with Tracking ID.
   2. Under source fields expand the Relationship for Committee Memberships and map the Tracking ID field with Committee Memberships -> Tracking ID. (Populate target fields with empty source field values & Append source field values needs to be selected in target field configuration)
8. In the Key Field Definition select Tracking ID field as key field for both Accountability Statements & Committee Memberships.
9. In the Run Configuration tab under Target Record Processing, select only “Update existing record, if a matching record is found” & “Ignore data validation rules for the target application”. And select “Ignore” if matching record is not found.
10. Activate & Save the data feed.
11. Run only one time to migrate the data. After completion of the feed please inactivate the feed.
12. Validate the data.

#### Step 3: Update Dashboard Names

With the Archer Individual Accountability Management 2024.11 release, existing classic dashboards were updated to next generation dashboards.

* To update the IAM Operational Dashboard, follow the steps mentioned below
* Go to Manage Dashboards and search for IAM Operational Dashboard. Open the Classic Dashboard and change the name to “Zz IAM Operational Dashboard” , change the alias, change the status to Inactive and save the dashboard. Return to Manage Dashboard and search for IAM Operational Dashboard(1), type will be Dashboard. Open it and change the name to “IAM Operational Dashboard”, change the alias to “IAM\_Operational\_Dashboard” and save it.
* To update IAM Task Driver dashboard, follow the steps mentioned below
  1. Go to Manage Dashboards and search for IAM Task Driver dashboard. Open the Classic Dashboard and change the name to “Zz IAM Task driver”, change the alias, change the status to Inactive and save the dashboard.
  2. Return to Manage Dashboard and search for IAM Task Driver(1), type will be Dashboard. Open it and change the name to “IAM Task Driver”, change the alias to “IAM\_Task\_Driver” and save it.
* To update the Individual Accountability Management Workspace, go to Manage Workspace & search for the Individual Accountability Management. Open it, go to Dashboards section, remove the dashboards starting with Zz. Save the workspace.

#### Task 5: Set up data feed

Once the upgrade is complete, follow the steps in the Setting up Data Feed section. The data feed will need to be configured.

## Configuring the Archer Individual Accountability Management

### Configure contacts application

This section provides guidance on configuring changes to the Contacts application when it is not installed through the installation package or when only new components are created without layout modifications during the package installation.

#### Task 1: Add Contacts to Individual Accountability Management Solution

1. Go to Solutions under Administration Menu: Administration > Application Builder >Solutions
2. Open “Individual Accountability Management”.
3. Under Applications section click Add New and select Contacts.
4. Click OK.
5. Verify Contacts is visible in the Application section.
6. Click on Save and Close

#### Task 2: Update Existing Fields

1. Go to Applications under Administration Menu: Administration > Application Builder > Applications.
2. Open Contacts Application to update the following field:

|  |  |  |
| --- | --- | --- |
| Field Name | Field Type | Update Required |
| Type | Values List | Add new hierarchical values “Executive Director, Non-Executive Director” under the “Employee” value. |

#### Task 3: Add New Fields

Go to Applications under Administration Menu: Administration > Application Builder > Applications.

Open Contacts Application to make the necessary changes.

|  |  |  |  |
| --- | --- | --- | --- |
| Field Name | Field Type | Configuration Details | Note |
| Does Contact Require Accountability Management? | Values list | Description: This field is used to identify if the contact record is for an Accountable Person  Values: Yes. If contacts is majorly used for IAM or if required default to Yes. |  |
| Hire Start Date | Date | Description: Used to capture when the hiring process was started for the contact.  No default value. | This field is required if FAR Reporting is applicable. |
| Employment End Date | Date | Alias: Employment\_End\_Date  No default value. | This field is required if FAR Reporting is applicable. |
| GetUserID | Text | Calculation: GETUSERS([Archer User Account]) | This field is required if FAR is applicable. |
| Overall Qualification Assessment Result | Values List | Description: This field is used to display the overall result of the qualification assessments.  Values: Global Values list “Overall Qualification Assessment Result”  Calculation:  IF(COUNTA([Qualification Assessments])>0,  IF(COUNTIF(REF([Qualification Assessments],[Qualification Result]),VALUEOF(REF([Qualification Assessments],[Qualification Result]),"Ineligible"))>0,  VALUEOF([Overall Qualification Assessment Result],"Does Not Meet Expectation"),  IF(COUNTIF(REF([Qualification Assessments],[Qualification Result]), VALUEOF(REF([Qualification Assessments],[Qualification Result]),"Cleared"))=COUNTA([Qualification Assessments]),  VALUEOF([Overall Qualification Assessment Result],"Meets Expectation"),  VALUEOF([Overall Qualification Assessment Result],"Check Pending")  )  ),  VALUEOF([Overall Qualification Assessment Result],"Check Pending")  ) |  |
| Company Name Helper | Text | Calculation:  REF([Company],[Company]) |  |
| Date of Birth | Date | Alias: Date\_of\_Birth  No default value. | This field is required if FAR Reporting is applicable. |
| Director Identification Number | Text | Alias: Director\_Identification\_Number | This field is required if FAR Reporting is applicable. |
| (Optional) Regulatory Communications | Cross Reference | Target Application: Regulatory Communications  Display Type: Grid  Display/Look Up Fields:   * Communication ID * Communication Name * Communication Purpose * Communication Type | If Australian Regulatory Correspondence is needed, then create a cross reference to Australian Regulatory Correspondence. |
| (Optional) Breach Incidents | Cross Reference | Target Application: Incidents  Display Type: Grid  Display/Look Up Fields:   * Incident ID * Summary * Date/Time Closed * Date/Time Occurred |  |
| (Optional) Conflicts of Interest | Cross Reference | Target Application: COI Registry  Display Type: Grid  Display/Look Up Fields:   * Tracking ID * Conflict of Interest * Type of COI * Overall Status |  |
| (Optional) Evidence Repository | Cross Reference | Target Application: Evidence Repository  Display Type: Grid  Display/Look Up Fields:   * Document Name * Description |  |
| Findings (Contacts) | Related records | Target Application: Findings  Display Type: Grid  Display/Look Up Fields:   * Finding ID * Name * Overall Status * Days Open * Date Closed * Source |  |
| Accountability Statements | Related records | Target Application: Accountability Statements  Display Type: Grid  Display/Look Up Fields:   * Position/Role * Status of Accountability Statement * Role Start Date * Role End Date * Accountability Acknowledgement Status | This field should be available post-package installation. |
| Qualification Assessments | Related records | Available Reference: Qualification Assessments  Display Type: Grid  Display/Look Up Fields:   * Questionnaire ID * Qualification Check Name * Qualification Date * Qualification Documentation Status * Qualification Result * Findings | This field should be available post-package installation. |

#### Task 4: Layout Changes

If the following layout changes have not been configured previously, complete the following steps.

1. Go to Applications under Administration Menu: Administration > Application Builder > Applications.
2. Open Contacts Application and make the following changes.
   1. Place the following fields in the General Information Section:
   * Hire Start Date, Does Contact Require Accountability Management? and Division (off layout field), Date of Birth, Employment End Date, Director Identification Number
   1. Create new tab "Individual Accountability" under Contact Details tab set.
      1. Create a new section Qualification Assessments
         1. Section Properties: Check “Show Panel Text”
         2. Panel Text: Background checks need to be performed. The employee must clear all checks in order to act as an Accountable Person. In addition to updating the status for each check, please upload any supporting documentation.
      2. Move the following fields to Qualification Assessments section:
         1. Overall Qualification Assessment Result
         2. Qualification Assessments
      3. Move the following fields under this tab:
         1. Accountability Statements, Regulatory Communications, Breach Incidents, Findings (Contacts), Conflicts of Interest, Evidence Repository.

#### Task 5: Data Driven Events

1. Go to Applications under Administration Menu: Administration > Application Builder > Applications.
2. Open Contacts Application and complete the following steps:
   1. Update Existing Action:
   * Hide Advanced Contact Fields Action. Do not display Hire Start Date, Division, Date of Birth, Employment End Date, Director Identification Number in General Information Section and all new sections under Individual Accountability tab.
   1. Create the following new Data Driven Events:
      1. Rule: Is This Contact For Accountable Person = Yes
         * Criteria: Does Contact Require Accountability Management? = Yes.
      2. New Action:
      * Action Type: Apply Conditional Layout.
      * Action Name: Accountable Person Layout
      * Layout Configuration: Require Hire Start Date, Employment Status, Company. Display Date of Birth, Employment End Date, Director Identification Number and all sections under Individual Accountability tab.
      * Qualified User/Groups:
        + At minimum: IAM Groups.
        + Maximum: Everyone

#### Task 6: Create Pending Accountable Person Qualifications Metric Report

1. Go to Contacts Application Advanced Search:
2. From the menu bar, click Individual Accountability Management.
3. Under Individual Accountability Management Solution, click the Advanced Search beside Contacts application.
4. Select Statistics Mode check box in Fields to display section.
5. Select Count of Exception Description in Fields in Display.
6. In Filters add the following:
   1. Overall Qualification Assessment Result Contains Check Pending
   2. Does Contact Require Accountability Management? Contains Yes
7. In Statistics Drill Down Options select the following fields for display:
   1. Name (Full)
   2. Email (Business)
   3. Qualification Assessments
   4. Overall Qualification Assessment Result
8. Click on Search button.
9. Select “Chart Only” and “Featured Metric” in the Chart tool bar in the search results page.
10. Click on Save.
11. Provide Report Name as “Pending Accountable Person Qualifications”.
12. In Report Type section select “Global Report”.
13. Click on Save.

#### Task 7: Update Qualifications Pending iView

1. Go to Administration >  Workspaces and Dashboards > Global iViews
2. Open Qualifications Pending iView.
3. Under Options section select the report “Pending Accountable Person Qualifications.
4. Click Save.

### Configure Accountability Statements & Accountability Acknowledgements

#### Task 1: Inactivate Rule in Accountability Statements

1. Go to Administration > Applications > Accountability Statements
2. Go to Default Layout Rules listing page.
3. Find & Inactivate the following rule:
   * Rule Name : [Override FAR Requirements] != Blank

#### Task 2: Update Fields

If the Contacts application is not installed via the installation package, certain components will not be properly installed due to missing fields in the Contacts application. The following updates are required after package installation to address the issue.

#### Accountability Statements

1. Update Qualification Assessment Result calculation:

* Calculation: REF([Accountable Person],[Overall Qualification Assessment Result])

1. Update Institution/Employer Name calculation:

* Calculation: REF([Accountable Person],[Company Name Helper])

#### Accountability Acknowledgements

1. Update Accountable Person (cross reference) grid display.
2. Add Hire Start Date to the display fields.

## Using Archer Individual Accountability Management

### Document Accountable Person

User: Compliance Manager

1. Create a new Contacts Record.
   1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
   2. Under Individual Accountability Management > Contacts, click on New Record.
2. Provide the following information:
   1. In the General Information Section:
      1. Select “Yes” in “Does Contact Require Accountability Management?” field.
      2. Enter data in fields “Name (First)”, “Name (Last)”, “Email (Business)”, “Hire Start Date”, “Employment Status”, “Company”.
      3. Provide any other details available.
   2. In Individual Accountability Tab:
      1. Identify any related committee memberships, incidents, conflicts of interest, findings, sanctions etc., if available.
3. Click on Save.

### Document Committee Memberships

User: Compliance Manager

1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
2. Under Individual Accountability Management > Committee Memberships, click on New Record.
3. Enter data in fields “Committee Name”, “Committee Purpose”, “Committee Date Formed”, "Accountability Statements".
4. Click on Save.

### Conduct Qualification Assessments for Accountable Person

User: Compliance Manager

#### Create a new Qualification Assessment Record

**Method 1**

1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
2. Under Individual Accountability Management -> Qualification Assessments, click on New Record.
3. Select the target accountable person.
4. Click on Apply.

**Method 2**

1. Edit an Accountable Person’ s Contact record.
2. Under the Individual Accountability tab Qualification Assessments section, click on Add New for Qualification Assessments.

#### Complete Qualification Assessment Record

1. Provide the following information:
   1. Enter data in fields “Qualification Check Name”, “Qualification Date”, “Qualification Expiration Date”, “Qualification Result”, “Qualification Documentation Attachment” or “Qualification Documentation (Link)” in Qualification Check section.
   2. Add comments if any under Comments section.
   3. Click Save.
2. Overall Qualification Assessment Result is displayed in the Qualification Assessments section of Contacts record.

### Create Accountabilities

User: Compliance Manager

1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
2. Under Individual Accountability Management >Accountabilities, click on New Record.
3. Provide the following information:
   1. Enter details in fields “Accountability Name”, “Accountability Description” in General Information section.
   2. Add related risks, controls (Control Procedures), obligations (Control Standards), Third Party Contracts if any.
4. Click on Save.

### Create Significant Related Entity

User: Compliance Manager

1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
2. Under Individual Accountability Management >Significant Related Entity, click on New Record.
3. Enter details in fields “Significant Related Entity Name”, “Description”, “Significant related Entity Start date”, “Significant related Entity End date”, “ABN”, select “Parent Entity” in General Information section.
4. Click on Save.

### Create Accountability Statements

User: Compliance Manager

1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
2. Under Individual Accountability Management > Accountability Statement, click on New Record.
3. Enter details in the Accountable Person & Position section. “Position/Role” and “Accountable Person” fields are required.
4. Enter data in field “Accountabilities” in Assigned Accountabilities section.
   1. Click on Add New to assign accountabilities.
   2. Report the Start Date and Select an Accountability. (Only one Accountability can be selected at a time)
   3. Save the Record.
   4. Return to Accountability Statements record.
   5. Repeat Step a - Step d for each accountability if you want to assign multiple accountabilities.
5. Assign Committee memberships if needed.
6. Provide any additional information as needed on the Accountability Statement and click save.
7. If there is any Significant Related Entity responsibility for the accountable person, it can be assigned by adding data in Significant Related Entity section. To assign SRE responsibility follow the below mentioned steps
   1. Click On Add New.
   2. Select or add Significant related Entity and report the start date of the accountable person against the SRE, enter the responsibility details and save the record.
   3. Return to Accountability Statements record.
   4. Repeat Step a - Step c for each SRE if you want to assign multiple SRE responsibility.
8. Click on Save.
9. The record will be enrolled in the workflow to track the progress.

### Assign Delegates to Accountability Statements (if applicable)

User: Compliance Manager

1. Edit an Accountability Statement.
2. Click Add New under Delegates section.
3. A new Accountability Statement record will open.
4. Select "Yes" in the field "Is this Accountability Statement for Delegation?", under General Information & Review section.
5. Select the Type of Delegation:
   * Temporary - Select if delegate is temporary.
   * Permanent - Select if delegate is permanent.
6. Follow Step 3 – Step 9 from create Accountability Statements section.
7. Return & Save the main Accountability Statement record.

### Complete Acknowledgement for Accountability Statements

If Accountability Acknowledgements questionnaire is used to capture the acknowledgement do the following:

#### Create a new Accountability Acknowledgement Record

User: Compliance Manager

Method 1

1. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
2. Under Individual Accountability Management ->Accountability Acknowledgements, click on New Record.
3. Select the target accountability statement.
4. Click on Apply.

**Method 2**

1. Edit a fully defined Accountability Statement.
2. Click on “Add New” in “Accountability Acknowledgements” field in Acknowledgement section.

#### Complete Accountability Acknowledgements Record

1. Provide due date, if any, in field “Due Date” in General Information section.
2. Click on the “Send Acknowledgement" button at the top of the record.
3. An accountable Person will be notified that Accountable Statement is ready for Acknowledgement.

#### Acknowledge Accountability Statement

User: Accountable Person

1. Edit Accountability Acknowledgement.
2. Verify the Accountability Statement.
3. Under Action dropdown at the top, select “Sign Acknowledgement”.
4. In the Signature pop-up, provide password and click on OK.
5. Acknowledgement Status shows Approved.

#### Verify Acknowledgement for Accountability Statements

User: Compliance Manager

1. Edit Accountability Acknowledgement.
2. Verify the Accountability Acknowledgement.
3. Select “Approved” in field “Review Status” in General Information section.
4. Acknowledgement Overall Status is marked as Approved.

#### Import Scanned Accountability Statement

If Accountability Acknowledgements is captured outside of Archer do the following:

User: Compliance Manager

1. Edit an Accountability Statement.
2. Click “Add New” in the field “Scanned Accountability Statement” under Acknowledgement section.
3. Click on “Select File(s)” button in the pop-up window and import the scan copy of the acknowledged and signed accountability statement. Click on OK.
4. Click on Save.

### Track Regulatory Communication

User: Compliance Manager

1. Edit an Accountability Statement.
2. Notify the Regulator of the Accountability Statement update.
3. Click “Add New” for Regulatory Communication/FAR Regulatory Correspondence\*\* under the Regulatory Communication tab to track the regulatory communication.
4. Click on “Submitted to Regulator” under Actions dropdown.
5. Track the right status of the Regulatory Communication by selecting the right status from the Actions drop-down:
   1. Awaiting Review - after receiving confirmation from Regulator.
   2. Changes Required - when changes are required to the Accountability Statement. The Status of Accountability Statement will go to Update Required while the Compliance Officer works on the changes to submit back to the Regulator.
   3. Approved & Active - when the regulator has completed the review and approved the Accountability Statement. A copy of the Accountability Statement will be captured under the Historical Accountability Statement tab.
6. Once the record is Approved & Active, it will be copied and captured in the Historical Accountability Statements.

**Note:** For FAR Regulatory Reporting, Archer Australian Regulatory Correspondence app-pack must be installed to view the Australian Regulatory Correspondence application.

### Update Accountability Statements

User: Compliance Manager

1. Edit Approved Accountability Statement.
2. If any changes are needed, click on the button "Update Required". Record will re-enroll in workflow and changes can be made.

### Retire Accountability Statements

User: Compliance Manager

1. Edit Approved Accountability Statement.
2. To retire the accountability statement, select "Yes" in field "Retire Accountability Statement?" in the General Information Section and click on Save.

## Certification environment

Date tested: February 2025

| Product Name | Version Information | Operating System |
| --- | --- | --- |
| Archer | 2024.11 | Virtual Appliance |