

**Prepared by eMomentum Interactive Systems Limited**

**For First Chartered Securities**

**Submitted on May 2016**

**FC S Governance Risk and Compliance System**

Compliance Module Use Case Test Scenario

# **Introduction**

This document serves to guide the Quality Review Team through testing the Compliance module of the Governance Risk and Compliance System developed for First Chartered Securities Group.

For each product functional area, this Quality Review Record is composed of the following:

1. A process flow image showing how the system is designed to work, based on User Requirements Document and their subsequent revisions.
2. Success criteria describing what outcome is expected as per User Requirements and their subsequent revision.
3. Test results as observed by the Quality Review Team.

# Responsibilities

Team Chair and Chief Reviewer: Catherine Omasete, Dorothy Maseke

Product Presenter: Loise Mwende

Reviewers: Joy Gachoka, Charles Waweru and Sullivan Kiprotich, Kelvin Njoroge, Stanley Kamau

# Quality Review Summary:

* Functional Areas Quality Reviewed passed without reservations:
* Functional Areas Quality Review failed and require additional Review:
* Functional Areas Quality Review accepted with Concession and follow-up actions Recommended:

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# Test Cases

The table below show the process and the actors who do it

|  |  |
| --- | --- |
| Process | Actors |
| Create Authority | Risk Manager |
| Edit Authority | Risk Manager |
| Delete Authority | Risk Manager |
| Create Compliance Dependent | Risk Manager |
| Edit Compliance Dependent | Risk Manager |
| Delete Compliance Dependent | Risk Manager |
| Create Compliance Register | Risk Manager |
| Edit Compliance Register | Risk Manager |
| Delete Compliance Register | Risk Manager |
| Create Compliance Requirement | Risk Manager |
| Edit Compliance Requirement | Risk Manager |
| Delete Compliance Requirement | Risk Manager |
| Add Compliance Requirement to Compliance register | Risk Manager |
| Remove Compliance Requirement from Compliance register | Risk Manager |
| Create Obligation | Risk Manager |
| Edit Obligation | Risk Manager |
| Delete Obligation | Risk Manager |
| Create Compliance | Unit Owner |
| Approve Compliance | Risk Manager |
| Delete Compliance | Risk Manager |
| Create Breach | Unit owner |
| Approve Breach | Risk Manager |

**N.B**: *The Risk Manager is the compliance manager and the Unit owner is the compliance officer.*

# Create Authority

This process involves creating an Authority.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the add Authority button.
2. Should be able to easily create the Authority.
3. Should be able to easily locate created Authority.
4. The authority added should appear in the list of authority dropdown when creating an obligation.

### Test use Case

Actors

* **Risk Manager:** Creates an Authority

*Use Case Scenario: Create Authority*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on the quick create dropdown and clicks on Authority |  |  |  |
| 1. Risk manager fills in the authority form provided |  |  |  |
| 1. Risk manager clicks on the save button |  |  |  |

**Overall Comments:**

# Edit Authority

This process involves editing an Authority’s details

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the add Authority function.
2. Should be able to easily edit the desired Authority.
3. Should be able to easily locate edited Authority with correct details.

### Test use Case

Actors

* **Risk Manager**: Edits Authority

*Use Case Scenario: Edit Authority*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the quick create dropdown and clicks on Authority |  |  |  |
| 1. Risk Manager locates the desired authority and clicks on the pencil icon to edit |  |  |  |
| 1. Risk Manager edits desired details |  |  |  |
| 1. Risk manager clicks on the save button |  |  |  |

**Overall Comments:**

# Delete Authority

This process involves deleting an Authority.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the add Authority function.
2. Should be able to easily delete the desired Authority.
3. The authority deleted should not appear in the corresponding authority dropdown when creating an obligation.

### Test use Case

Actors

* **Risk Manager:** Deletes an Authority

*Use Case Scenario: Delete Authority*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the quick create dropdown and selects Authority |  |  |  |
| 1. Risk Manager locates the desired authority and clicks on the trash icon to delete |  |  |  |
| 1. Risk Manager confirms delete |  |  |  |

**Overall Comments:**

# Create Compliance Dependent

This process involves creating a Compliance Dependent.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the add Compliance Dependent function.
2. Should be able to easily create the Compliance Dependent.
3. Should be able to easily locate created Compliance Dependent
4. The Compliance Dependent added should appear in the list of Compliance Dependent dropdown when creating an obligation.

### Test use Case

Actors

* **Risk Manager:** Creates Compliance Dependent

*Use Case Scenario: Create Compliance Dependent*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on the quick create dropdown and clicks compliance dependent |  |  |  |
| 1. Risk manager fills in the compliance dependent form provided |  |  |  |
| 1. Risk manager clicks on the save button |  |  |  |

**Overall Comments:**

# Edit Compliance Dependent

This process involves editing a Compliance Dependent.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the Compliance Dependent button.
2. Should be able to easily edit the desired Compliance Dependent.
3. Should be able to easily locate edited Compliance Dependent with correct details

### Test use Case

Actors

* **Risk Manager:** Edits Compliance Dependent

*Use Case Scenario: Edit Compliance Dependent*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the quick create dropdown and clicks Compliance Dependent |  |  |  |
| 1. Risk Manager locates the desired Compliance Dependent and clicks on the pencil icon to edit |  |  |  |
| 1. Risk Manager edits desired details |  |  |  |
| 1. Risk manager clicks on the save button |  |  |  |

**Overall Comments:**

# Delete Compliance Dependent

This process involves deleting a Compliance Dependent.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the Compliance Dependent function.
2. Should be able to easily delete the desired Compliance Dependent.
3. Should be able to easily locate deleted Compliance Dependent with correct details.

### Test use Case

Actors

* **Risk Manager:** Deletes a Compliance Dependent

*Use Case Scenario: Delete Compliance Dependent*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the quick create dropdown and clicks Compliance Dependent |  |  |  |
| 1. Risk Manager locates the desired Compliance Dependent and clicks on the trash icon to delete |  |  |  |

**Overall Comments:**

# Create Compliance Register

This process involves creating a Compliance Register

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have successfully navigated to the Compliance Registers page

### Success Criteria

1. Should be able to easily navigate to Compliance Dashboard.
2. Should be able to easily find the Compliance Registers page.
3. Should be able to easily find the add Register button.
4. Should be able to successfully create the Compliance Register.
5. Should be able to find created Compliance Register
6. Should be able to add compliance requirements to the register

### Test use Case

#### Actors

* **Risk Manager:** Creates Compliance Register

*Use Case Scenario: Create a Compliance Register*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the Registers button on the mini menu |  |  |  |
| 1. Risk Manager clicks on the add the Compliance Register button |  |  |  |
| 1. Risk manager fills in the Compliance Register form |  |  |  |
| 1. Risk manager saves form |  |  |  |

**Overall Comments:**

# Edit Compliance Register

This process involves editing Compliance Register.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have successfully navigated to the Compliance Registers page.

### Success Criteria

1. Should be able to select the desired Compliance Register.
2. Should be able to click on the edit button.
3. Should edit and save the Compliance Register form.
4. Should be able to view edited Compliance Register details

### Test use Case

Actors

* **Risk Manager**: Edits Compliance Register

*Use Case Scenario: Edit Compliance Register*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the Registers button on the mini menu |  |  |  |
| 1. Risk Manager clicks on edit button on the specific Compliance Register |  |  |  |
| 1. Risk Manager edits the Compliance Register form |  |  |  |
| 1. Risk Manager saves the form |  |  |  |

**Overall Comments:**

# Delete Compliance Register

This process involves deleting the Compliance Register

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have successfully navigated to the Compliance Registers page.

### Success Criteria

1. Should be able to select the desired Compliance Register.
2. Should be able to click on the edit button.
3. Should delete the Compliance Register form.
4. Should not be able to view edited Compliance Register details
5. The compliance requirements in this register should still be visible in the system

### Test use Case

Actors

* **Risk Manager**: Deletes Compliance Register

*Use Case Scenario: Delete Compliance Register*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the Registers button on the Compliance menu |  |  |  |
| 1. Risk Manager clicks on delete button on the specific Compliance Register |  |  |  |
| 1. Risk Manager deletes the specific Compliance Register |  |  |  |

**Overall Comments:**

# Create Compliance Requirement

This process involves creating a compliance requirement

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard
3. There should be existing units in the system (environment)
4. There should be existing source documents in the system
5. There should be existing Compliance Registers in the system

### Success Criteria

1. Should be able to easily find the Compliance dashboard.
2. Should be able to easily find the Create Compliance Requirement button.
3. Should be able to successfully add the Compliance Requirement
4. Should be able to successfully find the created Compliance Requirement:
   1. On the dashboard
   2. In the page for the type of Compliance requirement (Statutory, Legal or Business Compliance)
   3. On the All Compliance Requirements page
   4. On the Reports Page

### Test use Case

Actors

* **Risk Manager:** Creates Compliance Requirement

*Use Case Scenario: Create Compliance Requirement*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on the compliance requirement button on the compliance menu, clicks on the create Compliance Requirement button and fills in the details |  |  |  |
| 1. Risk Manager saves the form |  |  |  |
| 1. Send email notification to the primary, secondary and tertiary owners |  |  |  |

**NB:** A compliance requirement can also be created by navigating to either the legal compliance, business compliance or statutory compliance pages by clicking on the new compliance requirement button

**Overall Comments:**

# Edit Compliance Requirement

This process involves editing a Compliance Requirement

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully selected the specific Compliance Requirement.
3. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the Compliance dashboard.
2. Should be able to successfully find the desired Compliance Requirement:
   1. On the dashboard
   2. In the page for the type of Compliance requirement (Statutory, Legal or Business Compliance)
   3. On the All Compliance Requirements page
   4. On the Reports Page
3. Should be able to easily find the Edit Compliance Requirement function
4. Should be able to successfully find the edited Compliance Requirement with details

### Test use Case

Actors

* **Risk Manager:** Edits Compliance Requirement

*Use Case Scenario: Edit compliance Requirement*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager locates the desired compliance requirement and clicks on edit |  |  |  |
| 1. Risk Manager saves the form |  |  |  |
| 1. Sends email notification to the primary, secondary and tertiary owners |  |  |  |

**Overall Comments:**

# Delete Compliance Requirement

This process involves deleting a Compliance Requirement

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully selected the specific Compliance Requirement.
3. The user should have successfully navigated to the Compliance dashboard.

### Success Criteria

1. Should be able to easily find the Compliance dashboard.
2. Should be able to successfully find the desired Compliance Requirement:
   1. On the dashboard
   2. On the All Compliance Requirements page
   3. On the Reports Page
3. Should be able to easily find the delete Compliance Requirement function
4. Should not be able to find the deleted Compliance Requirement

### Test use Case

Actors

* **Risk Manager:** Deletes Compliance Requirement

*Use Case Scenario: Delete Compliance Requirement*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on the delete button |  |  |  |
| 1. Sends email notification to the primary, secondary and tertiary owners |  |  |  |

**Overall Comments:**

# Add Compliance Requirement to Compliance Register

This process involves adding a Compliance Requirement to a Compliance Register

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have successfully navigated to the Compliance Registers page.

### Success Criteria

1. Should be able to easily navigate to the Compliance Registers page.
2. Should be able to easily find the ‘Select Compliance Requirements’ button.
3. Should be able to add desired Compliance Requirements.
4. Successfully add desired Compliance Requirements to a Compliance register.
5. The added Compliance Requirements should appear in the Compliance Register

### Test use Case

Actors

* **Risk Manager**: Adds Compliance Requirements to Compliance Requirements

*Use Case Scenario: Add Compliance Requirement to Compliance Register*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager Selects desired Compliance Register |  |  |  |
| 1. Risk Manager clicks on ‘Select Compliance Requirements’ button |  |  |  |
| 1. Risk Manager selects desired Compliance Requirements |  |  |  |
| 1. Risk Manager Saves |  |  |  |

**Overall Comments:**

# Remove Compliance Requirement from Compliance Register

This process involves removing Compliance Requirements from a Compliance Register

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have successfully navigated to the Compliance Registers page.

### Success Criteria

1. Should be able to easily navigate to the Compliance Registers page.
2. Should be able to easily find the ‘Select Compliance Requirements’ button.
3. Should be able to remove desired Compliance Requirements.
4. Successfully add desired Compliance Requirements to a Compliance register.
5. The deleted Compliance Requirements should not appear in the Compliance Register

### Test use Case

Actors

* **Risk Manager**: Removes Compliance Requirements from Compliance Register

*Use Case Scenario: Remove Compliance Requirement from Compliance Register*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager Selects desired Compliance Register |  |  |  |
| 1. Risk Manager clicks on ‘Select Compliance Requirements’ button |  |  |  |
| 1. Risk Manager Unchecks desired Compliance Requirements |  |  |  |
| 1. Risk Manager Saves |  |  |  |

**Overall Comments:**

# Create an Obligation

This process involves creating an Obligation

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. There should be existing Compliance Requirements
4. There should be existing Authorities
5. There should be existing Compliance Dependent

### Success Criteria

1. Should be able to easily find the Compliance Dashboard.
2. Should be able to easily find the add Obligation button.
3. Should be able to successfully add Obligation
4. Should be able to successfully locate the new Obligation:
   1. In the page for the type of Compliance requirement (Statutory, Legal or Business Compliance)
   2. Under the compliance requirement it was created under
5. Email notifications

### Test use Case 1

Actors

* **Unit Owner:** Creates an Obligation
* **Risk Manager:** Receives Email notification

*Use Case Scenario: Create Obligation*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit Owner clicks on quick create dropdown and selects obligation and fills in the obligation details |  |  |  |
| 1. Unit Owner saves the Obligation form |  |  |  |
| 1. Sends email notification to the Risk Manager |  |  |  |

**NB:** An Obligation can also be created by opening a compliance requirement and clicking on the add new Obligation button

**Overall Comments:**

### Test Use Case 2

Actors

* **Risk Manager:** Create an Obligation

*Use Case Scenario: Create Obligation*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager clicks on quick create dropdown and selects Obligation and fills in the Obligation details |  |  |  |
| 1. Risk manager saves the Obligation form |  |  |  |
| 1. Sends email notification to the primary and secondary owners |  |  |  |

**NB:** An Obligation can also be created by opening a Compliance Requirement and clicking on the add new Obligation button

**Overall Comments:**

# Validate an Obligation

This process involves selecting the proposed incidents to approve/reject.

### Prerequisites

1. The Risk Manager should have successfully logged into the system.
2. The Risk Manager should have accessed the specific Obligation from the notification sent.

### Success Criteria

1. Should be able to access the specific Obligation from the notification sent.
2. Should be able to approve/reject the Obligation.
3. The Obligation status should change.

### Test use Case

#### Actors

* **Risk Manager:** Approves/Rejects Obligation

#### Use Case Scenario: Validate Obligation

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager accesses the specific proposed Obligation |  |  |  |
| 1. Risk Manager clicks on the Approve/Reject button |  |  |  |
| 1. System sends email notification to primary and secondary owners |  |  |  |

**Overall Comments:**

# Edit an Obligation

This process involves editing an Obligation.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have selected the specific Compliance Requirement.

### Success Criteria

1. Should be able to easily find the Compliance Dashboard.
2. Should be able to successfully locate the new Obligation:
   1. In the page for the type of Compliance Requirement (Statutory, Legal or Business Compliance)
   2. Under the Compliance Requirement it was created under
3. Should be able to easily find the Edit Obligation function
4. Should be able to find the edited Obligation with details

### Test use Case

Actors

* **Risk Manager:** Edits Obligation

*Use Case Scenario: Edit Obligation*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on the desired Obligation |  |  |  |
| 1. Risk manager clicks on the edit button, fills in desired details and saves |  |  |  |
| 1. Sends email notification to the unit owner (primary owner) |  |  |  |

**Overall Comments:**

# Delete an Obligation

This process involves deleting an Obligation.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. The user should have selected the specific Compliance Requirement.

### Success Criteria

1. Should be able to easily find the Compliance Dashboard.
2. Should be able to successfully locate the new Obligation:
   1. In the page for the type of Compliance requirement (Statutory, Legal or Business Compliance)
   2. Under the compliance requirement it was created under
3. Should be able to easily find the delete Obligation function
4. Should not be able to find the deleted Obligation

### Test use Case

Actors

* **Risk Manager:** Deletes Obligation

*Use Case Scenario: Delete Obligation*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk manager clicks on the desired Obligation |  |  |  |
| 1. Risk manager clicks on the delete button |  |  |  |
| 1. Sends email notification to the unit owner (primary owner) |  |  |  |

**Overall Comments:**

# Create a Compliance

This process involves marking an obligation as complied.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. Obligations should be existing
4. The current date should be less than or equal to the notification date

### Success Criteria

1. Should be able to easily find the Compliance Dashboard.
2. Should be able to find the comply function
3. Should be able to successfully comply to an Obligation

### Test use Case

Actors

* **Unit Owner/ Compliance Officer:** Creates a compliance

*Use Case Scenario: creating a Compliance*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner locates desired Obligation |  |  |  |
| 1. Unit Owner marks the Obligation as complied |  |  |  |
| 1. Unit owner fills in Compliance details and saves |  |  |  |
| 1. System sends email notification to Risk Manager |  |  |  |

**Overall Comments:**

# Approve Compliance

This process involves approving a Compliance.

### Prerequisites

1. The Risk Manager should have successfully logged into the system.
2. The Risk Manager should have accessed the specific obligation with the compliance from the notification sent.

### Success Criteria

1. Should be able to access the specific Obligation with the Compliance from the notification sent.
2. Should be able to approve/reject the Obligation with the Compliance
3. The current status of an Obligation should change to complied

### Test use Case

#### Actors

* **Risk Manager:** Approves/Rejects Compliance

#### Use Case Scenario: Approve Compliance

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager accesses the specific proposed Compliance |  |  |  |
| 1. Risk Manager clicks on the Approve/Reject button |  |  |  |
| 1. System sends email notification to primary and secondary owner |  |  |  |

**NB:** If a compliance is rejected, a breach will be created

**Overall Comments:**

# Create a Breach

This process involves marking an Obligation as breached.

### Prerequisites

1. The user should have successfully logged into the system.
2. The user should have successfully navigated to the Compliance dashboard.
3. Obligations should be existing
4. The current date should be greater than the notification date
5. For Obligations of the type legal or business compliance, a late review should have already been created by the system

**Note:** If an Obligation is statutory, it will be created automatically if the current date is greater than the submission date and there was no compliance.

### Success Criteria

1. Should be able to easily find the Compliance Dashboard.
2. Should be able to find the breach function
3. Should be able to successfully create a breach
4. Should be able to change the current status of an Obligation to breached

### Test use Case

Actors

* **Unit Owner/ Compliance Officer:** Creates a breach

*Use Case Scenario: creating a Breach*

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Unit owner locates desired Obligation |  |  |  |
| 1. Unit Owner clicks on Breaches in the Obligation Activities section |  |  |  |
| 1. Unit Owner clicks on New |  |  |  |
| 1. Unit owner fills in breach details and saves |  |  |  |
| 1. Sends email notification to Risk Manager |  |  |  |

**Overall Comments:**

# Approve a Breach

This process involves approving a Breach.

### Prerequisites

1. The Risk Manager should have successfully logged into the system.
2. The Risk Manager should have accessed the specific Obligation with the breach from the notification sent.

### Success Criteria

1. Should be able to access the specific Obligation with the breach with the breach from the notification sent.
2. Should be able to approve/reject the Obligation with the Breach

### Test use Case

#### Actors

* **Risk Manager**: Approves/Rejects Breach

#### Use Case Scenario: Validate Breach

|  |  |  |  |
| --- | --- | --- | --- |
| **STEP** | **Was Information Readily Available** | **PASS/FAIL?** | **CONCESSION IF FAIL** |
| 1. Risk Manager accesses the specific proposed breach |  |  |  |
| 1. Risk Manager clicks on the Approve/Reject button |  |  |  |
| 1. System sends email notification to primary and secondary owner |  |  |  |

**NB:** If a breach is rejected, a compliance will be created

**Overall Comments:**