Compliance Module

User Guide

Prepared By

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Contents

Revision History

Date	Version	Change Description	Prepared By	Reviewed By	Approved By
03-09-2019	V1.0	First Release	Udhayaraj. V	Deepa.A	Deepa. A
10-01-2020	V1.1	1.Updated the following modules • Search filter • Email Triggers 2. Added the following modules • Bulk Status update • Bulk Assignee update • Excel List Exporting	Udhayaraj. V	Deepa.A	Deepa. A

Copyright Information

Introduction

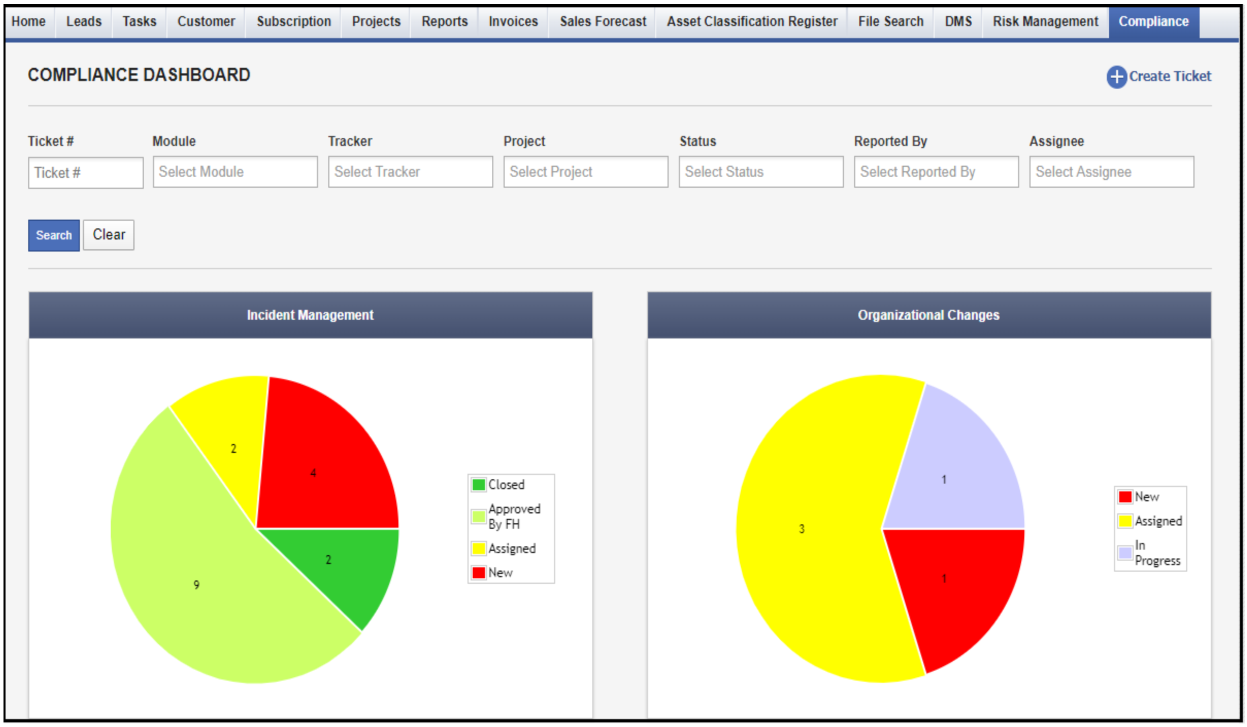
Purpose

Compliance Module is built to track Organization's Internal Audit findings, External Audit findings, Incidents, Changes, etc. It is similar to Redmine, in terms of tracking with the following advantages:

- Gives a pictorial representation of all data.
- Dashboards give Senior Management a better idea on Organizational Compliance.
- Creation of project in Redmine can be avoided, as all tickets can be raised against the existing projects in CRM itself
- Project Managers themselves can provide access to Reported and Auditors, unlike Redmine where Admin only can do so and admin has to again map CISO, FH, Reported, Auditor for each project that is created in Redmine.

This user Guide gives the end user on how to use this module in CRM. Like Provisioning access to Users for specific project, creating Tickets under respective Module/Tracker, Tracking those to closure.

Compliance Dashboard – First look



Data in the form of these pie charts will show up:

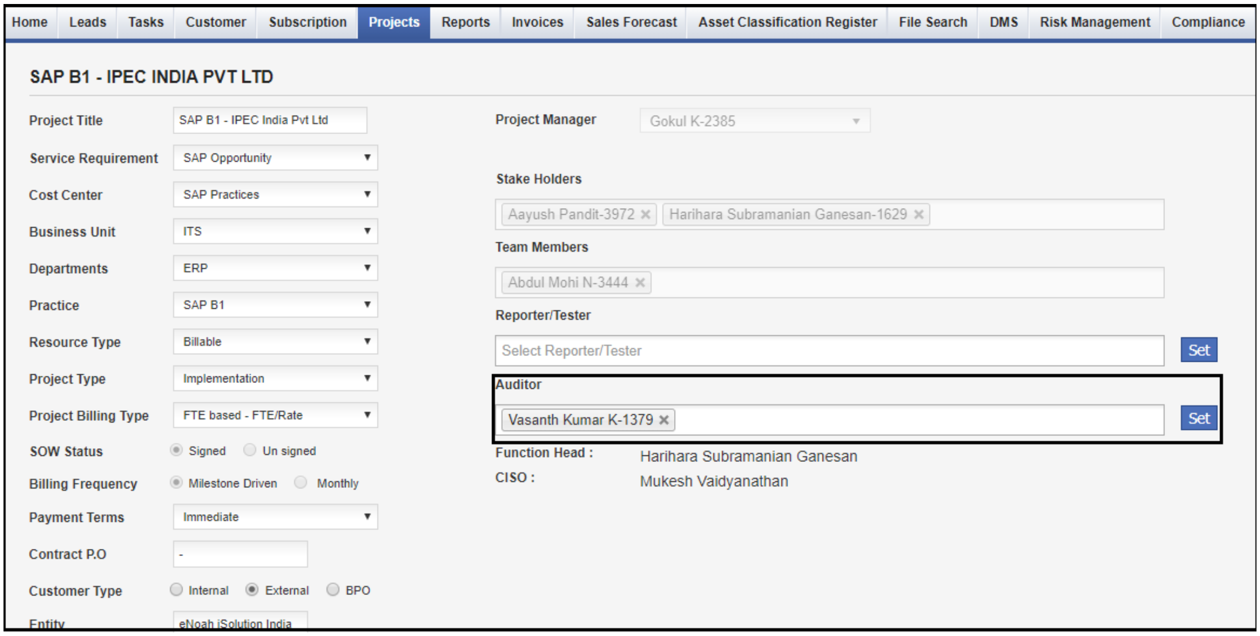
1. Only if there are any tickets under the specific module – Example module here is “Organizational Changes”, “Issues” modules charts are available, because tickets have been raised under this module.
2. Only if that specific user has been mapped to the project under which a ticket has been raised.

Access Provisioning:

Project Manager of a Project in CRM needs to add users of the below roles, in the Project Details screen along with the other fields like Stakeholders & Team members:

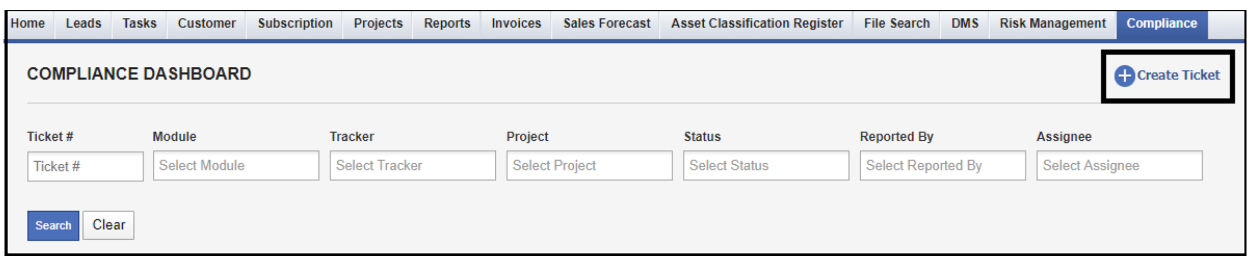
- **Auditor**

Function Head and CISO fields are displayed as <u>read-only</u> fields.

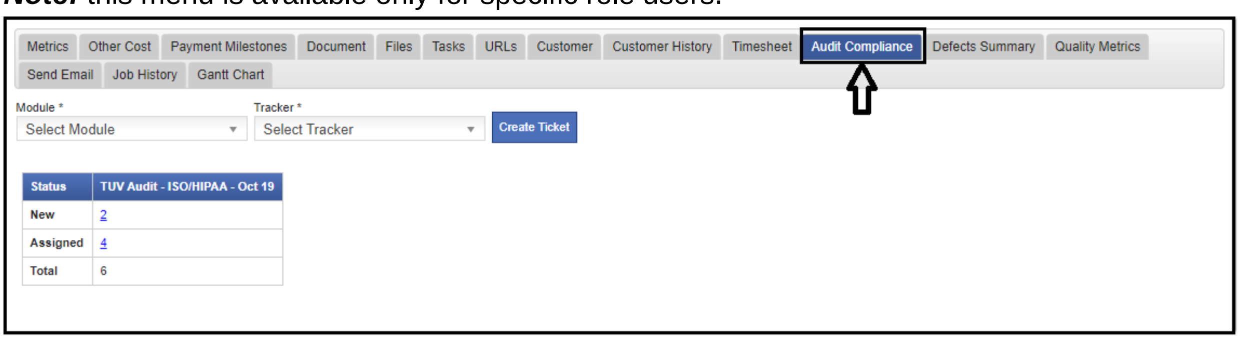


Raising a Ticket

Ticket can be raised in **two** ways. From “**Compliance**” menu

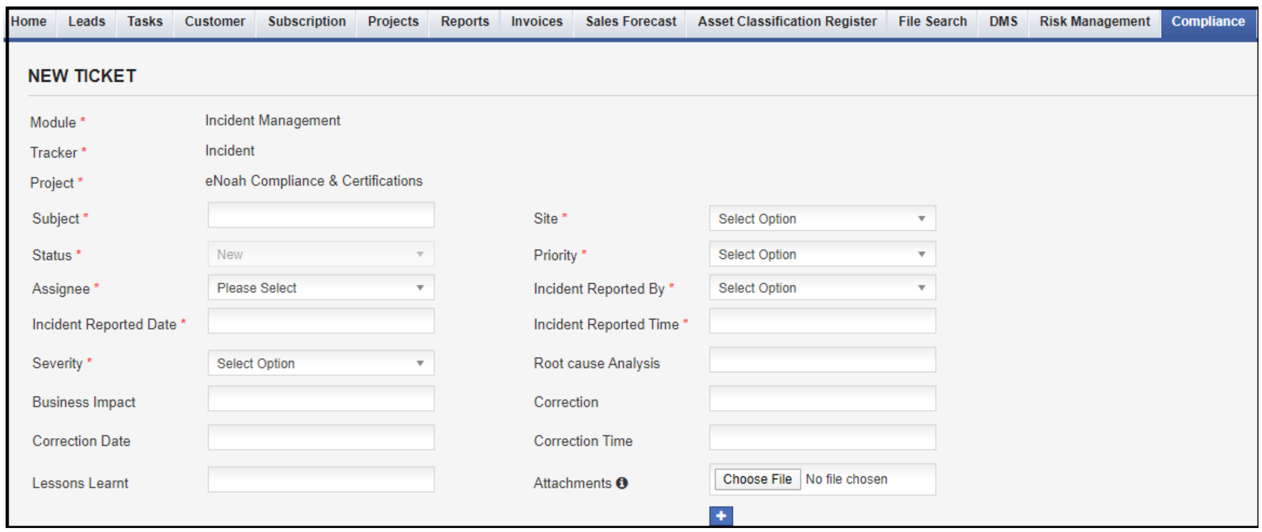


From “**Audit Compliance**” menu under Project Details screen.
Note: this menu is available only for specific role users.



Ticket Creation Steps:

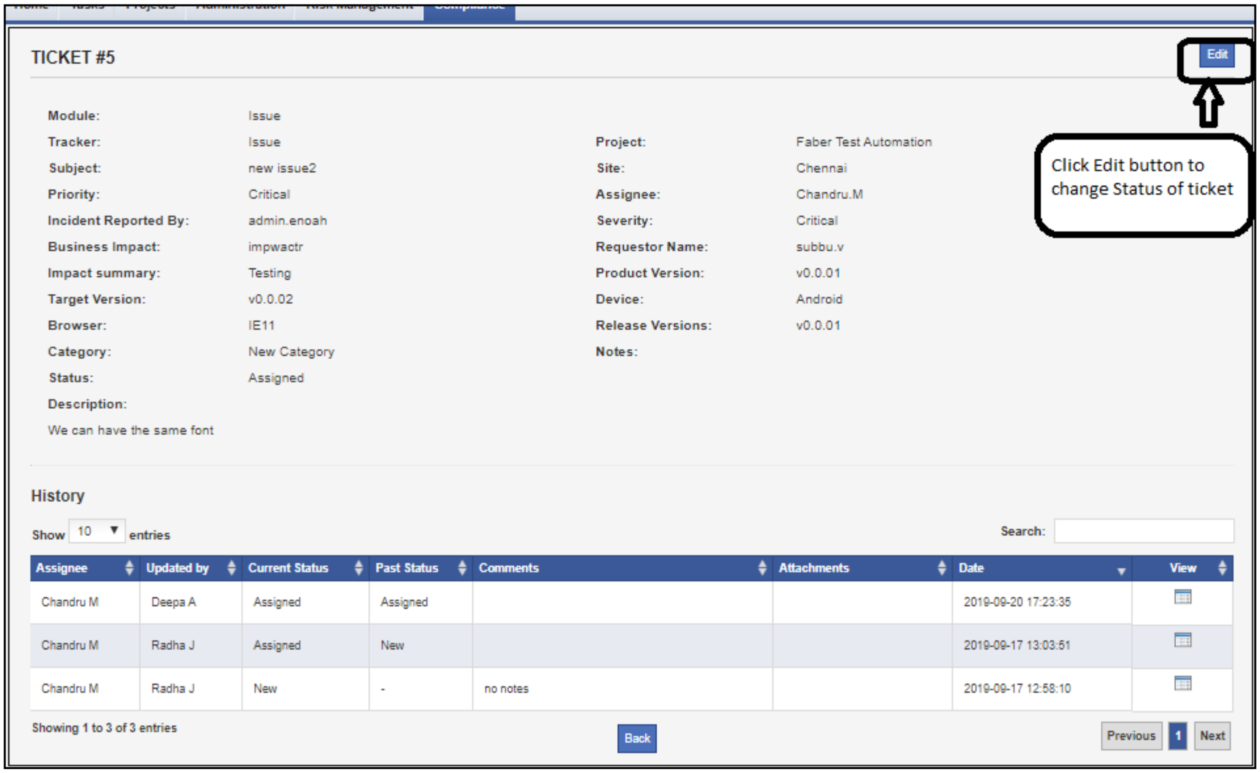
1. Click on **Create Ticket** button
2. Select the Module, Tracker and Project for which Ticket is to be created.
   Note: Project dropdown will not be available if the ticket is been created from "Audit Compliance" tab.



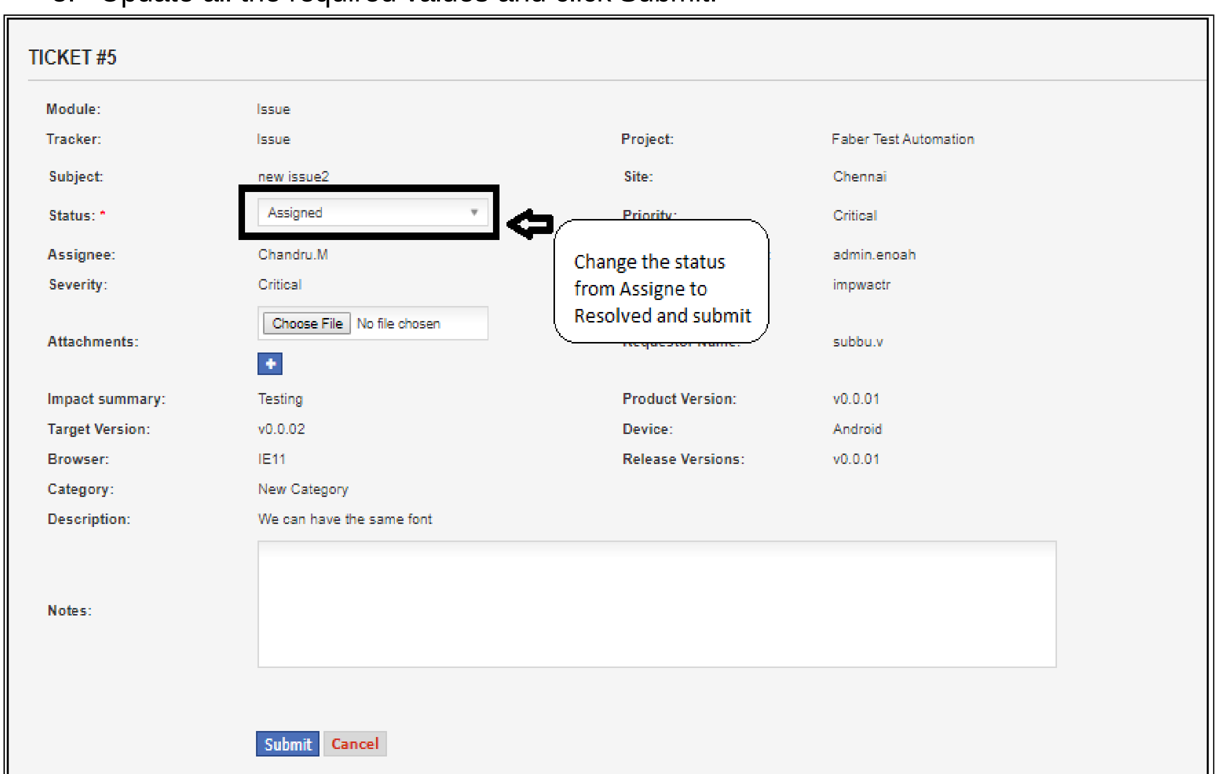
3. Enter all mandatory fields and click "Submit".
4. The ticket will show as in the Dashboard screen.
5. Click on the chart and it will take the user to the "**Compliance List**" screen.

Editing a Ticket

1. Email is triggered to the user on whose name the ticket has been assigned to.
2. That user can see the ticket in the **Compliance Dashboard** screen.
3. Click on the pie chart it takes the user to the **Compliance List** screen.
4. Click on the **Ticket#** hyperlink and then on the **Edit** button.



5. Update all the required values and click Submit.



Things to Know

Status

A ticket can carry one of the below status (not limited to) during its lifecycle. This helps to understand what action needs to be taken on that ticket.
New, Assigned, In-Progress, Ready for review, Resolved, Reviewed by Auditor, Refer back, Approved by Function Head/CISO, Closed, etc.

Module

Module is the category under which the ticket will show in the dashboard.
Examples: Internal Audit- CHN, Internal Audit- INDR, External Audit, Organizational Changes, Incidents, etc.

Tracker

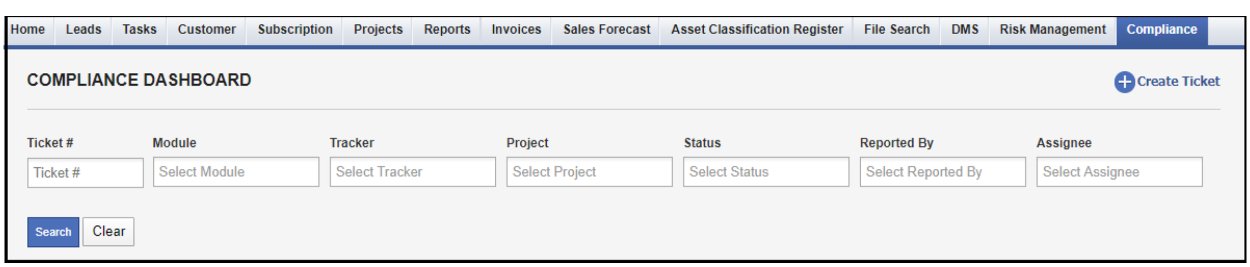
Tracker is the criteria under which a ticket is raised.
Example: Observation, Non-Conformance (NC), Recommendation, Issues, Change, etc. These trackers can repeat for each module example:

- Internal Audit- CHN can have multiple trackers mapped to it like – NC, Observation, Recommendation, etc.
- Internal Audit- INDR can also have the same trackers mapped to it.

Tracker drives the status transition for any ticket

Dashboard Filters

The following filters are available in the **Compliance Dashboard** screen and **Compliance List** screen.



Ticket ID By Entering the Ticket Id user can filter the Ticket.

ModuleSelecting Particular Module shows all the Tickets raised for that module (ex-Internal Audit, issue)

Status Selecting the Status will show the Tickets which are in the Selected Status (ex-New, Closed)

Tracker Selecting the Tracker name shows all Related Tickets for that Tracker (ex-Observation, NC)

Project Selecting the Project will show all the Tickets created for that Project

Reported By Selecting from the listed users shows all the Tickets reported by that specific user

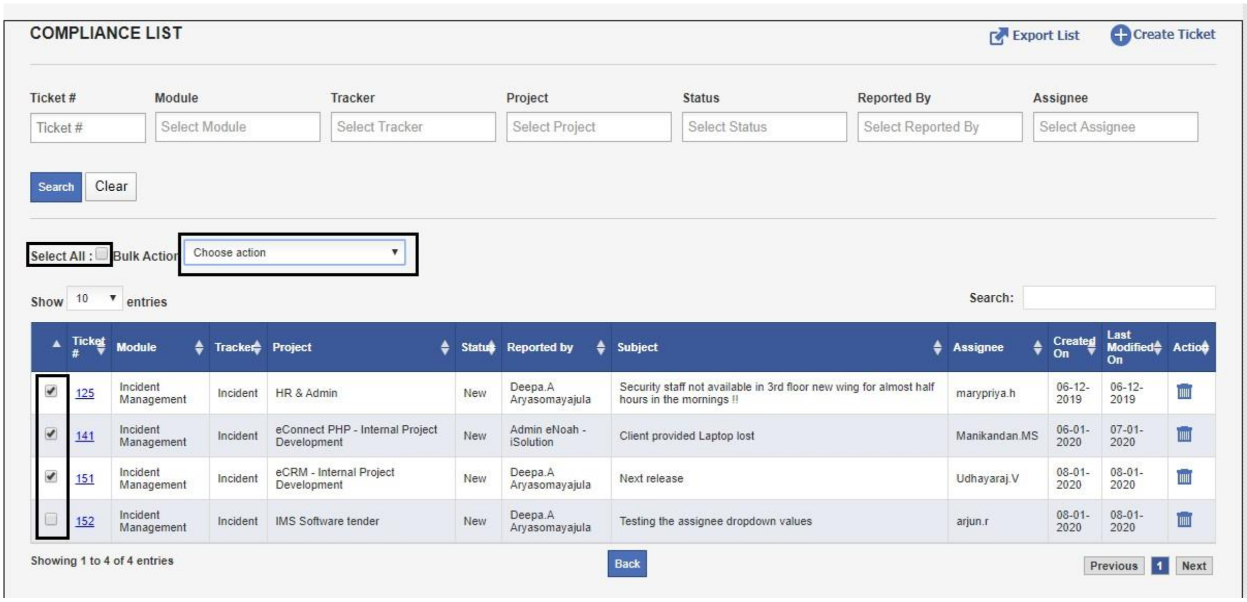
Assignee Selecting the particular user from this list will list all the Tickets assigned to that user. Selecting (None) option from the list will display the tickets which are not yet assigned to any user.

Email triggers

Emails are triggered to Author (who creates a ticket), Project manager of that respective project, Assignee (to whom it is assigned) and to the respective Reporters/Auditors of the project from Ticket creation to every action or changes made to the particular ticket.

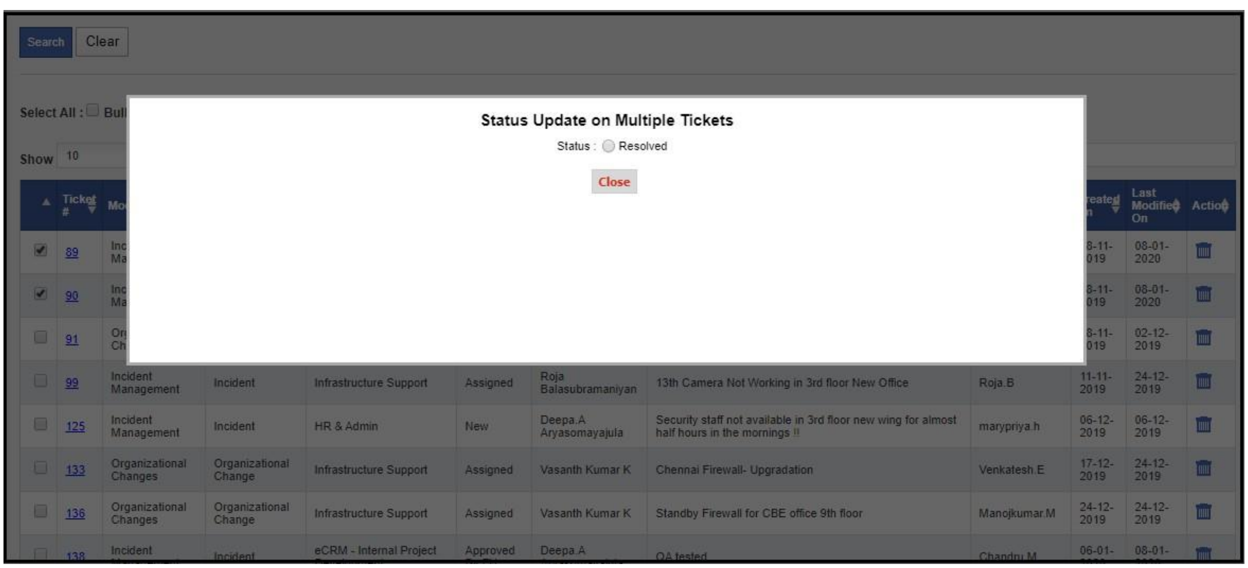
Bulk Status Update

Consider when a user needs to change the status for the list of tickets, on checking the checkbox present on each tickets you want to be changed and Select the action on field named Bulk action. On checking Select all Checkbox will apply to all the tickets present on that particular list.

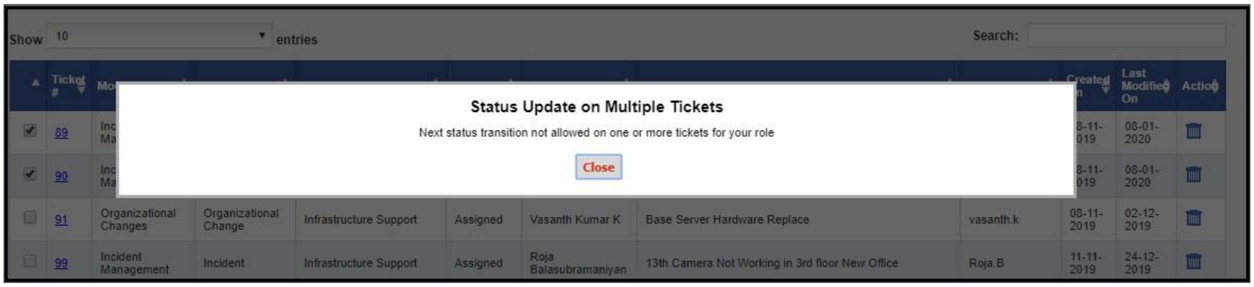


Status display based on Trackers and Role

If the list of tickets consists of tickets from 2 or more trackers (say Incident and Audit tracker) and when we use the Bulk action for changing the status of those tickets from Assigned, it will display the common status mapped in the workflow for a specific role of that specific trackers (say Incident tracker mapping from Assigned to a) Ready for Review and b) Resolved and Audit tracker mapping only from Assigned to a) Resolved), then the common status mapped (closed) will be displayed to select and update.



If there is no common status found for those roles based on the selected tickets of 2 trackers then it will not display any status with a message on that.



Bulk Assignee Update

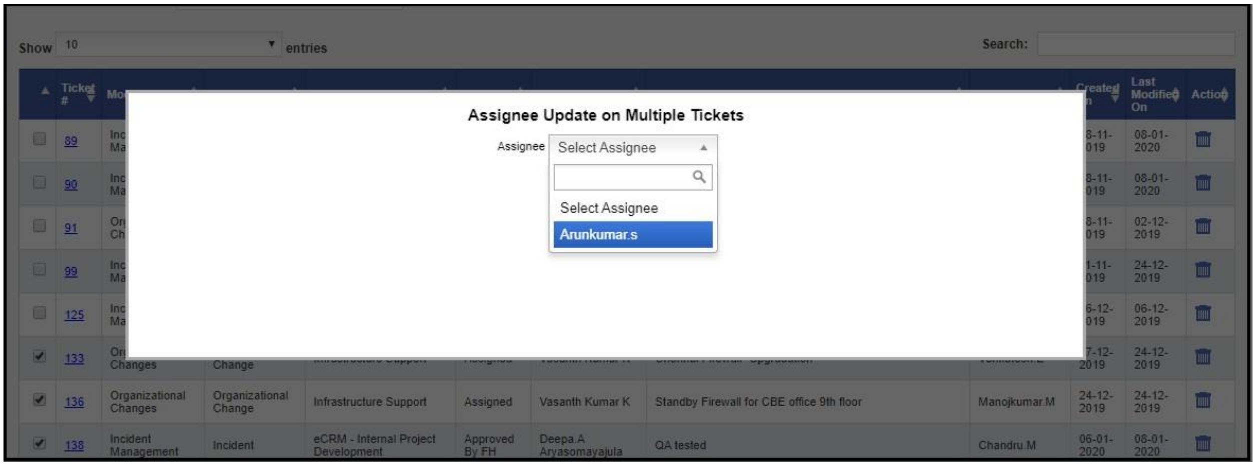
To assign the list of tickets of different projects (say ecrm and eConnect projects) to one particular user, then on Selecting Assignee option on Bulk action it will check for the common members present on those projects (say ecrm project members will be A,B,C,D and eConnect will have members B,D,G,H. common members will be B and D)and display those members as assignees.

Select All : Bulk Action Choose action

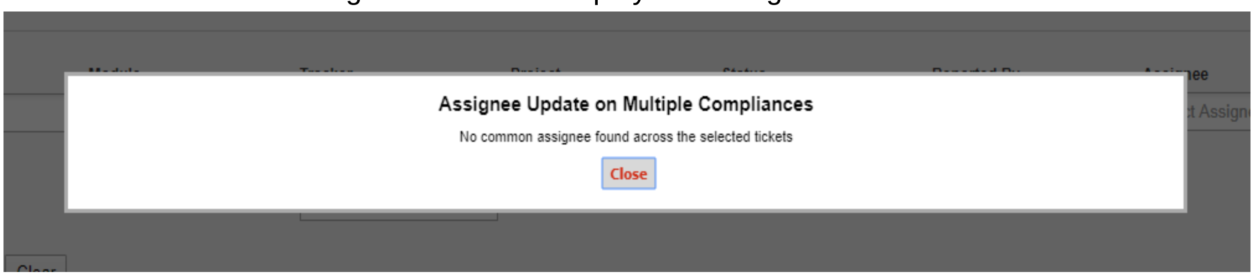
Show 10 entries Search:

	Ticket #	Module	Tracker	Project	Status	Reported by	Subject	Assignee	Created On	Last Modified On	Action
☐	89	Incident Management	Incident	Infrastructure Support	Approved By FH	Roja Balasubramaniyan	Airtel ISP Link Down - Chennai Location	Roja.B	08-11-2019	08-01-2020	
☐	90	Incident Management	Incident	Infrastructure Support	Approved By FH	Roja Balasubramaniyan	CCTV-Camera Recording Not happening	Roja.B	08-11-2019	08-01-2020	
☐	91	Organizational Changes	Organizational Change	Infrastructure Support	Assigned	Vasanth Kumar K	Base Server Hardware Replace	vasanth.k	08-11-2019	02-12-2019	
☐	99	Incident Management	Incident	Infrastructure Support	Assigned	Roja Balasubramaniyan	13th Camera Not Working in 3rd floor New Office	Roja.B	11-11-2019	24-12-2019	
☐	125	Incident Management	Incident	HR & Admin	New	Deepa.A Aryasomayajula	Security staff not available in 3rd floor new wing for almost half hours in the mornings !!	marypriya.h	06-12-2019	06-12-2019	
☑	133	Organizational Changes	Organizational Change	Infrastructure Support	Assigned	Vasanth Kumar K	Chennai Firewall- Upgradation	Venkatesh.E	17-12-2019	24-12-2019	
☑	136	Organizational Changes	Organizational Change	Infrastructure Support	Assigned	Vasanth Kumar K	Standby Firewall for CBE office 9th floor	Manojkumar.M	24-12-2019	24-12-2019	
☑	138	Incident Management	Incident	eCRM - Internal Project Development	Approved By FH	Deepa.A Aryasomayajula	QA tested	Chandru.M	06-01-2020	08-01-2020	
☑	139	Incident Management	Incident	eCRM - Internal Project Development	Closed	Deepa.A Aryasomayajula	Few functions not working	Balaganesh.P	06-01-2020	07-01-2020	
☑	140	Organizational Changes	Organizational Change	eCRM - Internal Project Development	New	Deepa.A Aryasomayajula	Crm issue fixes	Rajalakshmi.SA	06-01-2020	08-01-2020	

You will be displayed with a Common assignee on the projects selected like below

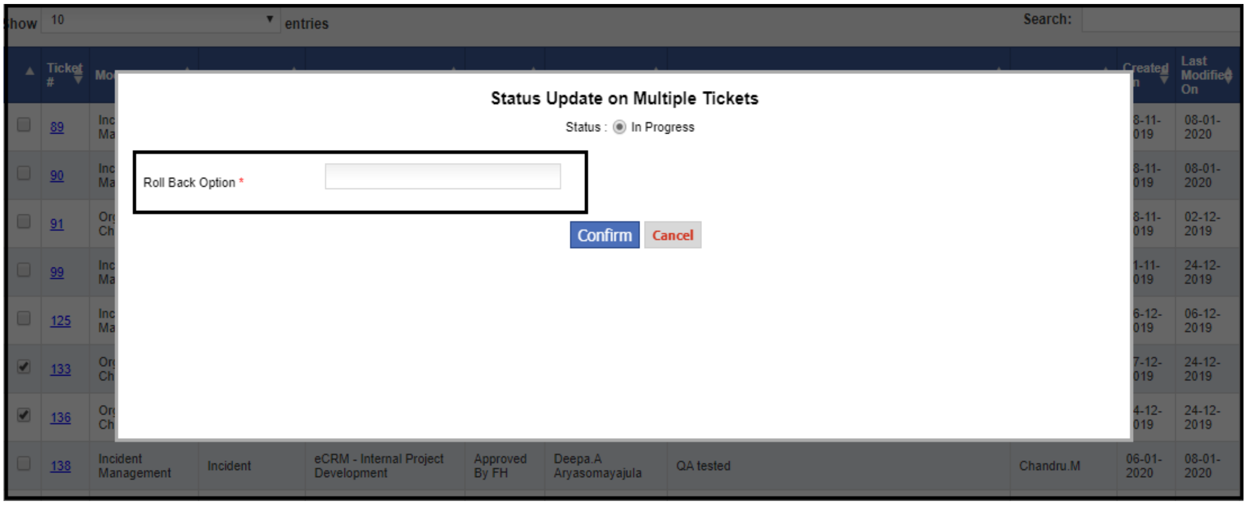


If there is no common assignee then it will display a message like

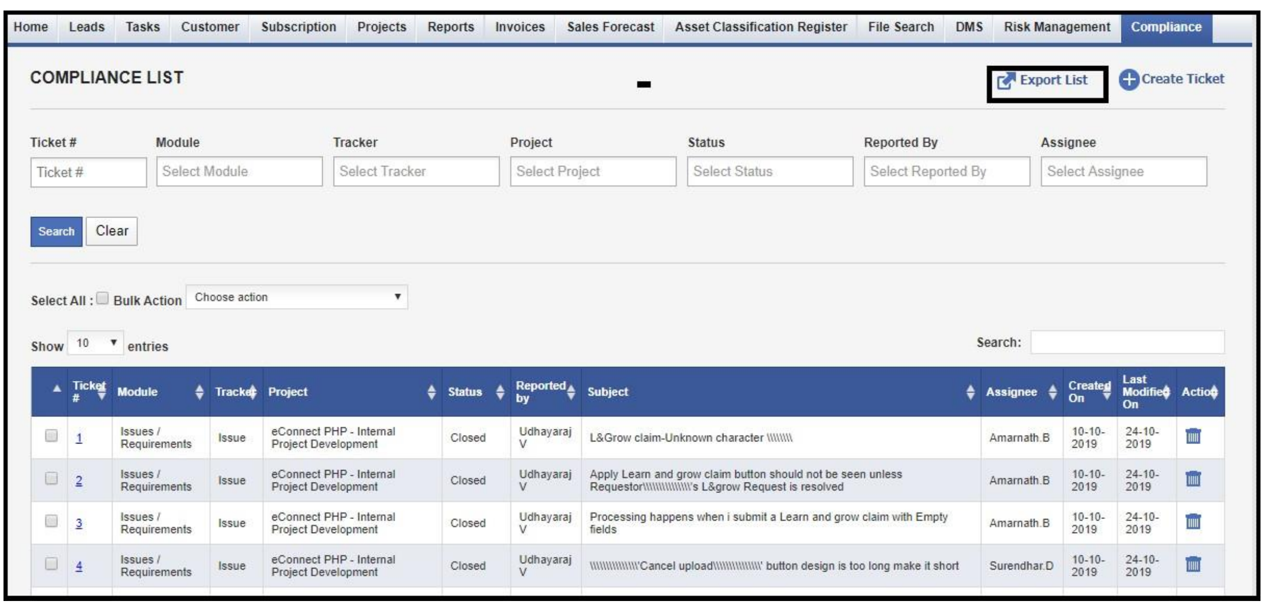


Handling of Mandatory fields

While changing the status of some tickets with different trackers. For some trackers mapping will be there like Mandatory field should be given whenever changing to that specific status. In this scenario while you are doing a bulk action for tickets of those different trackers, one of those tracker having a Mandatory field while changing to that status will display the Mandatory field on selecting that status and it will be applied only to that particular tickets of that tracker alone and will not be applied for all the tickets.



Excel List Export



For downloading the Reports use the **Export List** option.
If the Report consist tickets of various trackers, the Report data which are not mapped to that tracker will be shown as **Not Applicable**

	L	M	N	O	
1	**Incident Reported By**	**Incident Reported Date**	**Incident Reported Time**	**Severity**	
2	vasanth.k	30-10-2019	9:30 AM	Critical	Analyzed the link fluctuation in airtel ISP. We immediately r
3	Roja.B	15-10-2019	9:45 PM	Major	Having communication issue between NAS drive and Local s
4	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable
5	Roja.B	11-11-2019	10:45 AM	Minor	13th Camera Lan connetivity problem. Camera not blinking
6	deepa.a	06-12-2019	10:15 AM	Major	
7	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable
8	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable
9	admin.enoah	05-01-2020	3:30 AM	Tweak	
10	ajitkumar.g	05-01-2020	1:30 AM	Minor	Corrected the issue
11	Not applicable	Not applicable	Not applicable	Not applicable	Not applicable
12	surendar.k	06-01-2020	1:30 AM	Critical	