metricstream

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Governance, Risk, and Compliance Intelligence

User Guide

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Contents

Overview

The GRC Intelligence User Guide provides information about using the MetricStream **GRC Intelligence** module. This guide is intended for business users of MetricStream solutions. Business users can be senior executives and members from lines of business as well as governance organizations.

Given the ever-changing world of regulations, organizations require a tool by using which they can stay updated with regulatory changes. Latest information on regulatory changes helps to proactively resolve the non-compliance regulatory related tasks.

GRC Intelligence module is the gateway to bring in content, news, files into the MetricStream Ecosystem (Back-end capabilities of Content aggregation, distribution, delivery framework). It enables Business Users to monitor regulatory updates that govern them and quickly respond to such changes. These data feeds are available within the product for interpretation and consumption by various users.

Sections:

GRC Intelligence Process Flow

The following figure displays the GRC Intelligence Process Flow.

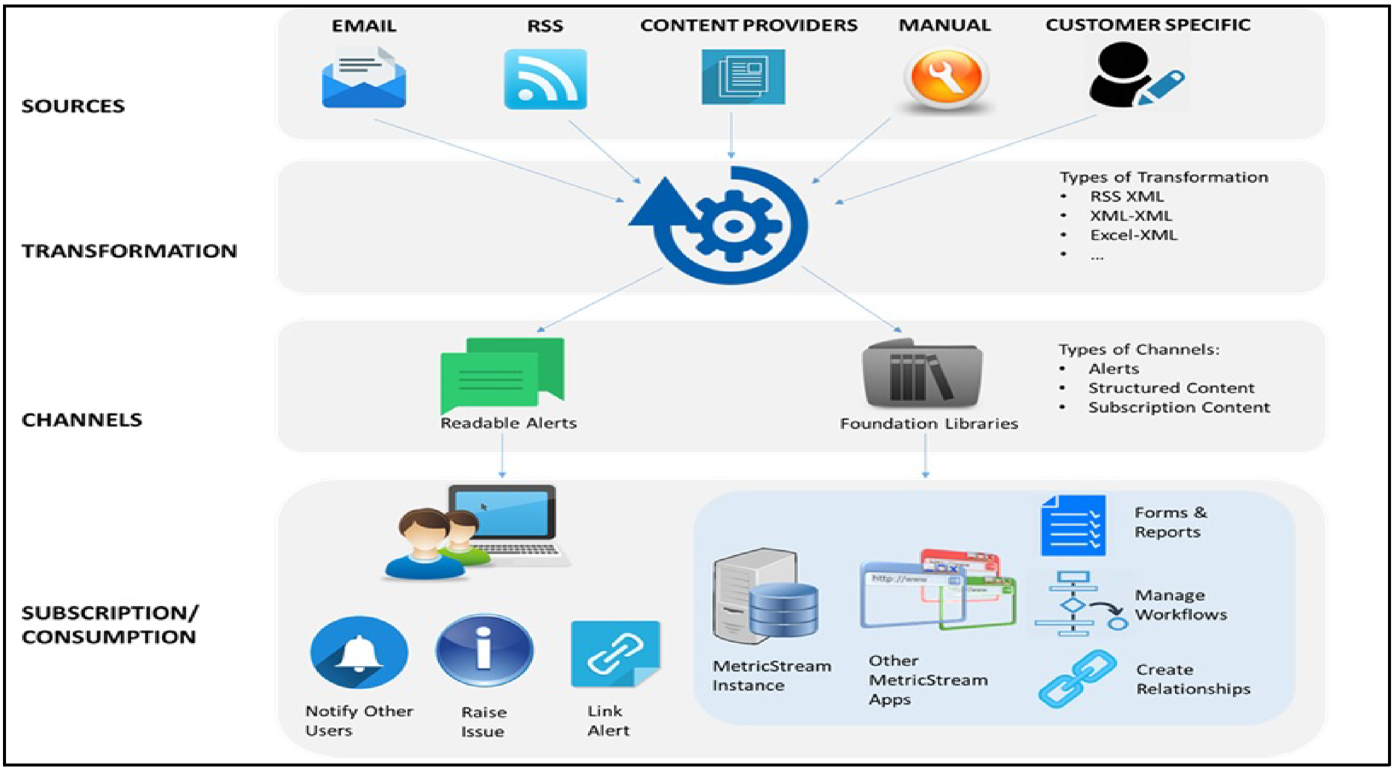


Figure 1 Process Flow

Product uses the preceding architecture model to capture data from external sources. As described in the diagram above, data feed/source can be in the form of an email or RSS feeds. Platform pulls the relevant information from external feeds and processes it by using either of the channels (alerts/structured content). End users can subscribe to channels allowing them to review and take actions on specific alerts they are interested in.

This feature integrates with Issues module and the email capability of Platform whenever there is a requirement to generate tasks such as interpretations, reporting, training, and so on to fulfill compliance requirements.

Consider the following roles:

- **GRCI Business User**: Business User represents everyone in the organization. The role is for users who are end users or consumers responsible for subscribing to a set of Channel records and take the ownership towards determining applicability, notifying additional stakeholders, documenting impacted content library records and reporting issues/findings to respective owners for further action.
- **Feed Administrator**: This role represents small number of users in the organization who are responsible for setting up Channels and importing large volume of Adhoc Alerts. This user is also responsible in importing Content Library records into the product as referenced from subscribed Content Providers such as CFR, LexisNexis, NERC, and so on.

The following steps help you understand the GRC Intelligence process flow:

1. The Feed Administrator Role takes the ownership in setting up Channels to receive GRC Intelligence Feeds from various Source Delivery Mechanisms such as RSS, Email, Manual, Subscribed, and so on.
2. The Feed Administrator Role has the option to create or import Adhoc GRC Intelligence Alerts into the product.

   Note: If the Channel record is classified under Channel Source Type as 'Manual', then the Adhoc Alert record is available for subscription.

3. The Feed Administrator Role has the option to group a set of Channel records by various Factors such as Impacted Regions, Tags, Key Dates, and so on.
4. Once the Channel record is created, the respective Business User Roles can subscribe to each or a group of Channels listed in the product to receive real time GRC Intelligence Feeds.
5. After subscription, the Business Users receive real time GRC Intelligence Feeds sourced from various Content Delivery Channels into the product and can monitor and analyze by accessing the Alerts report.

   Note: You can optionally unsubscribe the channels that are not applicable.

6. After analyzing for each GRC Intelligence Feed, the Business Users can perform a series of actions as below to determine applicability or others
   - **Flag for Review** – To mark GRC Intelligence Alert as Reviewed/Read by the Business User.
   - **Flag for Follow Up** – To mark GRC Intelligence Alert requires follow up action to be performed later.
   - **Notify Users** – To notify additional stakeholders both internally and externally about the nature and characteristics of received GRC Intelligence Feed.
   - **Relate GRC Libraries** – To relate applicable GRC Intelligence Feed with 'n' number of Impacted Content Library records of various types such as Requirements, Risks, Processes, Controls, and so on.
   - **Log Issues** – To log or report 'n' number of Issues/Findings to centralized Issue Management Module to encourage assigned Issue Owners to monitor and implement an action plan for the impacted business unit for mitigation and closure within the due date time frame.
7. The Business User can monitor the progress status of logged issues by accessing Issues Summary report.
8. The Business User can monitor and analyze the volume of GRC Intelligence Feeds trending over a period of time by the received date by accessing Dashboard: Alert Trend.

Types of Contents

The following are the type of contents of GRC Intelligence:

- **MetricStream Content**: Curated by MetricStream, that is, Code of Federal Regulations (CFR) and other Libraries.
  Example: Code of Federal Regulations, NERC
- **Partner Content**: Sourced from partners such as LexisNexis, Shared Assessments, Risk Spotlight, UCF GRC intelligence.com Storefront, and so on.
  Example: LexisNexis, Greenpoint Global
- **Publicly Available Content**: RSS Feeds, E-mail subscription from publicly available sites.
  Example: OCC Web Feeds
  https://www.occ.treas.gov/rss/index-rss.html
  Example: FINRA Web Feeds
  https://www.finra.org/industry/rss-feeds
  Example: Fed Reserve Email Subscription
  https://www.federalreserve.gov/newsevents/subscribe.htm

Elements of a Sample Form

The following figure illustrates the elements of a sample form.

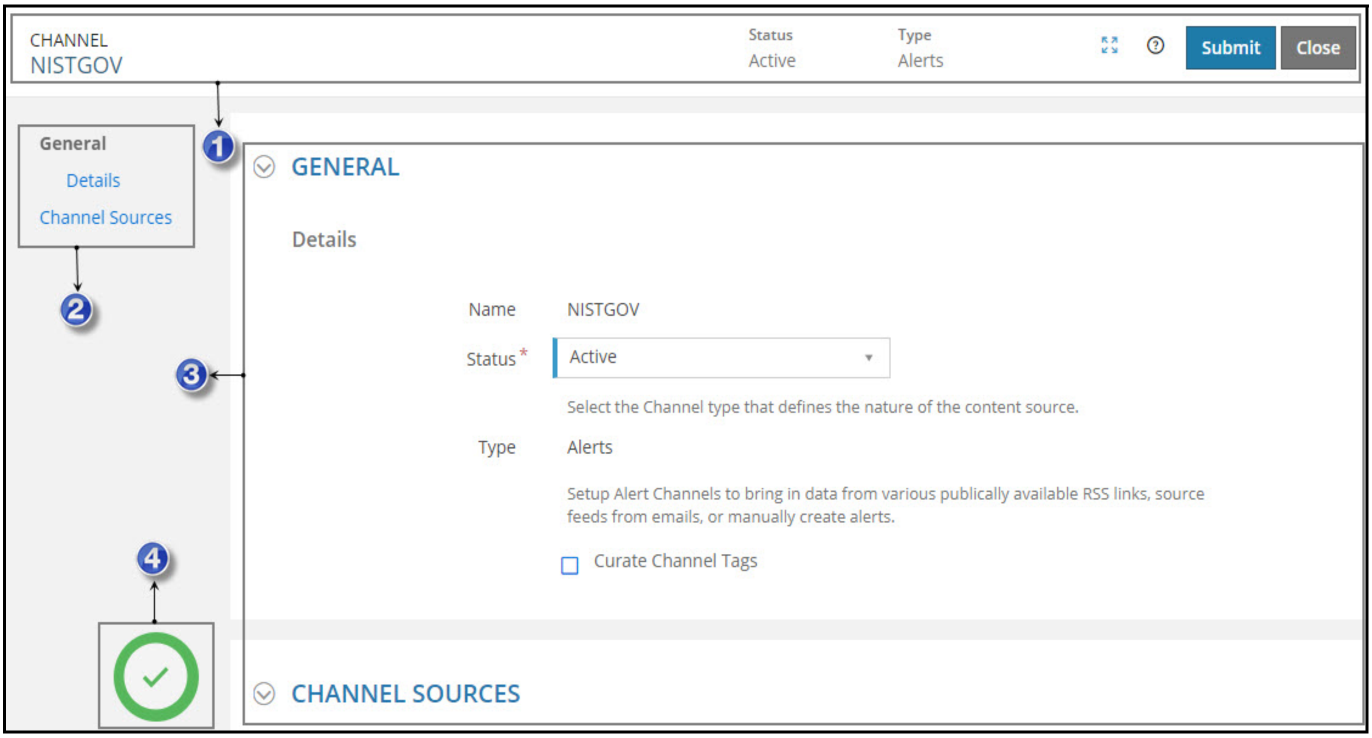


Figure 2 Sample Form Layout

The numbered call-outs in the preceding figure denote the following:

1. Header: Provides a high-level overview of the content of the form, icons to view the form in full screen and expand the header, and header toolbar.
   For more information on the header toolbar options, see Header Toolbar.
2. Navigation pane: Click a section name to navigate to that section.
3. Section: Displays the fields to capture the required information.
4. Percentage of completion: Indicates the percentage of completion of the form. After you provide inputs in the mandatory fields of all the sections, a green tick appears, which indicates that the form is 100% complete.

Header Toolbar

The following table provides information on the commonly used icons and action buttons.

Button/Icon	Description
Fullscreen	Click this icon to view the form in full screen. **Note:** If this icon is available on any section header, click it to view the section in full screen.
Expand	Click this icon to expand the form header and view all the key summary fields.
Related Reports	Click this icon to view the list of related reports.
Save	Click this button to save the content of the form as a working draft.

Button/Icon	Description
Submit	Click this button to submit the form and assign it to the intended user.
Close	Click this button to close the current form. The **Close Form** dialog box appears. Perform one of the following actions: • **Save and Close:** Click this button to save the content of the form as a working draft and close the form without processing it to the next stage. You can access the saved form from **My Tasks**. • **Don’t Save:** Click this button to discard changes made to the form and close it. • **Cancel:** Click this button to close the dialog box and return to the form.

Creating Channel Records

Channel represents a group of several data sources with various transmission mediums, which fetches the GRC Intelligence Alerts/Data Feeds from external sources such as RSS URLs, GRC Intelligence content server and e-mail servers. You can create the following types of Channel records:

- **Alerts**: Setup Alert Channels to bring in data from various publicly available RSS links, source feeds from emails, or manually create alerts.
- **MetricStream Content**: Content curated by MetricStream, that is, Code of Federal Regulations (CFR) and other Libraries.
- **Partner Content**: Content sourced from partners like LexisNexis, Shared Assessments, Risk Spotlight, UCF.

The Channel form helps you create channel records. The form comprises the following sections:

Header	Displays the status and type of channel record and provides the action buttons to take action on the form.
General	Helps you capture basic details of the channel such as name, status, type of alerts, and specify tags for the channel record.
Channel Sources	Helps you add a channel source and capture the attributes required to connect to each of the channel types.
Structured Content Details	The section is displayed when the selected channel Type is Structured Content. Helps you select a structured content handler infolet and save the attachments.
Notify Multiple Users	The section is displayed when the selected channel Type is Structured Content. Helps you to select users to notify about the failure of processing the structured content.

To create channel records:

1. In the **Setup** tab, click **Forms**, and then from the **Create** menu, click **Channel**.
   The **Channel** form is displayed.
2. In the **General** section, provide the required information in the fields, as described in the following table.

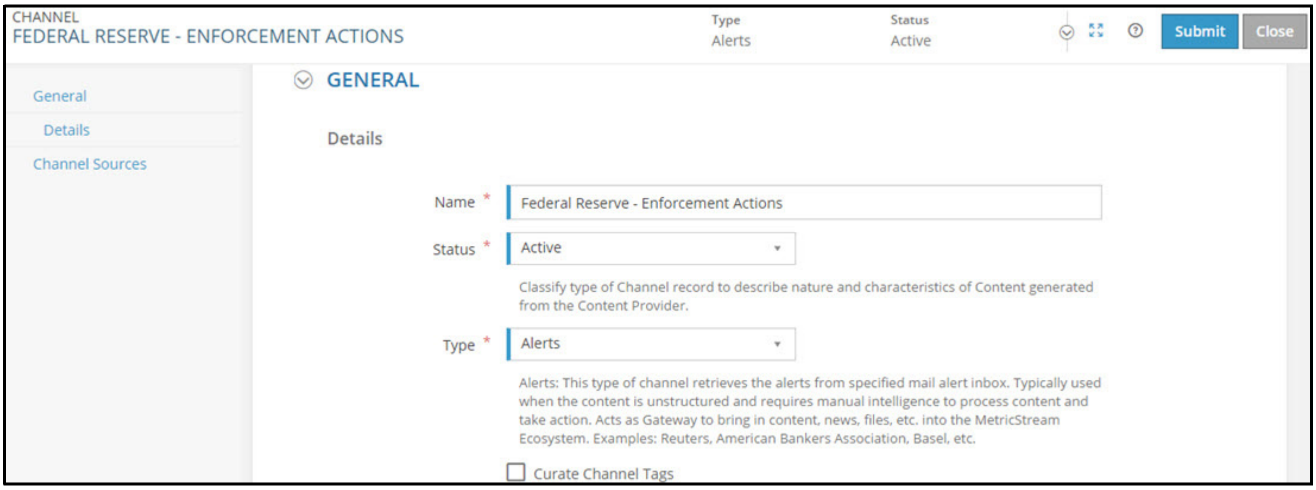


Figure 3 General Section of Channel Form

Field/Element	Description

For the special characters that are supported in free-text fields, see Restricted Special Characters.

Field/Element	Description
ID *(appears once you submit the **Channel** form)*	Unique ID of the Channel record.
Name	Short title for reporting the Channel content record. The short title is displayed to the end user in the Summary Field.
Status	Use this to operationalize the status activity of the channel record for subscription: • **Active** – Channel record is available in the product for enduser subscription. • **Inactive** – Channel record will no longer be accessible for end-user subscription. **Note:** If you deactivate current channel, the users subscribed to this channel do not receive the alerts.
Type	Type of the channel record to describe nature and characteristics of content generated from various Source Providers such as external and internal. • **Alerts**: This type of channel retrieves the alerts from specified mail alert inbox. Typically used when the content is unstructured and requires manual intelligence to process content and take action. Acts as Gateway to bring in content, news, files, and so on into the MetricStream Ecosystem. For example, Reuters, American Bankers Association, Basel, and so on. • **Structured Content**: This type of channel retrieves the XML or CSV or any tagged content files though e-mails, FTP path, and websites. Normally used when the content has a definite structure (such as XML, CSV, and so on) and a well written parser can process the content.
Curate Channel Tags	Select the check box to moderate Content Feed as per predetermined guidelines and brand parameters.
Channel Tags *This section appears only when the **Curate Channel Tags** check box is selected.* **Note:** You can reuse the tags provided here for multiple channel sources.	
Source Tags	Enter all related Source tags for the Channel record. Specify relevant source tags to curate this channel, for example, Code of Federal Regulations, and so on. **Note:** This field is conditionally visible if Curate Channel Tags is checked.
Event Tags	Enter all related Event tags for the channel. Specify relevant event tags to curate this **Note:** This field is conditionally visible if Curate Channel Tags is checked.
Industry Tags	Enter all related Industry tags for the channel. Specify relevant industry (Sector or Sub-Sector) tags to curate this channel, for example, Financial Services, Banking, and so on. **Note:** This field is conditionally visible if Curate Channel Tags is checked.

Field/Element	Description
Subject Tags	Enter all relevant Subject tags for the channel. Specify relevant subject tags to curate this channel, for example, fraud, anti-money laundering. **Note:** This field is conditionally visible if Curate Channel Tags is checked.

3. In the **Channel Sources** section, perform the following steps to add a channel source to represent the data source medium for downloading or aggregating data feed articles from a specific source into the MetricStream product system.

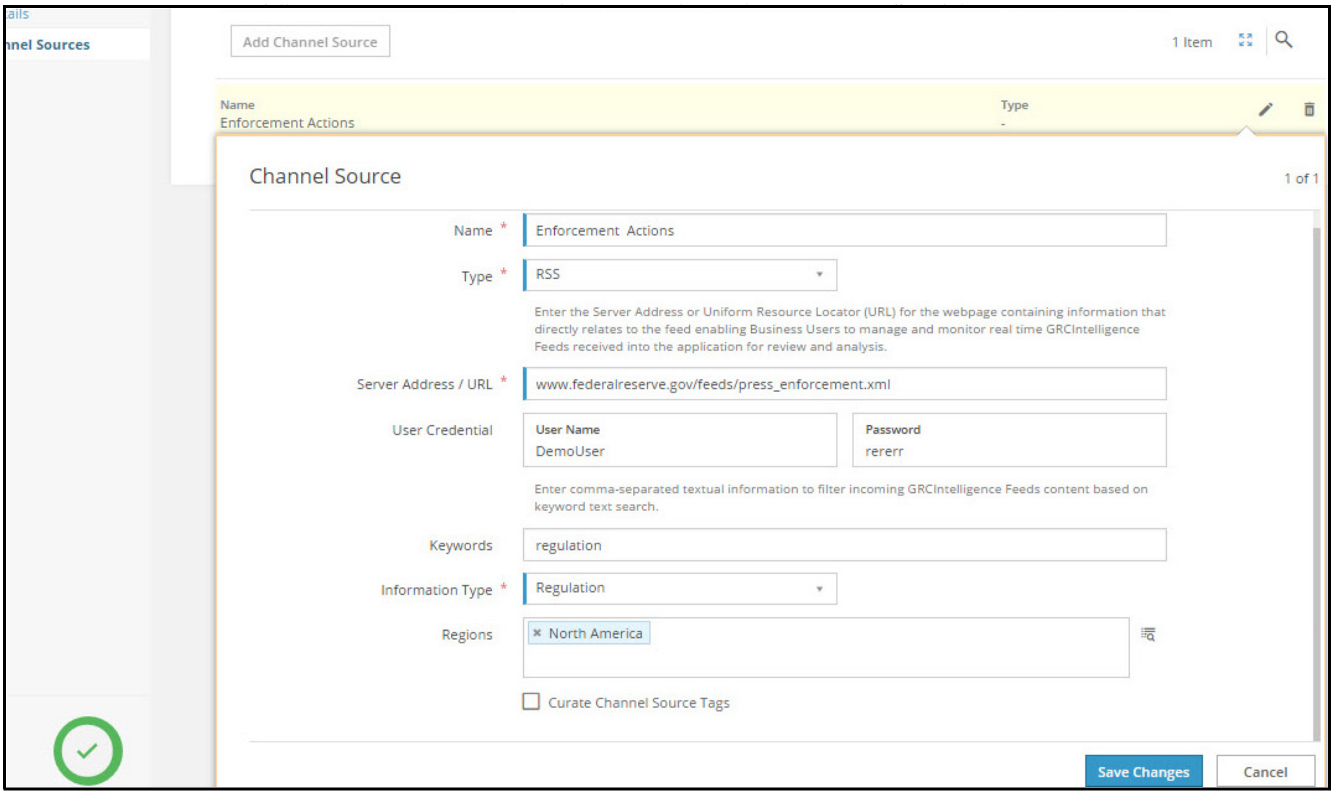


Figure 4 Channel Sources Section of Channel Form

a. Click **Add Channel Source**.
The Channel Source window appears.

b. Provide the required information in the fields as described in the following table.

Field/Element	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Name	Short title for defining the Channel Source medium.

<table>
<tr><th>Field/Element</th><th>Description</th></tr>
<tr><td>Type</td><td>Classify type of content delivery channel for users to receive updated GRC Intelligence Feeds from various data sources.
The list of options displayed for selection is based on the selected Channel Type.

When the Channel Type is Alerts, following list of options are available for selection.

Email – To deliver content from subscribed email server account.
Manual – To enable business users to create adhoc alerts manually.
RSS – To deliver real time feeds from the data sources.

When the Channel Type is Structured Content, following list of options are available for selection.

Email – To deliver content from subscribed email server account.
Manual – To enable business users to create Adhoc Alerts manually.
RSS – To deliver real time feeds from the data sources.
SFTP – To deliver real time feeds from an App Server Location.

</td></tr>
<tr><td>Server Address / URL
(appears when the selected Type of Channel Source is Email, RSS, and SFTP)</td><td>The Server Address or Uniform Resource Locator (URL) from where the user wants to receive the feed.

Note: It accepts maximum of 4000 characters and alpha numeric values. After completing Source details, the system validates the Server Address/URL Information to authenticate whether the connection details is successful.

If the Type is RSS, enter the RSS Feed URL. Due to the nature of Regional Regulator Websites, the documented RSS Feed URLs are bound to structural changes, location path changes, etc. It is highly recommended to validate the authenticity of these URLs using https://validator.w3.org/ to receive or download or aggregate feeds into the system.

Ex: OCC Alerts
https://www.occ.treas.gov/rss/occ-alerts.xml

The host name of the incoming mail server, such as mail.example.com

The incoming mail server for a POP account may also be called the POP, or POP3, server.
For example, if your e-mail provider is example.com, the incoming mail server is likely pop3.example.com
The incoming mail server for an IMAP account may also be called the IMAP server. For example, if your e-mail provider is example.com, the incoming mail server is likely imap.example.com</td></tr>
</table>

Field/Element	Description
User Credential *(appears when the selected **Type** of Channel Source is **Email, RSS,** and **SFTP**)*	• **User Name**: Enter User Login Credentials for accessing subscribed Regulatory Feeds/GRC Intelligence Data Feeds. • **Password:** Password: The email password you use to sign in to your account. This is the password for your account. Usually, this password is case-sensitive. At times, certain regulatory websites are password centric to download RSS Feeds. In such scenarios, Use the same User Login credentials as entered for RSS Feed subscription. **Note:** The Password field is an encrypted field and the value that you enter appears as encrypted text.
Email Account Type *(appears when the selected **Type** of Channel Source is **Email**)*	Specify the type of email account which is being used to access newsletters. You can obtain this information from the mail service provider.
Email From *(appears when the selected **Type** of Channel Source is **Email**)*	Enter relevant Email Address information subscribed to the Email Server Inbox to receive specific set of Feeds subscribed. This acts as a filter mechanism to bring in relevant feeds that the user is interested for analysis from various email subscribers. Choose any one below as directed by your email provider: IMAP(Internet Messaging Access Protocol) - The idea behind IMAP is keep users from having to be tied to a single email client, giving them the ability to read their emails as if they were "in the cloud." POP3(Post Office Protocol) - Your app connects to an email server, downloads all messages to your PC that have not been previously downloaded, and then deletes the original emails from the server. This offers a way of interacting with mail servers that dates back to a very different Internet than we use today
Email Security	Enter the server parameters configured for the Email Server Inbox. Some servers may require additional parameters to access the external product. The parameters include whether the site is secured or unsecured, port numbers, and so on. **Note:** This field is conditionally visible if 'Channel Source Type' is "Email".
Keywords *(appears when the selected **Type** of Channel Source is **Email, RSS,** and **SFTP**)*	Enter comma-separated textual information to filter incoming GRC Intelligence Feeds content based on keyword text search. **Notes:** - You can enter multiple keywords. Use comma to separate the keywords. - The key words entered in this field act as a filter.
Information Type	Categorize the type of GRC Intlelligence Feed content for the purpose of reporting and analytics.
Regions	Specify geographical regions where the GRC Intelligence Alert has been impacted.

Field/Element	Description
Group Label	• **Curate Channel Source Tags**: Select the check box to provide tags for curating the channel source information. • **Copy Channel Tags**: The check box appears only when the **Curate Channel Source Tags** check box is selected. Select the check box to reuse the tags defined in the **General** section.
Channel Source Tags *This section appears only when the **Curate Channel Tags** check box is selected.*	
Add Channel Tags	Indicate this to add specified Channel Tags for the Channel Source Tags.
Source Tags	Enter all related Source tags for the Channel content record. Specify relevant source tags to curate this channel, for example, Code of Federal Regulations, and so on. For example, Code of Federal Regulations.
Event Tags	Enter all related Event tags for the channel. Specify relevant event tags to curate this. For example, Regulation, Bill, and so on.
Industry Tags	Enter all related Industry tags for the channel. Specify relevant industry (Sector or Sub-Sector) tags to curate this channel, for example Financial Services, Banking, etc. For example, Financial Services, Banking, and so on.
Subject Tags	Enter all relevant Subject tags for the channel. Specify relevant subject tags to curate this channel, for example fraud, anti-money laundering.

c. Click **Done**.
The added channel source details are displayed in the Channel Sources section.

4. The **Structured Content Details** section is displayed when the selected channel **Type** is **Structured Content**. Perform the following steps to select the structured content handler infolet.

    a. In the **Structured Content Handler Infolet** field, click to select the required infolet, which has the relevant logic written, based on which the content is processed and corresponding action is taken. Action can be creation of a GRCF object, logging an issue, notification to users and so on.

    b. Select the **Save Attachment(s)** check box to store attachments and download the attachments along with the content. If attachments are not retrieved through a channel, this option allows you to utilize the disk space appropriately.

    Notes:

    - The **Save Attachment(s)** option is provided as a check box to ensure that the disk space is utilized appropriately.
    - If you want to save the structured content related attachments in the ECP_Home/Systemi/Systemi/attachments installation folder path, select the **Save Attachment(s)** check box.

5. The **Notify Multiple Users** section is displayed when the selected channel **Type** is **Structured Content**. Perform the following steps to notify about the failure of processing the structured content.

    a. In the **Content Processing Unsuccessful** field, click to select the users who need to be notified about the failure of processing the structured content.

    b. Click **Done**.
    All the users selected in this field receive an e-mail notification, if the content processing is not successfully processed by the infolet.

6. Click **Submit**.

    Note: Click **Close** to close the form.

Creating Adhoc Alerts

Adhoc Alerts allows Business Users to manually enter or report GRC Intelligence Alerts on an adhoc manner and use the same workflow as that of automated data feed. These alerts need not be published publicly thereby assisting the need in creating Adhoc Alerts on the fly for instant review and analysis.

The **Channel** form helps you create channel records. The form comprises the following sections:

Header	Displays the publish date and provides the action buttons to take action on the form.
General	Helps you capture basic details of the channel such as name, status, type of alerts, and specify tags for the channel record.

1. In the **Setup** tab, click **Forms**, and then from the **Create** menu, click **Adhoc Alert**.
   The **Adhoc Alert** form is displayed.
2. In the **General** section, provide required information in the fields, as described in the following table.

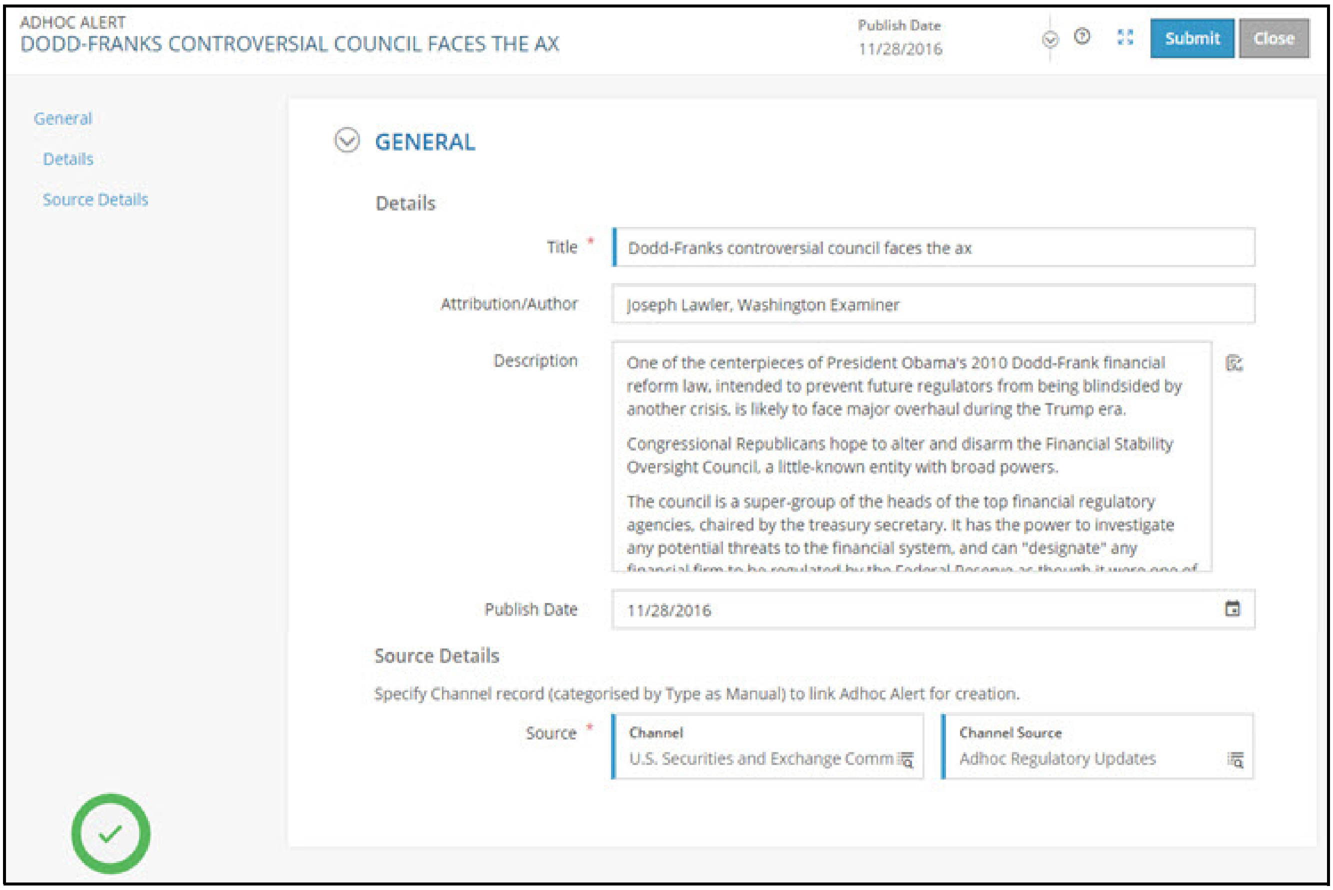


Figure 5 General Section of Adhoc Alert Form

Field/Element	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
ID *(appears after the Adhoc Alert form is submitted)*	Unique ID for the Adhoc Alert reported into the product.

Field/Element	Description
Title	Short title for describing the name of Adhoc Alert.
Attribution/Author	Name of the Author responsible for reporting the Adhoc Alert.
Description	Detailed descriptive text to capture the nature and characteristics of the Adhoc Alert.
Publish Date	Date when the Adhoc Alert was published.
Source Details	
Channel	Click to select the required channel record.
Channel Source	Click to select the required channel source.

3. Click **Submit**.

   Note: Click **Close** to close the form.

Creating Channel Group

If you want to create a group of channel records that business users can subscribe to, to receive GRCI feeds, you can group the Channel Records using Channel Groups Form.

A Channel Group allows Business Users to construct a group of Channel records by Impacted Regions, Keyword Taxonomy information, and so on. In this manner, the Channel Group assist in supporting group subscription access in receiving GRC Intelligence Feeds.

The **Channel Group** form helps you group channel records. The form comprises the following sections:

Header	Displays the publish date and provides the action buttons to take action on the form.
Channel Groups	Helps you to add channel group details.

1. In the **Setup** tab, click **Forms**, and then from the **Create** menu, click **Channel Group**.
   The **Channel Group** form is displayed.

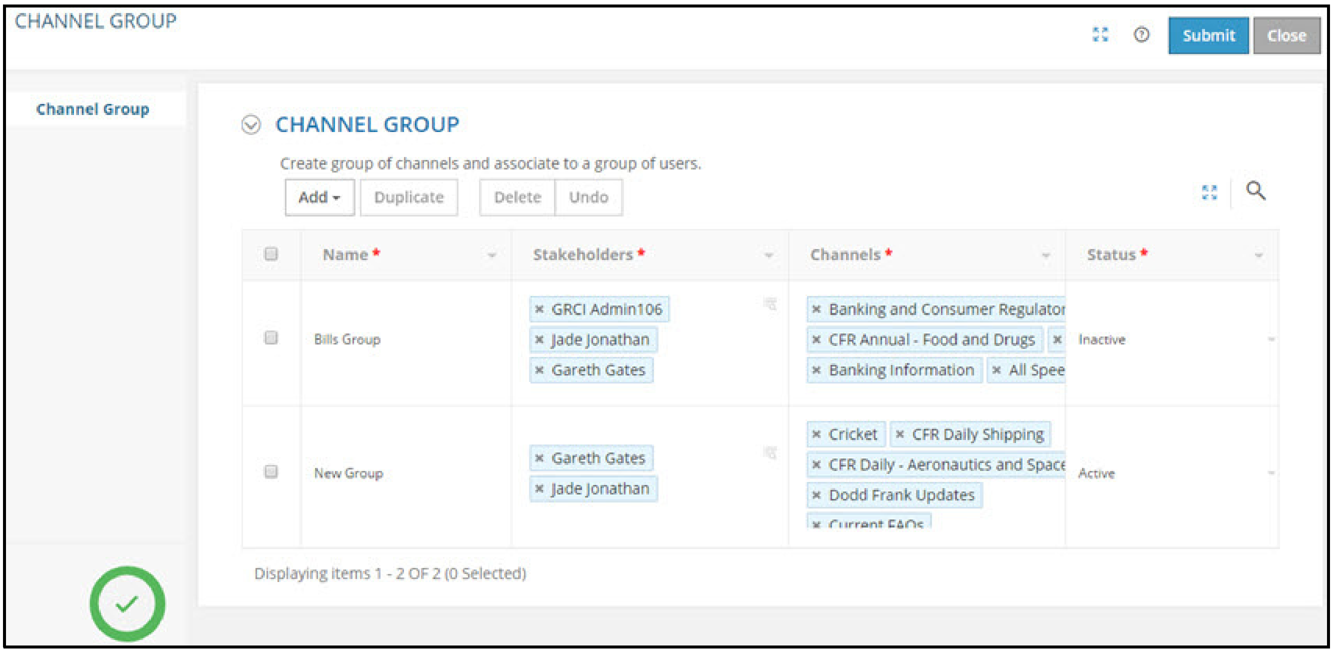


Figure 6 Channel Group

The following table describes the list of fields in the Channel Group.

2. In the **Channel Group** section, perform the following steps to add the channel group details.
   a. Click **Add**.
      A row appears.
   b. Provide required information in the columns, as described in the following table.

Column	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Name	A meaningful name to describe the channel group. **Note:** You must enter a unique group name.

Column	Description
Stakeholders	Click the icon to select users to whom you want to give subscription. The users who are part of the group are automatically subscribed to the channel.
Channels	Click to select the channel records to be grouped.
Status	Specify status of the Channel Group reported. • **Active** - If you select this option, the group subscriptions are displayed in the member's subscription view. • **Inactive** - If you select this option, the group subscriptions are not displayed in the member's subscription view.

Notes:

- To duplicate an existing row, select the row, and then click **Duplicate**.
- To delete an existing row, select the row, and then click **Delete**.
- To retrieve the last deleted row, click **Undo**.

3. Click **Submit**.
   The Channel Group record is created. You can subscribe those Channel groups to receive GRC Intelligence Alerts/Data Feeds into the product.

   Note: Click **Close** to close the form.

Managing Channel Subscriptions

Business Users can either subscribe to a set of channels in receiving real time GRC Intelligence Alerts into the product for review and analysis. You can also opt for e-mail notification functionality by selecting the Notify by Email option from the subscribed channel. The user receives an e-mail notification with the feed content and attachments, if any, after the new updates are available in the channel. Optionally, you can also unsubscribe from channels.

The **Channel Subscription** form helps you subscribe to channels. You can also unsubscribe from the channels. The form comprises the following sections:

Header	Displays the action buttons to take action on the form.
Channel Subscriptions	Helps you subscribe to channels. You can also unsubscribe from channels.
Channel Group Subscriptions	Helps you subscribe to channel groups.You can also unsubscribe from channel groups.

1. In the **Setup** tab, click **Forms**, and then from the **Subscribe** menu, click **Channel Subscription**.
   The **Channel Subscription** form is displayed.
2. In the **Channel Subscriptions** section, perform the following steps to add a channel subscription.

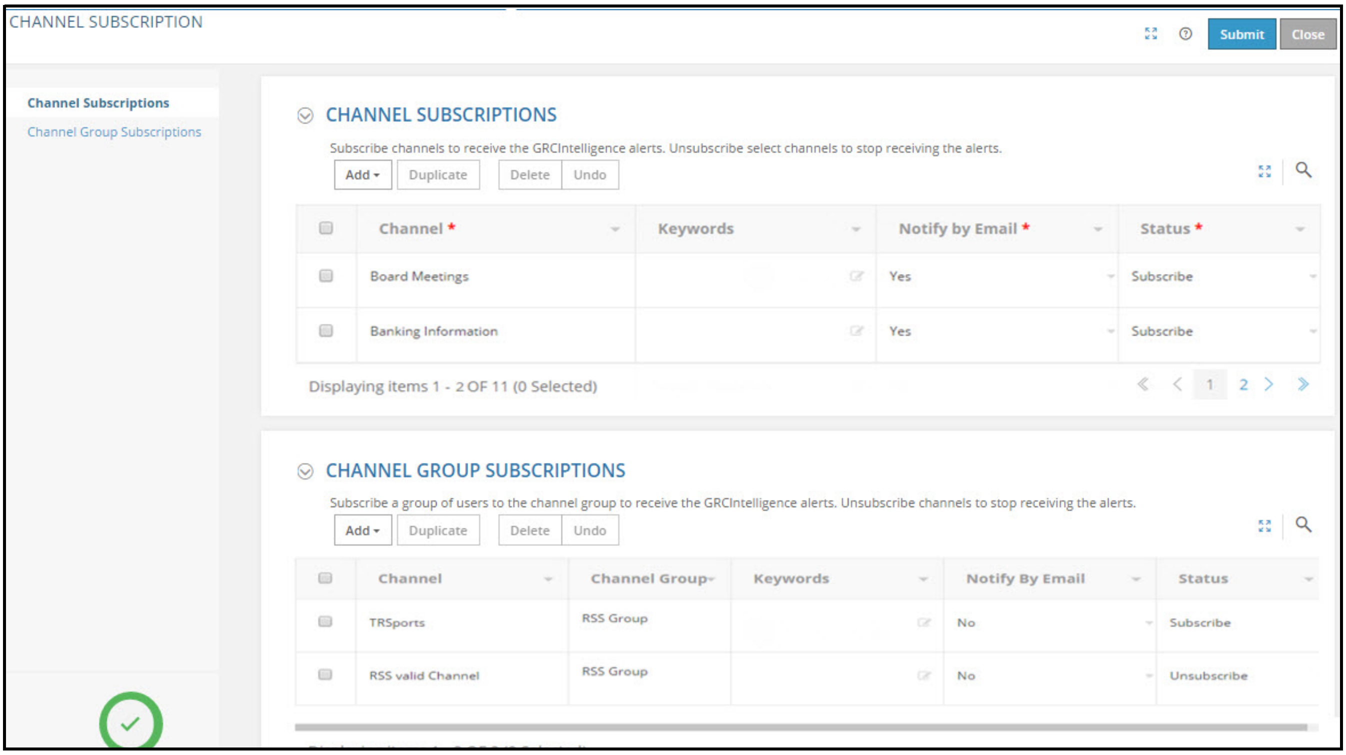


Figure 7 Channel Subscriptions Section

a. Click **Add**.
   A row appears.

b. Provide required information in the columns as described in the following table.

Column	Description
Channel	Specify Channel record for enabling subscription access **Note:** If you select the same channel for the second time, the system displays an error message.
Keywords	Type the keywords that act as filter in bringing in GRC Intelligence Data Feeds. The keywords entered in this field act as a filter. **Note:** You can enter multiple keywords. Use comma to separate the keywords.
Notify by Email	Specify notification status. The following options are available: • **Yes** – To notify subscribed users about the incoming GRC Intelligence Data Feeds through email. • **No** – To disable notifying subscribed users through email.
Status	Specify subscription status of the Channel record reported • **Subscribe** – To enable triggering real time GRC Intelligence Feeds into the product. • **Unsubscribe** – To disable triggering GRC Intelligence Feeds into the product.

Notes:

- To duplicate an existing row, select the row, and then click **Duplicate**.
- To delete an existing row, select the row, and then click **Delete**.
- To retrieve the last deleted row, click **Undo**.

3. In the **Channel Group Subscriptions** section, view the channel details and provide information in the columns as described in the following table.

Column	Description
Channel	View name of the Channel record reported.
Channel Group	View name of the Channel Group record reported.
Keywords	Type the keywords that act as filter in bringing in GRC Intelligence Data Feeds. **Note:** The keywords entered in this field act as a filter. - You can enter multiple keywords. Use comma to separate the keywords.
Notify By Email	Specify status of notifying alert updates through email. The following options are available: • **Yes** – To notify subscribed users about the incoming GRC Intelligence Data Feeds through email. • **No** – To disable notifying subscribed users through email.

Column	Description
Status	Specify subscription status of the Channel Group record reported. The following options are available: • **Subscribe** – To enable triggering real time GRC Intelligence Feeds into the product. • **Unsubscribe** – To disable triggering GRC Intelligence Feeds into the product.

4. Click **Submit**.
   The Channels are subscribed. Business Users receive real time GRC Intelligence Feeds into the product for review and analysis by accessing Alerts report available in Infocenter: GRC Intelligence.

Notifying Users

Business Users can notify additional stakeholders both Internal (System Logged Users) and External Users about the subscribed GRC Intelligence Feed that is available into the product.

The **Notify Users** form helps you to notify users about the subscribed GRC Intelligence Feed. The **Notify Users** form comprises the following sections:

Header	Provides the action buttons to take action on the form.
General	Helps you select users to notify about the subscribed GRC Intelligence Feed.

1. In the **GRC Intelligence Alerts** tab, click **Alerts** report.
   The **Alerts** report is displayed.
2. For the alert, which you want to notify users, in the **Actions** column click the **Actions** button, and then select **Notify User**.
   The **Notify Users** form is displayed.
3. In the **General** section, you can view details and provide required information in the fields as described in the following table.

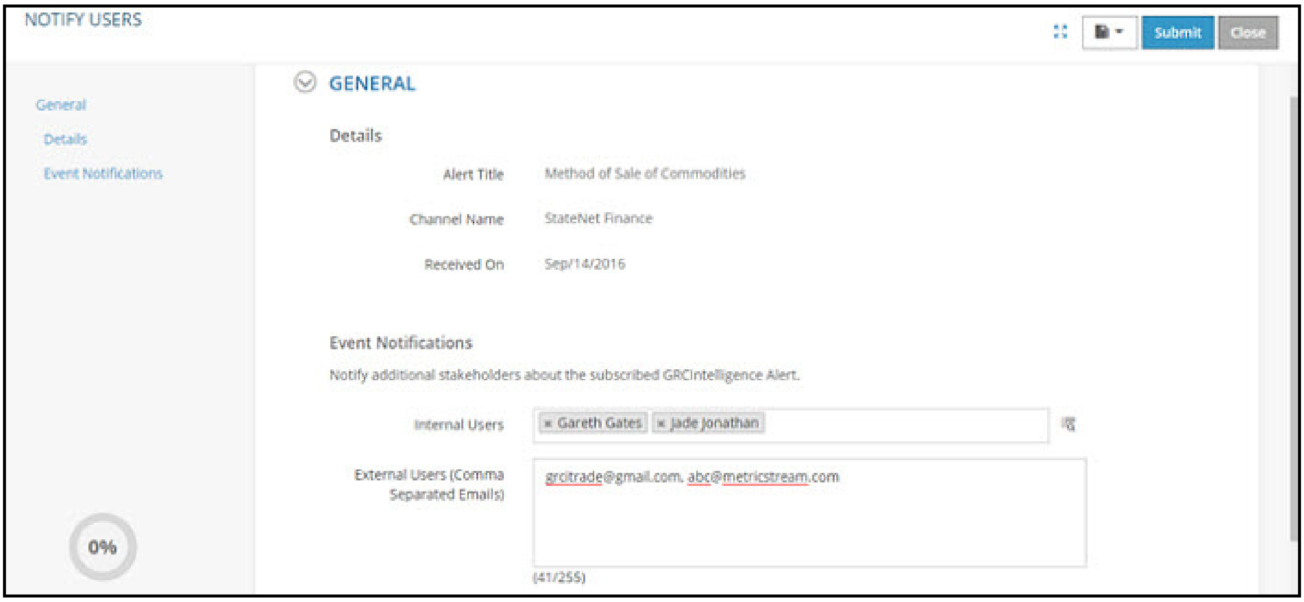


Figure 8 General Section of Notify Users

Field/Element	Description
Alert Title	View name of the Regulatory Alert/GRC Intelligence Data Feed subscribed for further review and analysis.
Channel Name	View name of the Channel subscribed for further review and analysis.
Received On	View date on which the subscribed Regulatory Alert/GRC Intelligence Data Feed has been assigned for review and analysis.
Event Notifications	
Internal Users	Specify internal stakeholders when a content feed is subscribed for review and analysis.

Field/Element	Description
External Users	Enter e-mail address of the individuals to be informed about the incoming GRC Intelligence Feed.

4. Click **Submit**.
   The Notify Users action is processed, specified users are notified.

   Note: Click **Close** to close the form.

Logging Issues

Business Users can report the findings/issues against GRC Intelligence Feed to centralized Issue Management Module to triage and resolve issues by setting up action plans and close these issues within the due date.

The **Log Issues** form helps you to log issues. The **Log Issues** form comprises the following sections:

Header	Provides the action buttons to take action on the form.
General	Helps you view the details such as alert title, received date, and channel name.
Issues	Helps you log issues and findings related to the GRC Intelligence Alert. You can assign these issue to issue owners and action owners to resolve the issues.

1. In the **GRC Intelligence Alerts** tab, click **Alerts** report.
   The **Alerts** report is displayed.
2. For the alert, which you want to log issues, in the **Actions** column click the **Actions** button, and then select **Log Issue**.
   The **Log Issues** form is displayed.
3. In the **General** section, you can view the details in the different fields as described in the following table.

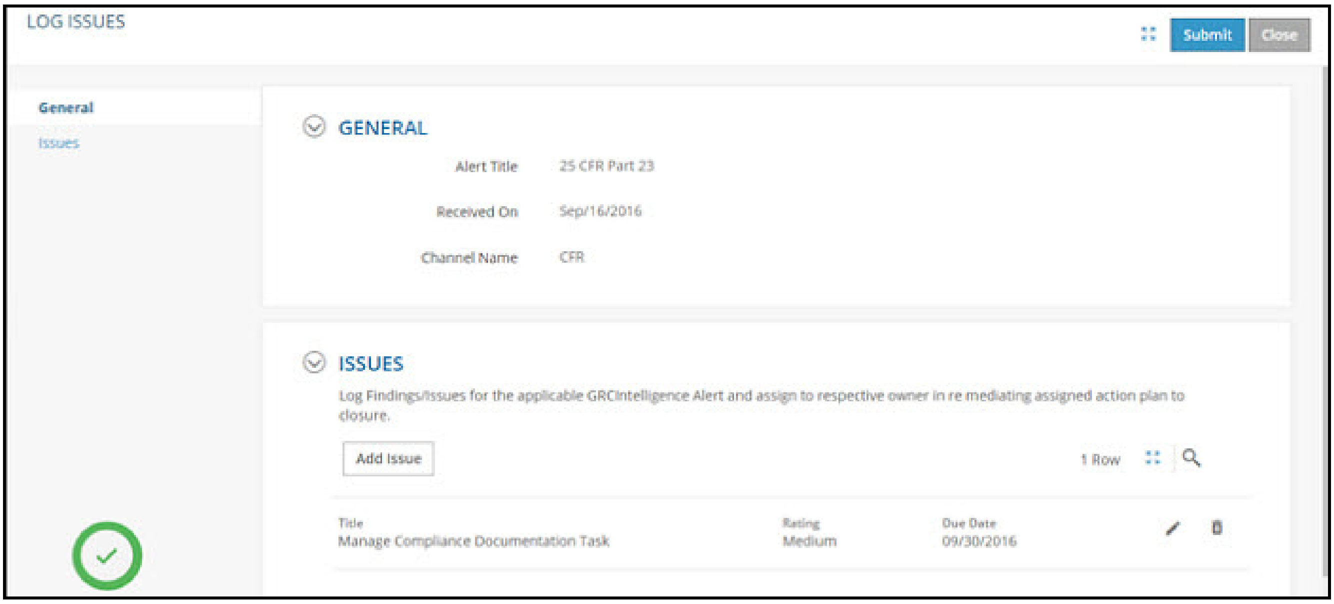


Figure 9 General Section

Field/Element	Description
Alert	View name of the Regulatory Alert/GRC Intelligence Data Feed subscribed for further review and analysis.
Channel	View name of the Channel subscribed for further review and analysis.
Received On	View date on which the subscribed Regulatory Alert/GRC Intelligence Data Feed has been assigned for review and analysis.

4. In the **Issues** section, perform the following steps to log issues.

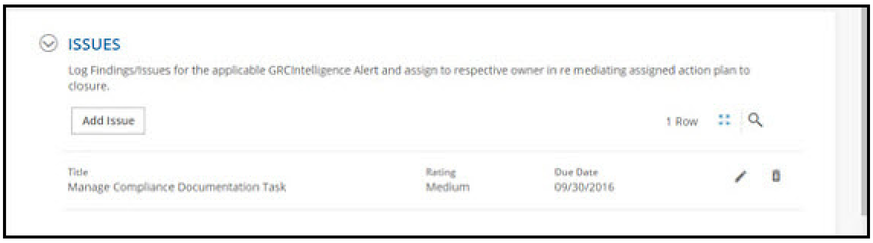


Figure 10 Issues section

a. Click **Add Issue**.
The **Issue** window is displayed.

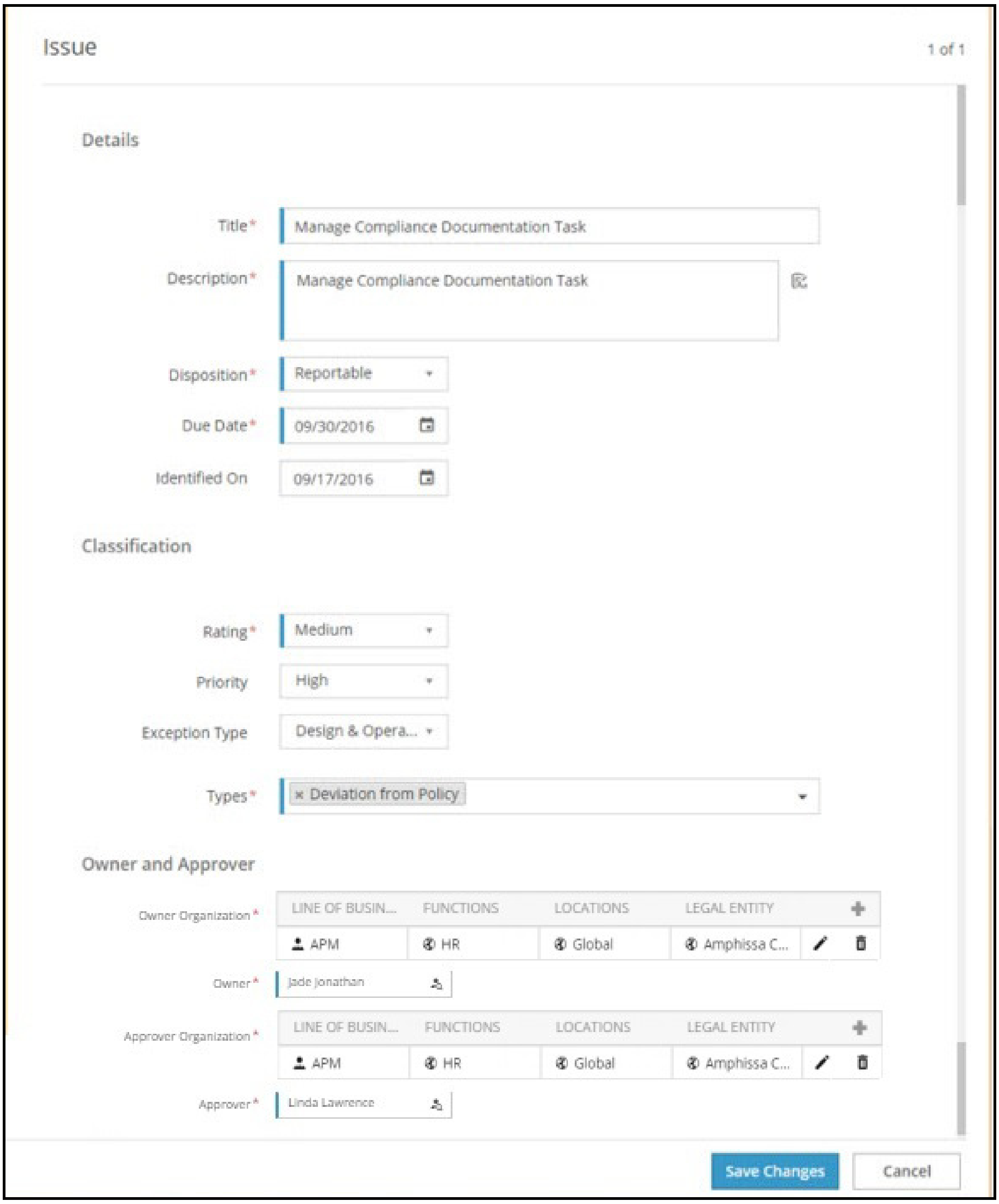
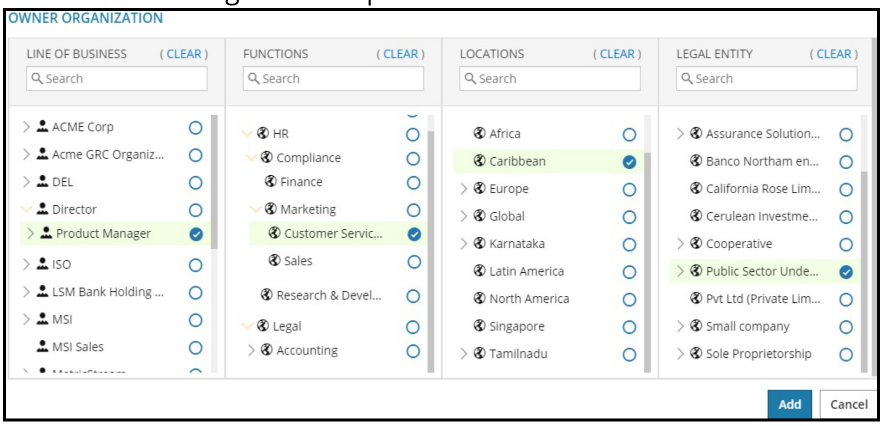


Figure 11 Issue window

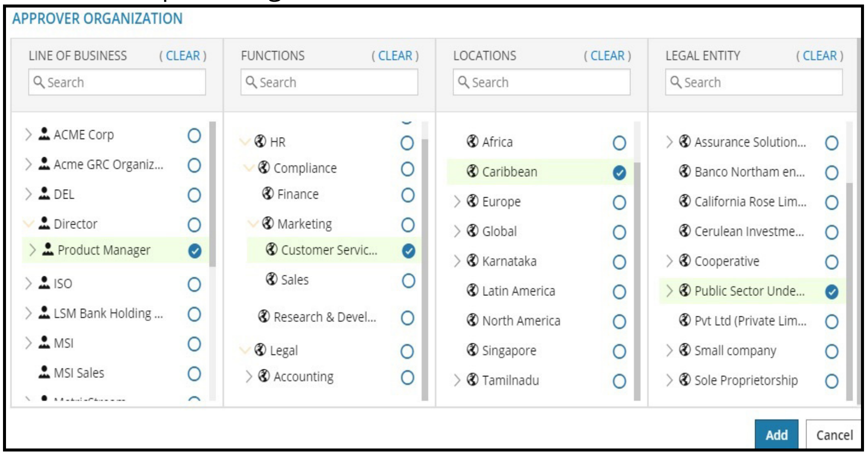
b. Provide required information in the fields as described in the following table.

<table>
<tr><th>Field/Element</th><th>Description</th></tr>
<tr><td colspan="2">For the special characters that are supported in free-text fields, see Restricted Special Characters.</td></tr>
<tr><td>Issue Title</td><td>Enter a short name for the Finding/Issue being logged.</td></tr>
<tr><td>Issue Rating</td><td>Classify rating or rank the issue being reported.</td></tr>
<tr><td>Types</td><td>Classify type to describe nature and characteristics of the issue being reported.</td></tr>
<tr><td>Exception Type</td><td>Classify type of exception for issue being reported.</td></tr>
<tr><td>Issue Details</td><td>Enter description of the issue being reported.</td></tr>
<tr><td>Issue Resolution</td><td>Specify mode of resolution for the issues being logged.</td></tr>
<tr><td>Due Date</td><td>Specify Due Date for mitigating the reported issue for closure.</td></tr>
<tr><td>Identified On</td><td>Specify the date on which the issue is identified or reported in the product.</td></tr>
<tr><td>Owner Organization</td><td>Specify Organizational Unit responsible for taking the ownership in managing and monitoring issues and implementing action plans for closure.
Perform the following procedure to select Organization Structure.
1. Click the Add button associated with the field.
Organization window appears. This displays the defined organization structure with single or multiple dimensions.


2. Select the required organization structure, and click Add.

Notes:
- Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select
- Click the Edit button to edit the added organization structure
- Click the Delete button to delete the added organization structure
- For more information on Organization Structure, refer MetricStream Arno Release Spring ‘21 - Platform - Configuration Guide.</td></tr>
<tr><td>Issue Owner</td><td>Specify responsible stakeholder that belong to the selected Organizational Unit responsible for taking the ownership in managing and monitoring issues and implementing action plans for closure.

Note: Display Logic for displaying users are filtered by Activity “ISM Issue Owner” associated to the specified Owner Organizations group.</td></tr>
</table>

Field/Element	Description
Approver Organization	Specify Organizational Unit responsible for taking the privilege in approving reported issues. Perform the following procedure to select Organization Structure. **1.** Click the **Add** button associated with the field. **Organization** window appears. This displays the defined organization structure with single or multiple dimensions. **2.** Select the required organization structure, and click **Add**.  **Notes:** - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select - Click the **Edit** button to edit the added organization structure - Click the **Delete** button to delete the added organization structure - For more information on Organization Structure, refer MetricStream Arno Release Spring ‘21 - Platform - Configuration Guide
Issue Approver	Specify stakeholder responsible for taking the privilege in approving reported issues. **Note:** Display Logic for displaying users are filtered by Activity “ISM Approve Issue” associated to the specified Owner Organizations group.

c. Click **Done**.

Note: Click **Cancel** to close the **Issue** window and return to the form.

3. Click **Submit**.
The **Log Issues** action is processed, specified issue owners are held accountable in triaging and implementing the action plans to closure.

Note: Click **Close** to close the form.

Relating Content Libraries

Business Users can link or correlate applicable GRC Intelligence Feed with the Impacted Risks, Processes, Regulation Libraries, and so on.

The **Relate GRC Libraries** form helps you to relate GRC libraries with GRC Intelligence. The **Relate GRC Libraries** form comprises the following sections:

Header	Provides the action buttons to take action on the form.
General	Helps you view the details such as alert title, received date, and channel name.
Relationships	Helps you relate GRC Libraries or List of Values contents with GRC Intelligence.

1. In the **GRC Intelligence Alerts** tab, click **Alerts** report.
   The **Alerts** report is displayed.
2. For the alert, which you want to relate GRC Libraries, in the **Actions** column click the **Actions** button, and then select **Relate GRC Libraries**.
   The **Relate GRC Libraries** form is displayed.
3. In the **General** section, you can view the details in the different fields as described in the following table.

Figure 12 General Section

Field/Element	Description
Alert Title	View name of the Regulatory Alert/GRC Intelligence Data Feed subscribed for further review and analysis.
Channel Name	View name of the Channel subscribed for further review and analysis
Received On	View date on which the subscribed Regulatory Alert/GRC Intelligence Data Feed has been assigned for review and analysis.

4. In the **Relationships** section, perform the following steps to relate GRC Libraries or List of Values contents with GRC Intelligence. The section consists of a common tabular format, where the details of the associated

relationship framework options are displayed. The links displayed are configurable based on organization requirements.

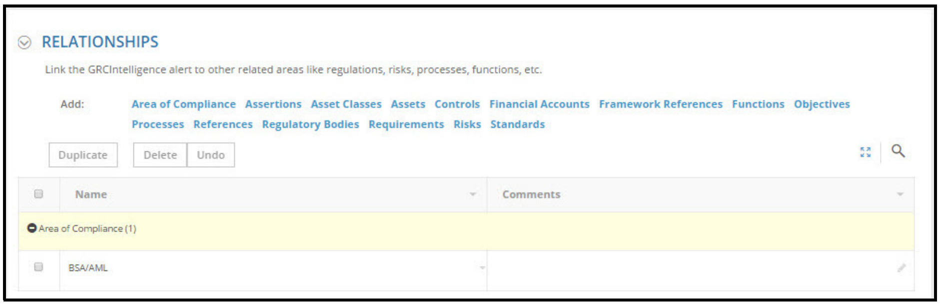


Figure 13 Relationships Section

a. Click the required link corresponding to the Add: field; for example, click the **Risks** link.
The respective window appears; for example, the **Risks** window appears.

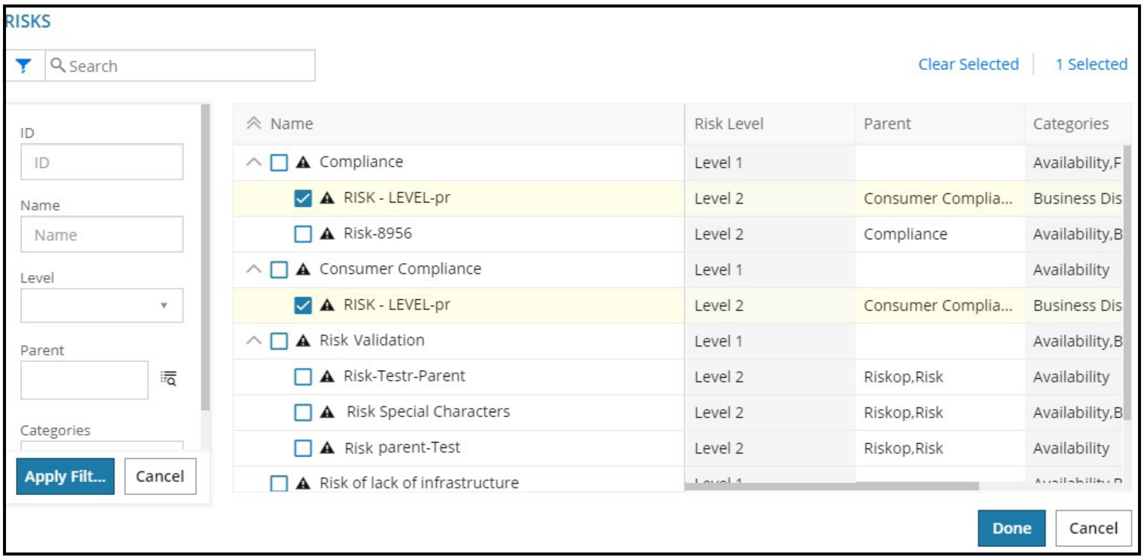


Figure 14 Risks window

b. Select the required records.

Note: If the library item has a hierarchy defined based on the levels, expand the parent item to select child items.

c. Click **Done**.
The linked records appear in a tabular format in the **Relationships** section.

Note: Click **Cancel** to cancel any changes that you made.

d. In the **Relationships** section table, you can view the name of the added relationship record. Click in the **Comments** column to provide comments about the relationship.

Notes:

- Click **Delete** to delete an added record.
- Click **Undo** to retrieve the last deleted record.

5. Click **Submit**.
The GRC Intelligence Alert has been correlated with Impacted Content Library records, You can evaluate further for Risk Assessment, Compliance Assessment and Others as needed for reporting.

GRC Intelligence Alert

Business Users can view detailed information captured and made available for the subscribed users.

The **Alert Details** form helps you to view GRC Intelligence. The **Alert Details** form comprises the following sections:

Header	Provides the action buttons to take action on the form.
General	Helps you view the details such as alert title, attached files, and actions performed on the alerts.

1. In the **GRC Intelligence Alerts** tab, click **Alerts** report.
   The **Alerts** report is displayed.
2. For the alert, which you want to view the details, click the link in the Alert column.
   The **Alert Details** form is displayed.
3. In the General section, you can view the details of alerts, as described in the following table.

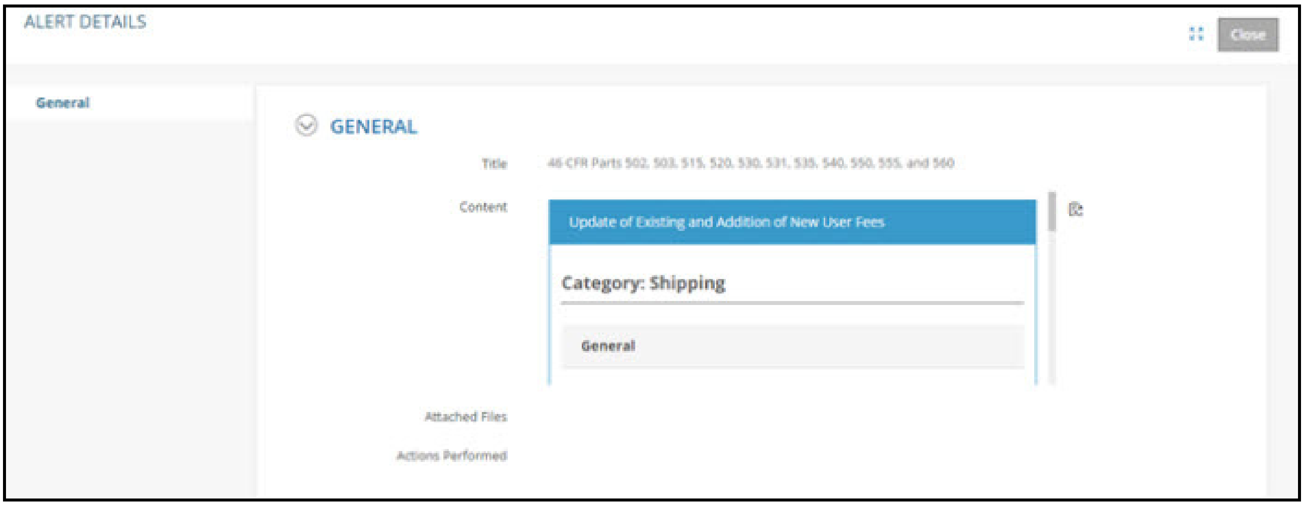


Figure 15 General Section

Field/Element	Description
Title	View name or title of the subscribed GRC Intelligence Alert/Feed.
Content	View detailed summary containing contextual summary of the subscribed GRC Intelligence Alert/Feed.
Attached Files	View list of files attached for the subscribed GRC Intelligence Alert/ Feed. **Note:** These files could be attached along with the downloaded email content or structured content channels.
Actions Performed	View action performed against the subscribed GRC Intelligence Alert/Feed. Displays Notify Users indicating the action has been performed to notify additional stakeholders about the incoming feed.

Reports

A report is a representation of data that is used for analysis, decision making, and follow-up actions. Reports are displayed in tabular (grid), tile, and graphical views.

You can use the report filters to narrow down the search and display the required result.

You can hide or display the columns of your choice in the reports. If a column displays a link, click it to view the drill-down report or the respective form.

The following table provides the list of the GRC Intelligence reports.

Navigation	Reports	Drill-down Reports
Reports in the GRC Intelligence tab		
Alerts	Alerts Report	
Reports drop-down	Channel Subscriptions Report	
	Issues Summary Report	Issues Report
Reports in the Setup tab		
Channels	Channels Report	
Connectors	Connectors Report	
Reports drop-down	Channel Subscriptions Report	
	Channels Report	
	Channel Health Status	

Alerts Report

Intended for:

Business Users

Use this report to:

View detailed information about the list of all subscribed GRC Intelligence Alerts/Data Feeds sourced from various Content Providers such as RSS, Email, Adhoc, Subscribed, etc. It enables Business Users to review, determine applicability and take necessary actions against applicable alerts such as Log Issues, Notify Users, and Relate Content Libraries.

Key Filters

- **Channel**: Allows you to select one or more number of Channels to filter and view list of GRC Intelligence Alerts generated.
- **Published After:** Allows you to enter a date. The report lists all the GRC Intelligence Alerts made available from the Content Provider that has been published after the specified date.
- **Published Before:** Allows you to enter a date. The report lists all the GRC Intelligence Alerts made available from the Content Provider that has been published before the specified date.

Key Columns

Column	Description
Object ID	Displays the Object ID.
Alert	View GRC Intelligence Alert. Drill down: Access to view **GRC Intelligence Alert** form in read-only mode.
Actions	Enables business user to take necessary actions to determine applicability, notifying users, relating content libraries and logging issues against received GRC Intelligence Alerts

Channels Report

Intended for:

Business Users

Use this report to:

View detailed information about the created Channels active and inactive Channels in the product.

Key Columns:

Column	Description
Object ID	Displays the Object ID.
Name	View name of the Channel record. Drill-Down: Access to view **Channel** form in read-only mode.
Status	The status of the Channel is displayed. Following are the possible values: • Active • Inactive
Channel Source Type	View type of channel source.
Server Address / URL	View server address/URL.

Connectors Report

Intended for:

Administrators

Use this report to:

View detailed information about the created Connections in the product.

Key Filters

- **Title**: Allows you to select the name of the connector.
- **Connection Type:** Allows you to select a connection type. Only REST is supported now.
- **Status:** Allows you to select the status - Active/Inactive.

Key Columns:

Column	Description
Title	Displays the title of the Connector form. When you click the title, the Connector form opens in Edit mode.
Type	Displays the connector type for the content integration.
Status	Displays the status of the Connector form. Following are the possible values: • Active • Inactive
Created By	Displays the user name who created the Connector form.
Created On	Displays the date when the Connector form was created.

Channel Health Status

Intended for:

Business Users

Use this report to:

View information about the channels created by the admin users and their triggered feeds.

Key Columns

Column	Description
Object ID	Displays the Object ID.
Channel	Displays the name of the channe
Type	Displays the type of the feeds. the options are: • Email • Structured Content • Subscribed Content
Source Name:	Displays the name of the source of the feed.
Source Type	Displays the type of source. the options are: • Email • GRC Intelligence Content • RSS • SFTP

Channel Subscriptions Report

Intended for:

Administrators

Use this report to:

View information about the list of channel records subscribed or unsubscribed.

Key Columns

Column	Description
Object ID	Displays the Object ID.
Channel Name	View name of the Channel record.
Server Address / URL	View server address/URL.
Channel Status	Status of the Channel is displayed. Following are the possible values: • Active • Inactive

Issues Summary Report

Intended for:

Business Users

Use this report to:

View breakdown summary of issues reported and logged in the product and monitor their overall progress status.

Key Columns:

Column	Description
Object ID	Displays the Object ID.
Channel Name	The Channel name is displayed.
Total # Issues	View overall summary or count of total number of issues reported for an alert against a Channel. Drill-Down: Issues Report
# of Open Issues	View overall summary or count of total number of open issues reported for an alert against a Channel. Drill-Down: Issues Report
# of Closed Issues	View overall summary or count of total number of closed issues reported for an alert against a Channel. Drill-Down: Issues Report
# of Rejected Issues	View overall summary or count of total number of rejected issues reported for an alert against a Channel. Drill-Down: Issues Report

Issues Report

Intended for:

Business Users

Use this report to:

View detailed summary of issues/findings reported into the product and monitor the progress status.

Key Columns

Column	Description
Name	The Issue name is displayed. Drill-Down: Access and view **Issue** form in read-only mode. For more information on this form, see Issues in Issue Management.
Status	The status of the Issue is displayed.

Change History Report

The **Change History Report** provides information about all the changes that a form have undergone from one workflow stage to the other.

Key Columns:

Column	Description
Modified on	Displays the date and time on which the modification was made.
Modified By	Displays the name of the user who modified the information.
Type of Activity	Displays the type of activity performed by the user.
Section	Displays the section of the form to which the modified field belongs.
Field Name	Displays the name of the field whose value was modified.
Old Value	Displays the previously-entered value. Click the Comments icon to view the old and the changed values.
New Value	Displays the modified value. Click the Comments icon to view the old and the changed values.
Workflow Stage	Displays the workflow stage at which the change was made.

Charts and Dashboards

A dashboard is a page that displays one or more charts. A chart is a graphical representation of data in which the data is represented by symbols, such as bars in a bar chart, lines in a line chart, or slices in a pie chart. Dashboards enable you to make informed decisions.

Section:

Total Alerts Chart

Total Alerts Chart

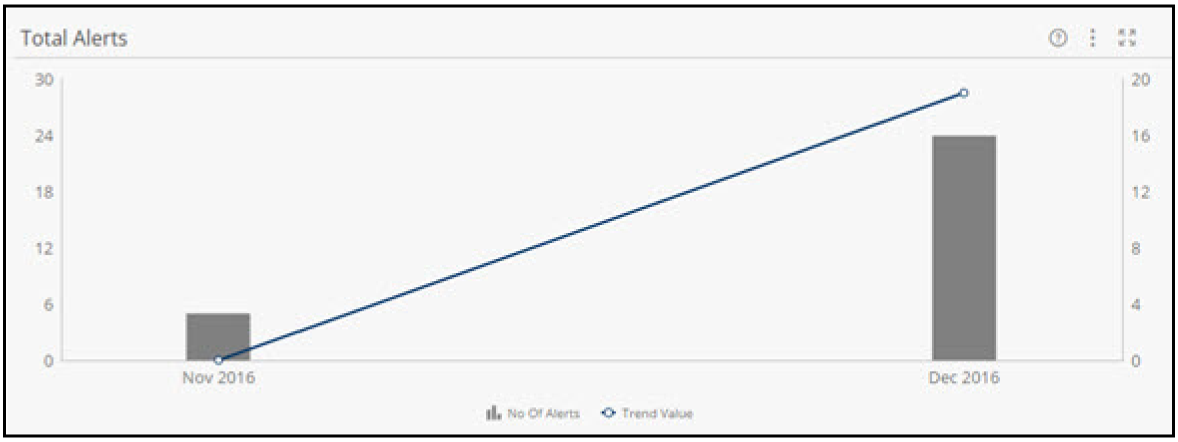


Figure 16 Total Alerts Chart

Intended for:

Business Users

Description

This bar chart displays the total volume of Alerts/GRC Intelligence Feeds generated over a period of time for the subscribed channels.

The following are the stack details:

- Number of alerts
- Trend value
- **X-axis**: Represents the Timeline series by Months as configured in the system.
- **Y-axis** (left hand side): Represents the Total Volume of Alerts generated for the subscribed channels.
- **Y-axis** (right hand side): Represents the Trend Value as compared between current and previous volume of alerts generated over a period of time.

Drill down:

Alerts Report

Appendix

This section provides information about the common functions and features of the **GRC Intelligence** module.

Sections:

- About Reports
- About Charts
- Data Browser and Explorer
- Hover Card
- E-Mail Notifications
- Restricted Special Characters

About Reports

A report is a tabular representation of meaningful data, which you can use to make informed decisions. It normally consists of multiple columns.

Most of the reports provide filters. Using the filters, you can search for specific contents and view the report based on the search results.

Accessing Reports

You can access the reports by clicking specific links within an infoport or forms. However, some reports are directly displayed in the infoport. To access such reports, navigate to the required infocenter and then to the infoport. Example: You can access the Library Overview Report by clicking **GRC Intelligence Alerts** tab and the **Reports** drop-down.

Accessing Reports Through Links Within Infoports

For example, click the **GRC Intelligence Alerts** tab, click **Reports**, and then select **List Reports** as shown in the following figure.

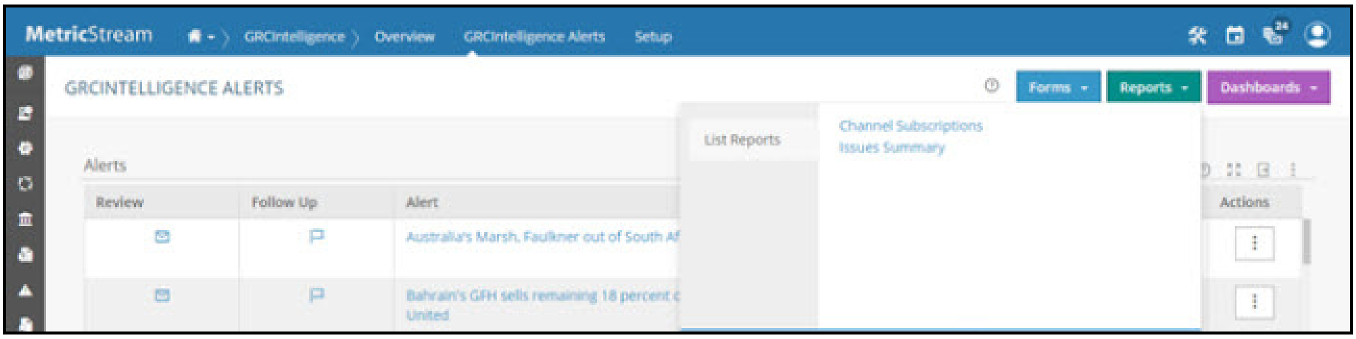


Figure 17 Accessing Reports Through Links Within Infoports

The list of reports available for the logged in user are displayed.

Filters

Use the report filters to display only the required data in the report. These filters help you narrow down your search and refine the output of reports. By default the filters are displayed on the left side of a report as shown in the following figure.

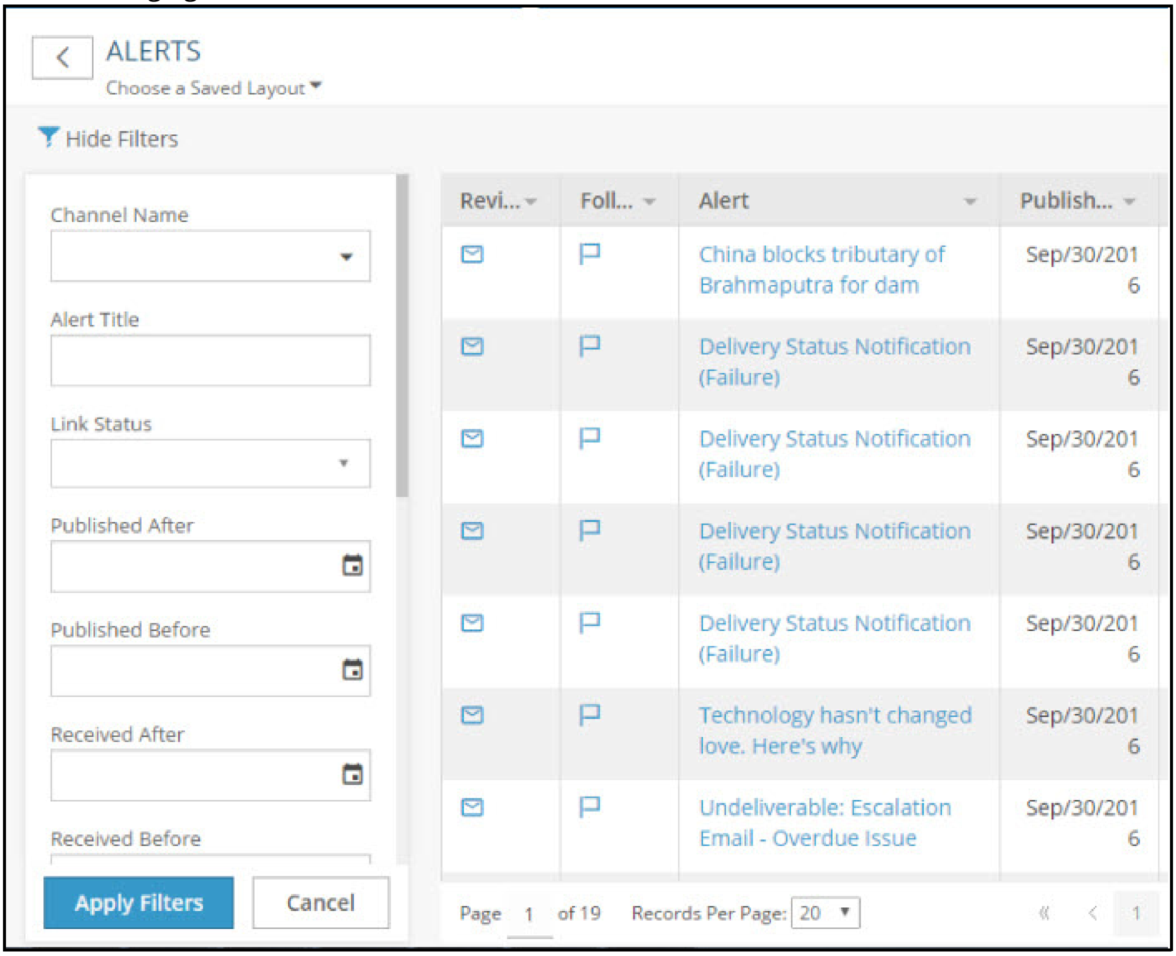


Figure 18 Report Filters

To apply filters, perform the following steps.

1. Enter the required data in one or more filters.

   The following types of parameters are available in the filters:
   Mandatory filters: You must provide data in mandatory filters.
   Optional filters: You can provide data in the optional filters or leave them blank, as required.

   Notes:

   - You can enter search criteria in all the filters or just a few of them, as required. The product applies an "AND" condition to all the filter criteria that you enter.
   - If you click the **Apply Filters** button without entering any data in any of the filters, provided there are no mandatory filters, the report retrieves one or more existing contents from the product.
   - Click the **Cancel** button to clear the entered data.

2. Click the **Choose a Saved Layout** link to save the details in to an existing saved layout or save the details in to a new layout.

   Note: When you click **Choose a Saved Layout**, a list of existing saved layout options appear for selection. You can select the required layout. Also, a text box appears in which you can type a name to save the details.

3. Type a name for your search and click **Save** to the save the filter data in to a new layout.

The next time you open the filters, the saved layout name is available for selection in the saved layouts list.

4. Click the **Apply Filters** button to submit the filters.

   The report retrieves the records based on the data entered in the filters.
   To hide filters, click **Hide Filters**.

Drill Downs

A few reports can have associated drill-down reports and/or forms. To access drill-down reports and forms, click the text that appears as a hyperlink in the relevant column. Not all reports have a drill-down report or form.

Report Actions

A few actions can be performed on the subscribed GRC Intelligence feed to notify users, relate content libraries, or log issues.

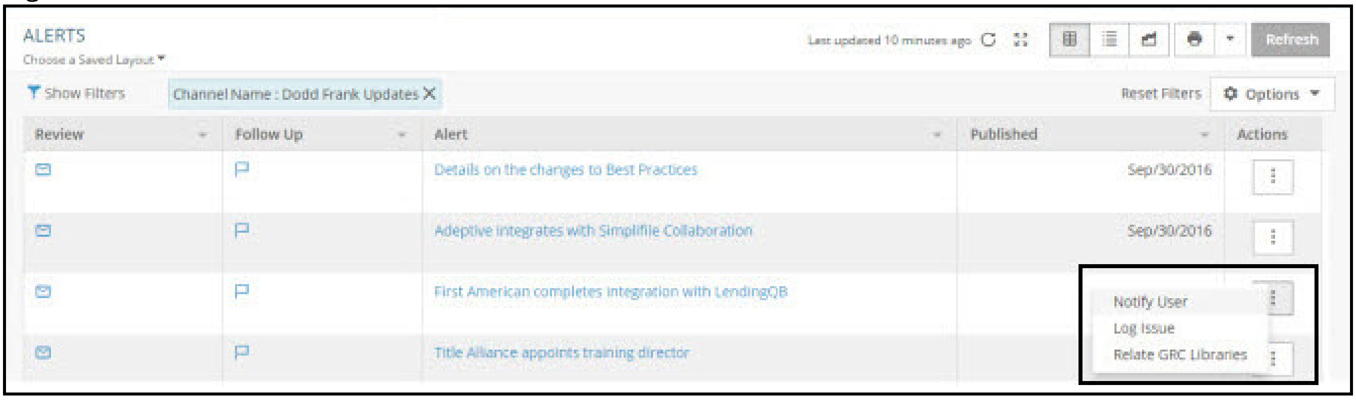


Figure 19 Report Action Menu

Perform the following steps to view action menus:

1. Click Actions menus in the Actions column.
2. Click to perform any available actions.

About Charts

A dashboard is a page that displays one or more charts. A chart is a graphical representation of data in which the data is represented by symbols, such as bars in a bar chart, lines in a line chart, or slices in a pie chart. Dashboards enable you to make informed decisions.

You can access dashboards and charts by clicking specific links in the infoport as shown in the following figure.

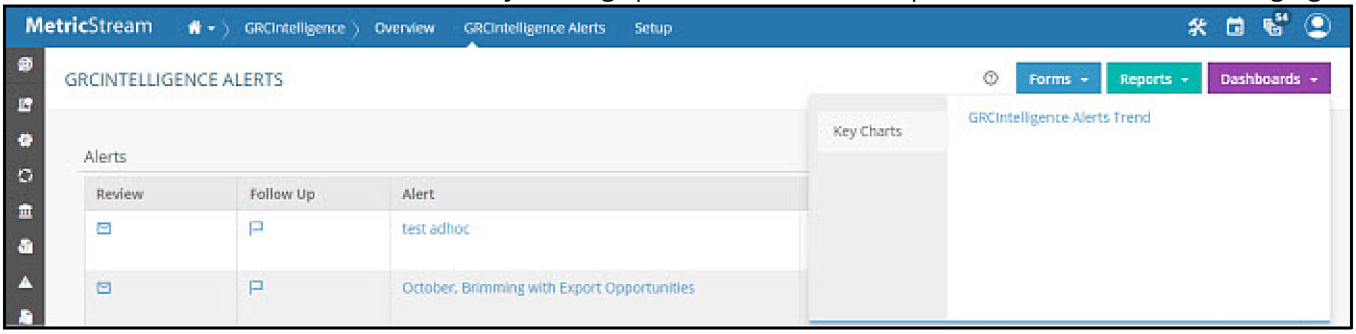


Figure 20 Accessing Dashboards/Charts Through Links

You can also access charts from the infocenter as shown in the following figure.

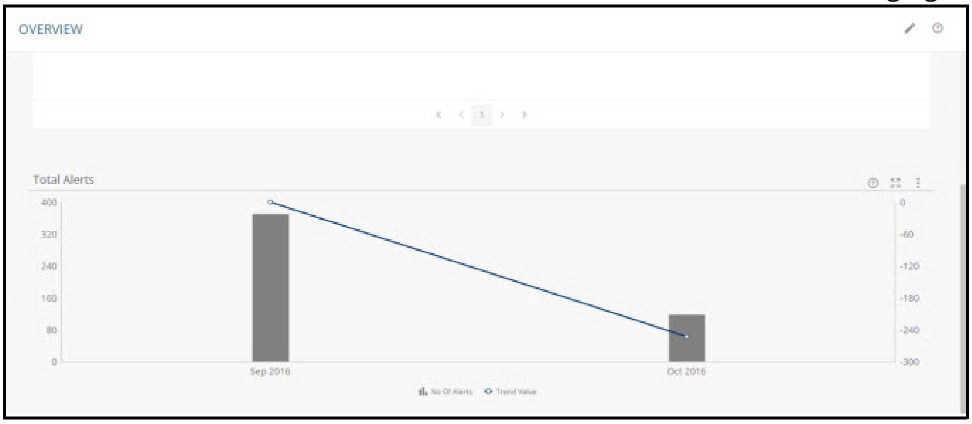


Figure 21 Accessing Charts Through Infocenter

Chart Drill Downs

The drill-down option enables you to view associated charts and reports from the current chart. Move the pointer over the data in the chart. If the pointer changes to a hand symbol, it is an indication that there is a drill-down available. When you click, the drill-down chart or report appears.

Note: For more information on dashboard and charts functionalities, refer to the MetricStream Arno Release Spring ‘21 - Platform - Configuration Guide Dashboard and Charts sections respectively.

Data Browser and Explorer

The data browser enables you to navigate from one element to the other related content easily and perform actions assigned to these content.

The data explorer provides an organized visualization of data which enables you to quickly explore the content.

Accessing Data Browser and Explorer

When you log on to the product, the data explorer icon and the data browser panel are available on the left side as a collapsed side bar widget. By default, the interactive Data Browser pane is always visible on the left side of all the navigated pages as shown in the following figure.

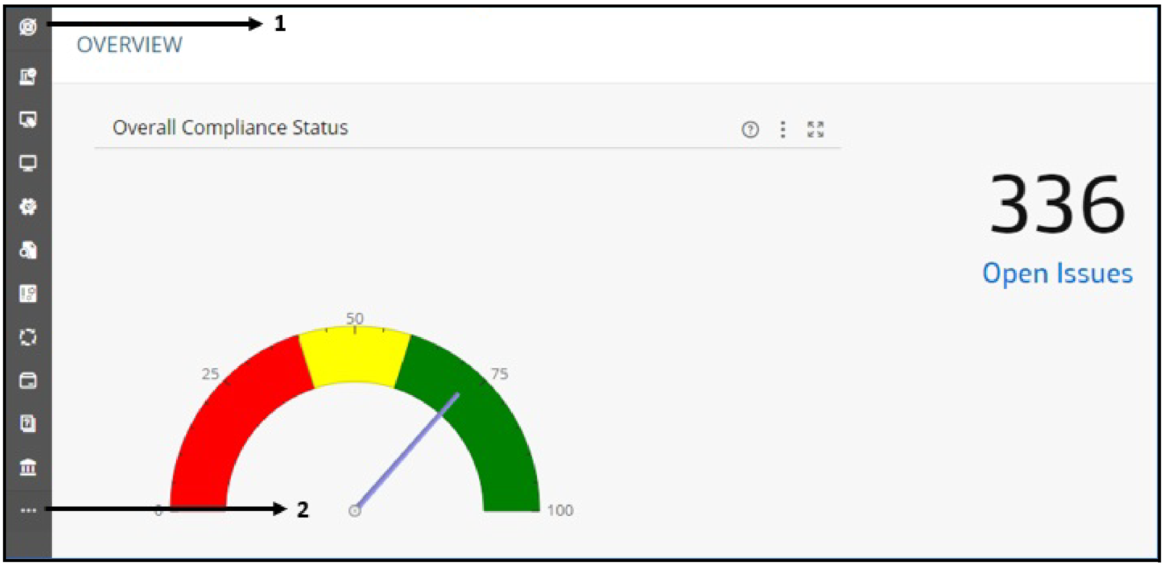


Figure 22 Accessing Data Browser and Explorer

The numbered callouts identify the following:

1. Data Explorer icon - Click to get started with the visualization of the data explorer.

Note: The data explorer can also be launched from the hover card. For more information on hover cards, see Hover Card.

2. Data Browser pane - Click to expand the data browser and view the available content icon along with its name.

Viewing and Editing Content

You can navigate to the required forms and reports by clicking the links in the data browser and data explorer, and edit the content details, as required.

Data Explorer

To view and edit a record using the data explorer, perform the following steps:

1. Click to launch the data explorer.

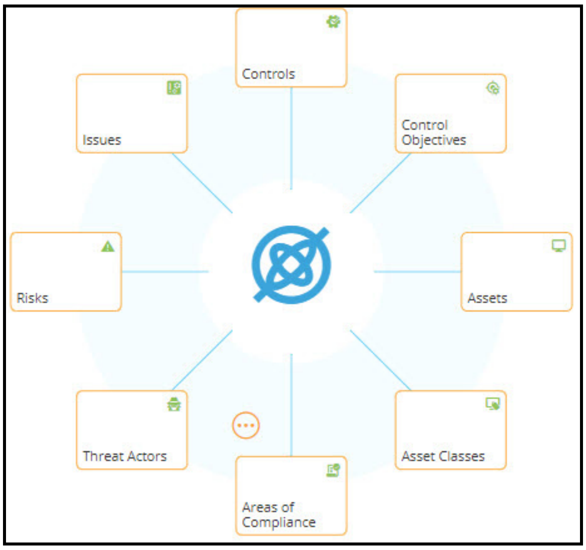


Figure 23 Data Explorer Home

2. Click the required item to view the records.
3. Click the record to view details of any record.
   The view of data explorer is narrowed down to display the details associated with that specific record.
4. Click an item to further narrow down the view.
5. Move the mouse pointer over an item, and then click to open the respective form and edit the record.

For more information on Data Explorer, refer to the MetricStream Arno Release Spring ‘21 - Platform - Configuration Guide.

Data Browser

To view and edit content using the data browser, perform the following steps:

1. Click the required data browser icon.

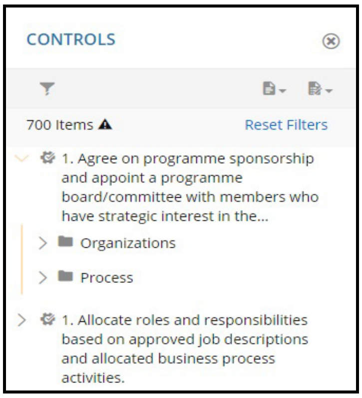


Figure 24 Data Browser - Threats

2. Click the required record to view the details of the record.

3. Edit the details according to your requirements, and then submit the form.

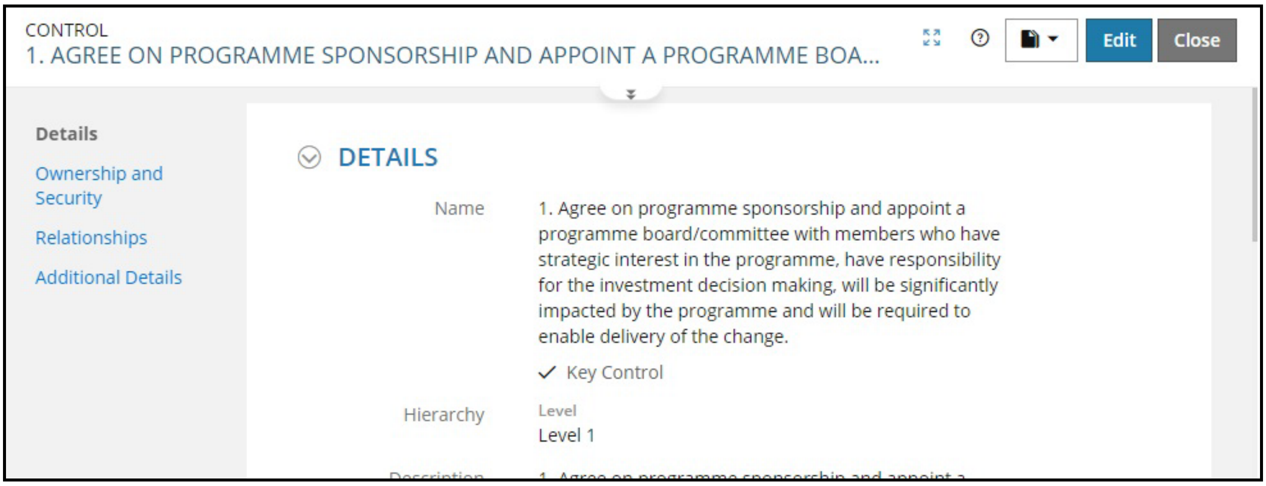


Figure 25 Data Browser View Form

Note: Move the mouse pointer over a node, and then click Options icon to view the list of related reports and the **View Form** option. Clicking **View Form** opens the respective form. You can select a report to open it.

For more information on Data Browser options such as filtering, collapsing and expanding objects, and viewing related links, refer to the MetricStream Arno Release Spring '21 - Platform - Configuration Guide.

Hover Card

Hover cards help you viewing contextual information about an entity such as related reports, dashboards, and relationships without opening multiple forms. Hover cards are displayed when you move the mouse pointer on certain fields. You can also launch the data explorer through hover cards.

Hover cards appear when you move the mouse pointer over:

- User names
- Titles

Examples:

Figure 26 Hover Card - User Name

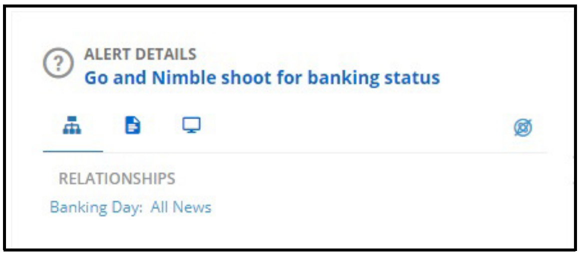


Figure 27 Hover Card - Title

Hover Cards with user information have clickable links for the user's email address and contact information such as telephone numbers (to make a phone call) or instant messaging apps.

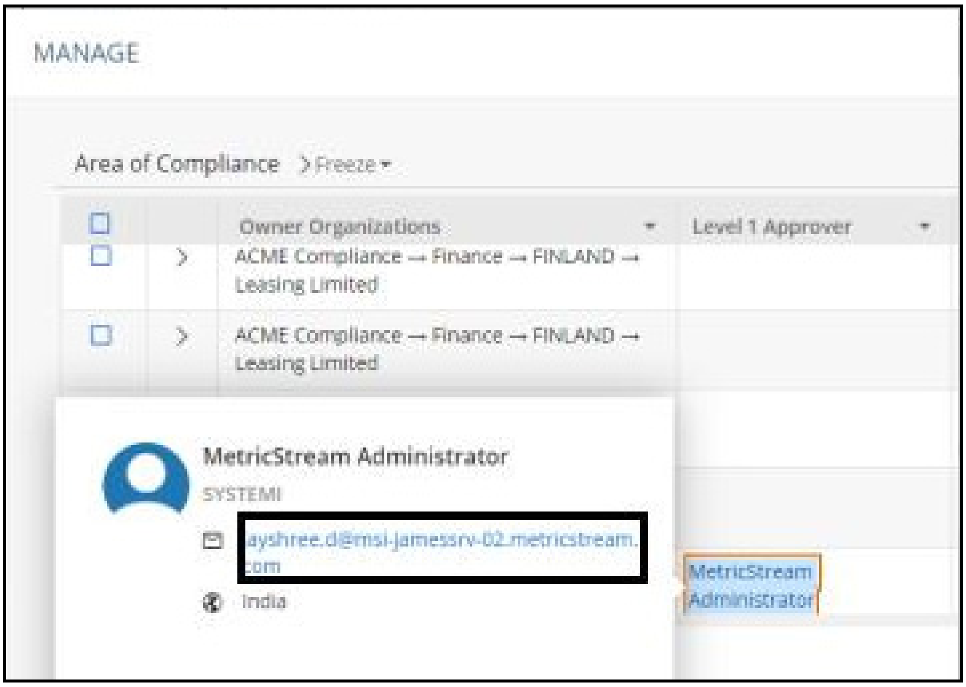


Figure 28 Hover Card - Clickable User Information

E-Mail Notifications

As a part of the GRC Intelligence process flow, e-mail notifications are generated and sent to the appropriate users.

To see the e-mail notification details, do one of the following:

- Double-click this attachment (paper clip) icon.
- Or in the left pane of this PDF, click to view the attachment, and then double-click to open it.

Note: If the e-mail notifications attachment is not accessible on browser, download and open this PDF guide in Adobe Acrobat.

Restricted Special Characters

The following table provides the special characters that are not allowed in the specified form fields and in the template used for data upload.

<table>
<tr><th>Field</th><th>Restricted special character combinations</th></tr>
<tr><td>Name field in the Channel form.</td><td>^&^   , and ~   #_#   @@   @@<-   >@@
$^^$ \\|\\|\\| $#$ ||| @#@   _$$_
$$$ %#%   &#&   ;#~   ;#,   #~#
[|] |@^| ||^|| !^()^!   ^^   <~>
||!|| <!>   <::>   <* |? |#|</td></tr>
</table>

For more details on special characters, refer to the MetricStream Arno Release Spring ‘21 - Platform - Configuration Guide.

References

You can refer to the following documents:

- MetricStream Arno Release Spring ‘21 - GRC Intelligence - System Administrator Guide
- MetricStream Arno Release Spring ‘21 - Platform - User Guide
- MetricStream Arno Release Spring ‘21 - Platform - System Administrator Guide

Feedback

MetricStream welcomes your feedback on the quality and usefulness of this document. If you have any documentation-related comments or suggestions, write to TechPubs.