metricstream

Arno Release | SPRING '21

Issues

User Guide

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Overview

An issue can be anything that could cause unnecessary conflicts, delays or even failure to produce your deliverable, if it goes unresolved; for example, problems with staff or suppliers, technical failures, material shortages and so on.

The **Issues** module allows companies to establish and follow consistent procedures for issue reporting, loss event tracking, task management, and status reporting. It supports the identification and evaluation of issues as well as case investigation and tracking leading to an elaborate remediation or corrective action process.

Powerful analytics along with a comprehensive issue reporting and tracking system based on configurable workflow gives managers complete and real-time visibility into business problems and provides critical information to reduce risk of non-compliance.

Adhoc Issues and self-identified issues can be directly initiated from the **Issues** module or from products such as **Internal Audit**, **Enterprise Risk Management**, **Operational Risk Management, Regulatory Engagements, Surveys**, **Compliance Management**, **Business Continuity Management**, and **Third Party Management**.

Sections:

- Issues Workflow
- User Interface Elements
- Elements of a Sample Form

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Issues Workflow

Use the **Issues** module to initiate issues, implement actions, and track issues to closure. It includes the following key features:

- Initiating Issues
- Managing Issues
- Implementing Actions
- Monitoring Issues

The following figure illustrates the **Issues** workflow.

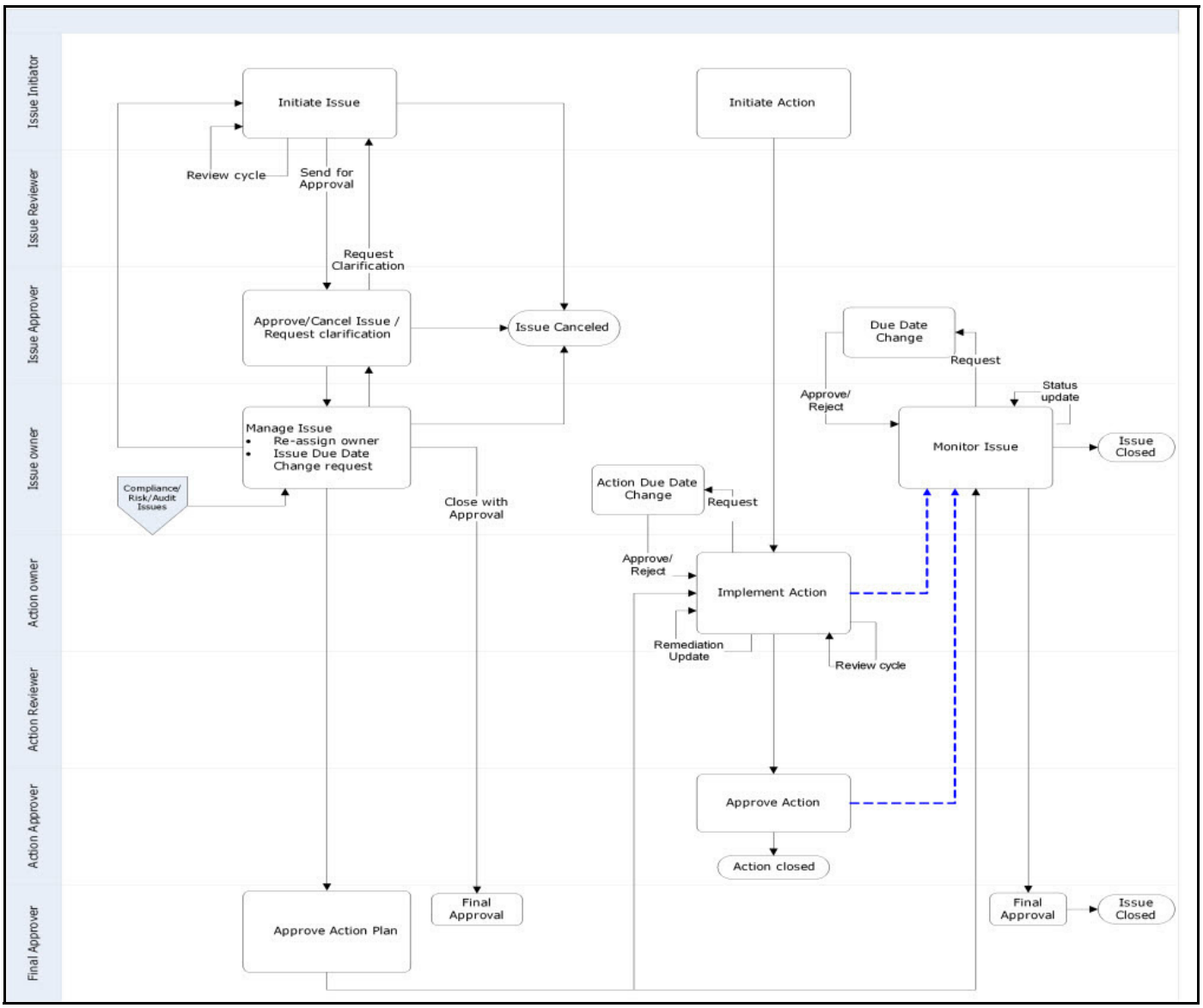

Figure 1 Issues Workflow

The following steps help you understand a sample **Issues** workflow:

1. The issue initiator reports an ad hoc issue, captures the issue details, identifies the issue owner and sends it for review optionally or for approval. The issue initiator can also suggest corrective actions that can resolve the issue.

   Once the issue is approved by the approver, the issue is assigned to the issue owner for further evaluation.

   Note: The issue review and initial approval stage are available based on a parameter.

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2. The issue owner can define the action plan, reassign the issue to another issue owner, cancel or close the issue only if the issue has been remediated.

   The issue owner can either edit the actions which were suggested by the issue initiator or define a new action plan. When the actions are defined, the action plan can be sent for approval or can be directly triggered based on the system parameter.

   If the action plan approval stage is disabled, then the issue is moved to the monitor stage and the actions are triggered to the respective action owners.

3. Action owners work on the actions defined for the issue. They document the work done in resolving the issues and the results of the action, if any. The action owner can also update the percentage completion of the action, send the action for a review optionally or send the actions for approval.

   Note: The action review stage is available based on a parameter.

4. The issue owner can track progress of the actions, optionally update the status of the issues and present the status of the issues to business owners/ management.
5. The issue owner can close the issue once all the actions are completed. The issue owner sends the issue for final approval or close the issue based on a system parameter.
6. The final approver can either close the issue or send it back to the issue owner for further clarification.

   Note: The administrator can reopen closed issues, if required.

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User Interface Elements

The following pages are available in the **Issues** module.

- Overview
- Issues
- Actions
- Respond to Issues

Overview

The **Overview** page provides the executives and managers a summarized view of issues. It provides key insights and helps them plan their activities to resolve issues and minimize business risk.

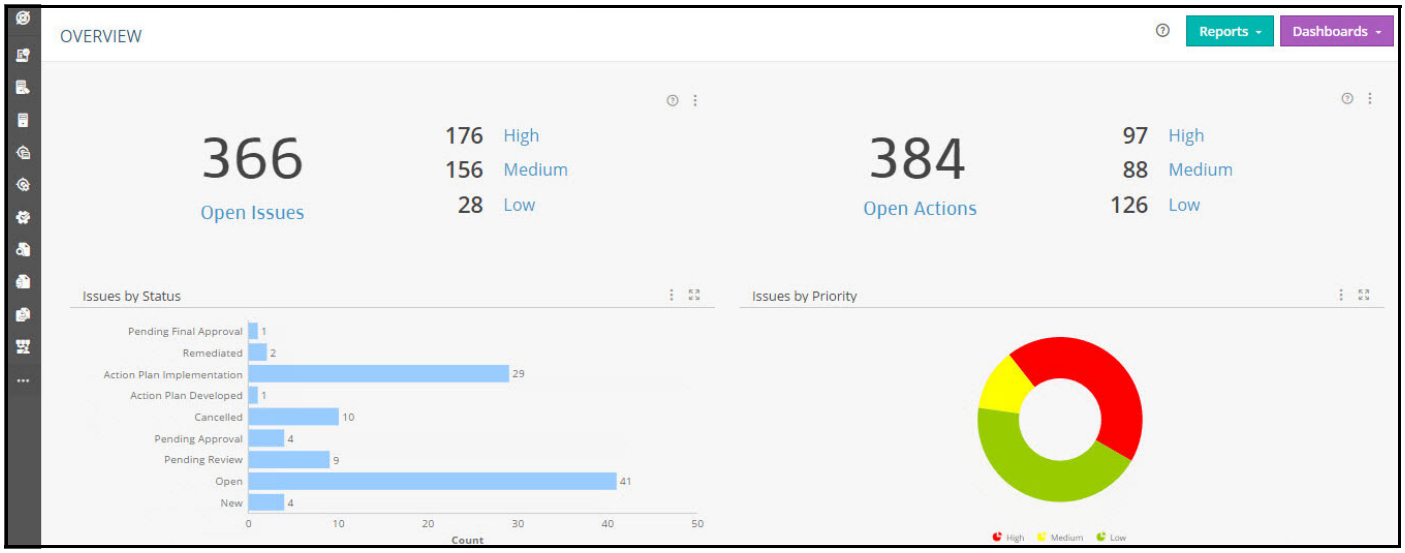

Figure 2 Overview

The **Issues** and **Actions** metric cards display the aggregated count of open issues/actions and group them based on the top 3 available issue rating/action priority. It allows you to drill down to a particular category of issues/actions.

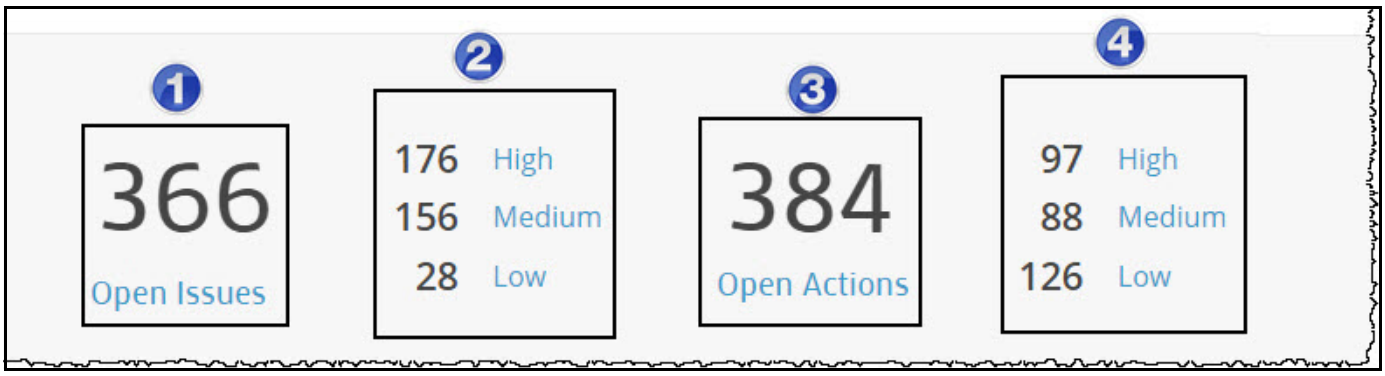

Figure 3 Metric Cards of Overview

The numbered callouts in the preceding figure identify the following:

1. Total number of open issues. Click the **Open Issues** link to view all open issues.
2. Issues rated as High, Medium and Low. Click on the desired rating to view the related **Issues** report. For example, click High to view all open issues rated as High.
3. Total number of open actions. Click the **Open Actions** link to view all open actions.

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4. Actions rated as High, Medium and Low. Click on the desired priority to view the related **Actions** report. For example, click High to view all open actions that are prioritized as High.

Issues

The **Issues** page allows the business users to manage and work on resolving issues by implementing required action plans. You can access various analytics that help you identify trends in issues being raised and worked on, thereby helping you prioritize your activities based on the business urgency.

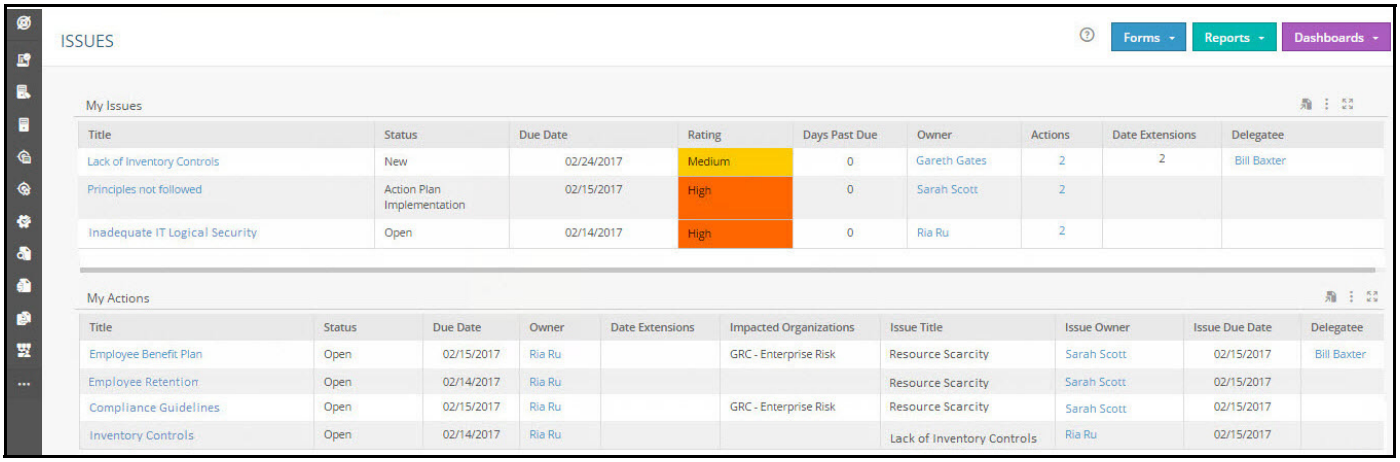

Figure 4 Issues

Actions

Use the **Actions** page to auto delegate actions to a different user and access different reports to work on actions.

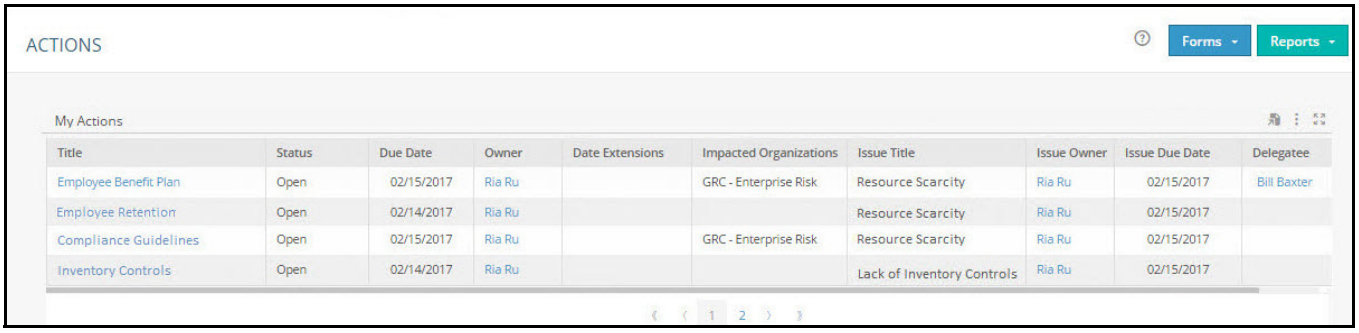

Figure 5 Actions

Respond to Issues

The **Respond to Issues** page is used by governance teams (for example, Audit/Compliance) to provide their comments or feedback about the ongoing issues to the business teams. This feedback helps the business teams to validate if the issue resolution process is suitable and acceptable to the governance teams.

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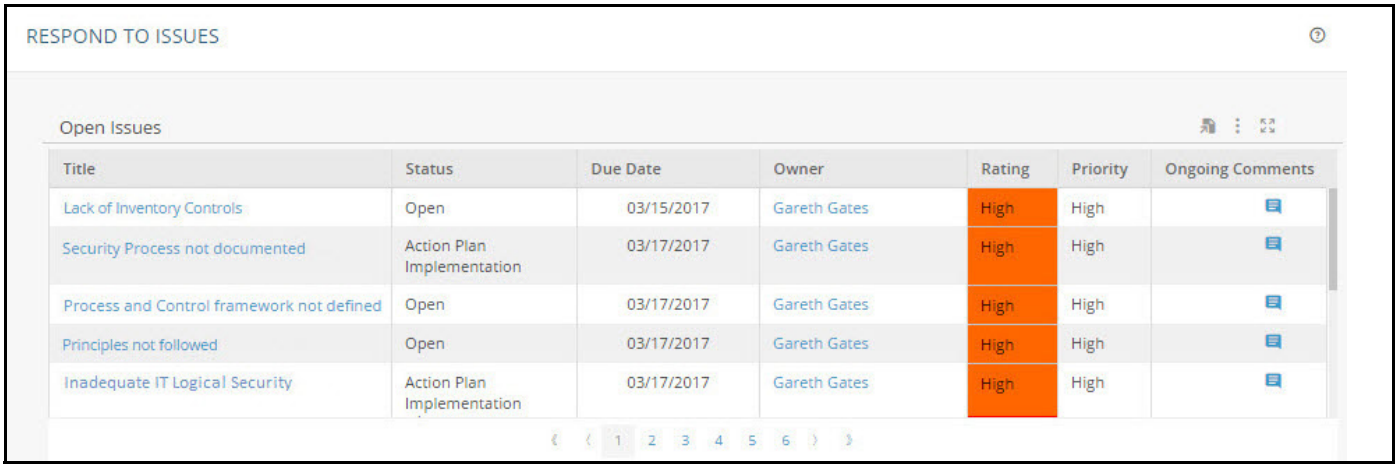

Figure 6 Respond to Issues

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Elements of a Sample Form

The following figure illustrates the elements of a sample form.

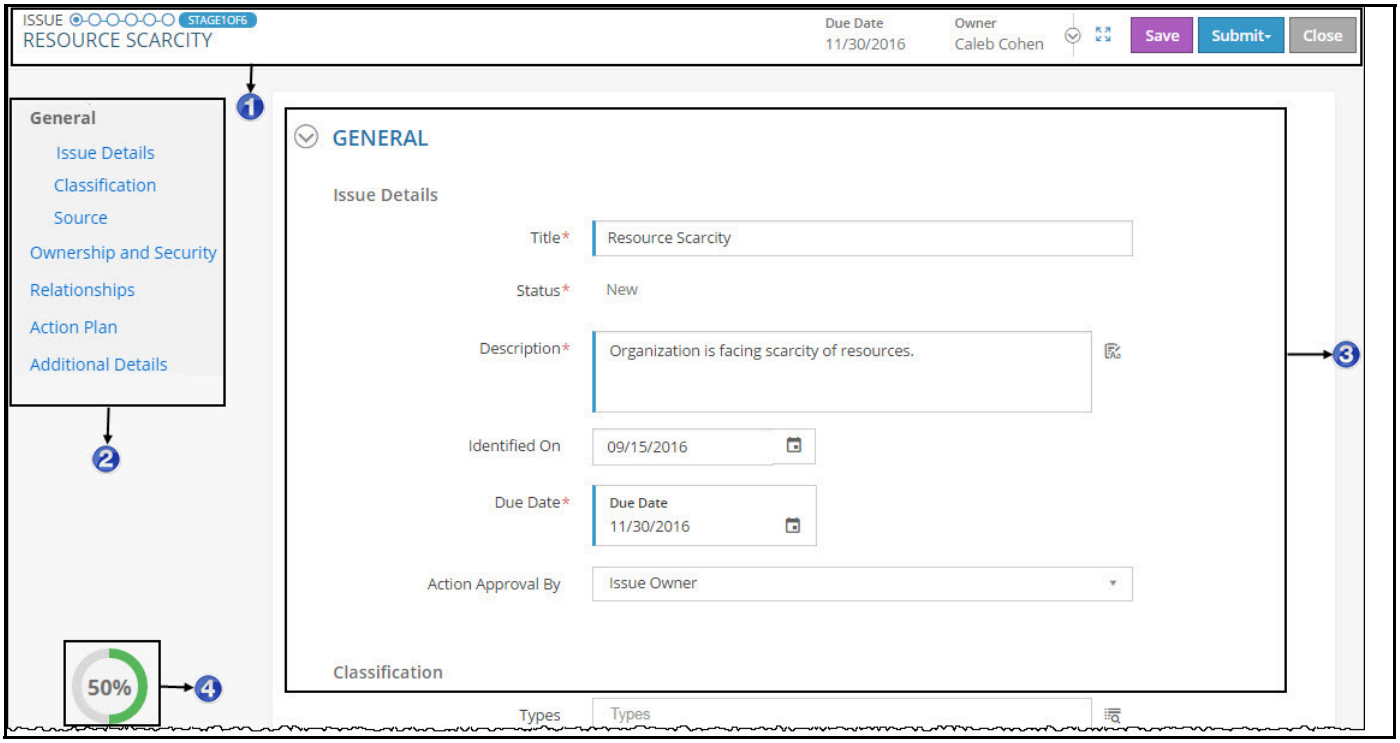

Figure 7 Form Layout

The numbered callouts in the preceding figure identify the following:

1. Header - Provides a high-level overview about the issue/action. See Header.

Note: You can click the Full Screen icon to activate the full screen mode.

2. Navigation pane - Click the section name to navigate a particular section.
3. Sections - Displays relevant fields to capture the required information.
4. Percentage of completion - Indicates the percentage completion of the form. After you provide inputs in all the mandatory fields of all the sections, a green tick, which indicates that the form is 100% complete, appears.

Header

The header provides a quick overview about the issue/action by displaying the primary and secondary titles, workflow stage, validity period of the issue/action, and a few key fields. The header also allows you to take relevant action on the issue/action. The header comprises:

- Title
- Workflow Stage Indicator
- Key Fields
- Header Toolbar

Title

The form title can be categorized into primary and secondary. The name of the form appears in the primary title, for example, from the figure Form Layout, **Issue** is the primary title.

The name of the issue/action along with its ID appears in the secondary title. For example, from the figure Form Layout, **Resource Scarcity** is the secondary title. After you type a name in the **Title** field and click anywhere outside the field, the name appears as a secondary title just below the primary title.

Workflow Stage Indicator

The workflow stage indicator is available on the upper-left corner of the form, as shown in the figure Form Layout. It indicates the workflow stage in which the issue/action is in. The total number of approval workflow stages shown in the workflow stage indicator is determined by the number of approval workflow stages defined.

For example, if six workflow stages are defined and you are currently in the first stage, then, it is displayed as STAGE 1 OF 6.

For more information on Workflow Stage Indicator, refer to the Workflow Stage Indicator section in MetricStream Arno Release Spring '21 - Governance, Risk, and Compliance Foundation - User Guide.

Key Fields

The key fields that are considered significant for the issues/actions are displayed in the header. This helps you to get a quick overview about the issue/action.

The fields that are displayed may not be common across all the issue/action forms. The most commonly displayed fields in the forms are:

- **Due Date**: Displays the due date of the issue or action.
- **Owner**: Displays the owner of the issue or action.
- **Status**: Displays the status of the issue or action.
- **Rating**: Displays the rating of the issue.
- **Priority**: Displays the priority of the issue or action.

Header Toolbar

The header toolbar comprises icon to view related reports and action buttons to take action on the form. The following table provides information on the commonly used icon and action buttons.

Note: Based on the workflow stage, one or more additional actions may be available. These actions are documented at the end of the each workflow procedure.

Button/Icon/List	Description
	Click this icon to expand the form header and view all the key summary fields.
	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.
	Click this button to view related reports. To view the reports: **1.** Click the Related Reports icon. A list of related reports appears. **2.** Click the report name that you want to view. The respective report appears. You can access reports such as Comments History Report, Issue Audit Trail Details Report, and Change History Report.

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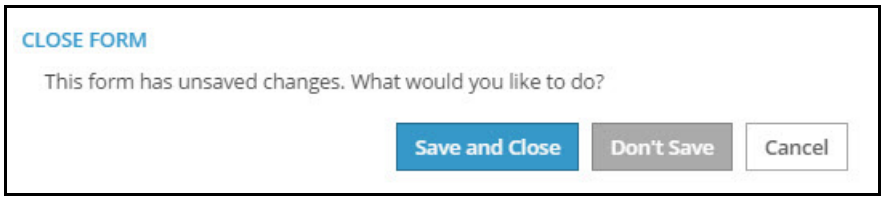
Button/Icon/List	Description
Save button	Click this button to save the form as a working draft without processing it to the next workflow stage.
Submit drop-down list	Click this drop-down list to view the actions available at a particular stage. The actions available at every stage are explained in the relevant workflow procedure. **Note:** This field is available in all the stages except the issue reviewed and action reviewed stages.
Close button	Click this button to close the current form. The **Close Form** dialog box appears only if you have made changes but not saved the form.  The available actions are: • **Save and Close**: Click this button to save the form as a working draft and close the form without processing it to the next workflow stage. **Note:** You can access the form from **My Tasks** at a later time and continue working. • **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.

Note: For more information on the form layout, refer to the MetricStream Arno Release Spring '21 - Governance, Risk, and Compliance Foundation - User Guide.

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Initiate Issues

Issues, otherwise known as problems, gaps, inconsistencies, or conflicts have to be recorded when they happen. An issue can be anything that hinders the overall mission of the organization and what it intends to accomplish. The issue management process involves identifying and resolving these issues. Since most issues are unexpected, the **Issues** module allows you to report the issues that could affect the organization's welfare.

Sections:

- Workflow
- Initiating or Logging Issues
- Reviewing Issues
- Approving Issues

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Workflow

The following figure illustrates the workflow process involved in initiating or logging an issue. For more information on the overall workflow, see Issues Workflow.

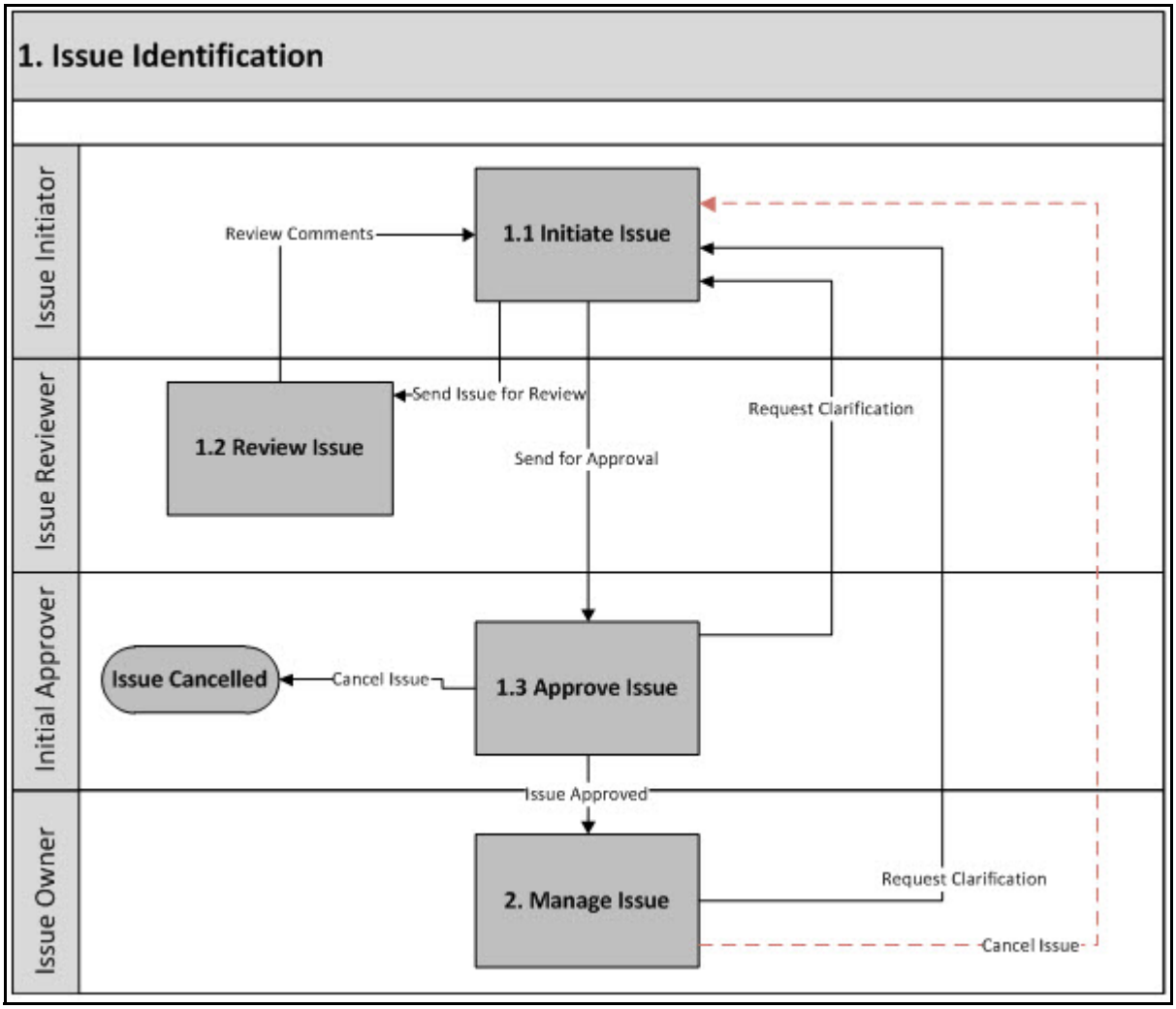

Figure 8 Workflow of Issue Identification

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Initiating or Logging Issues

The issue initiator initiates an issue, captures all the details of an issue, and sends it to the issue reviewer or initial approver for review or approval. The issue initiator can also suggest the corrective action that can be taken for the resolution of the issue.

Once the issue is initiated, it undergoes the following review/approval cycle:

- The issue initiator captures the issue details and can optionally send the issue for review.
- The issue is reviewed, and the form is sent back to the issue initiator along with the reviewer's comments.
- The issue initiator incorporates the reviewer's comments, if any, and sends it to the initial approver for approval.

You can report ad hoc issues using the **Issues** module. Issues can also be reported from products such as Internal Audit, Enterprise Risk Management, Operational Risk Management, Surveys, Third Party Management, Business Continuity Management, IT - GRC, Compliance, Regulatory Engagements and Regulatory Change Management.

Use the **Issue** form to initiate or report an issue.

Note: The reviewer stage is enabled to support the review cycle.

Accessing Issue Form

1. In the **Issue Management** tab, click **Issues** and, then click **Forms**.
2. In the **Log menu** click **Issue** link. The **Issue** form appears.

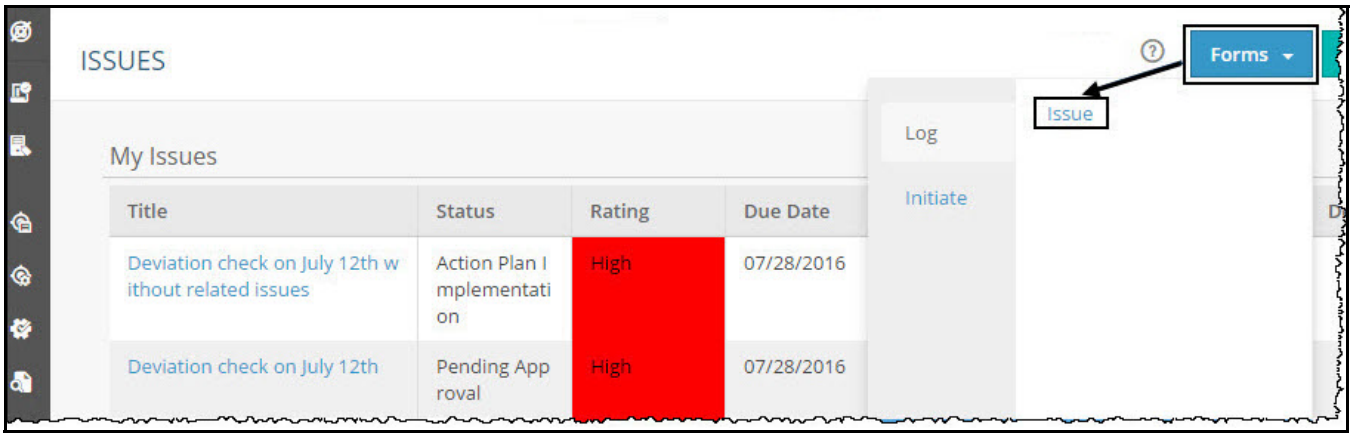

Figure 9 Accessing Issue form

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Header of Issue Form

The header provides a summary of the issue and indicates the current workflow stage. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Issue Form.

Figure 10 Header of Issue Form

For more information on header, see Header.

General section of Issue Form

Use the **General** section to add issue details, classification and source details.

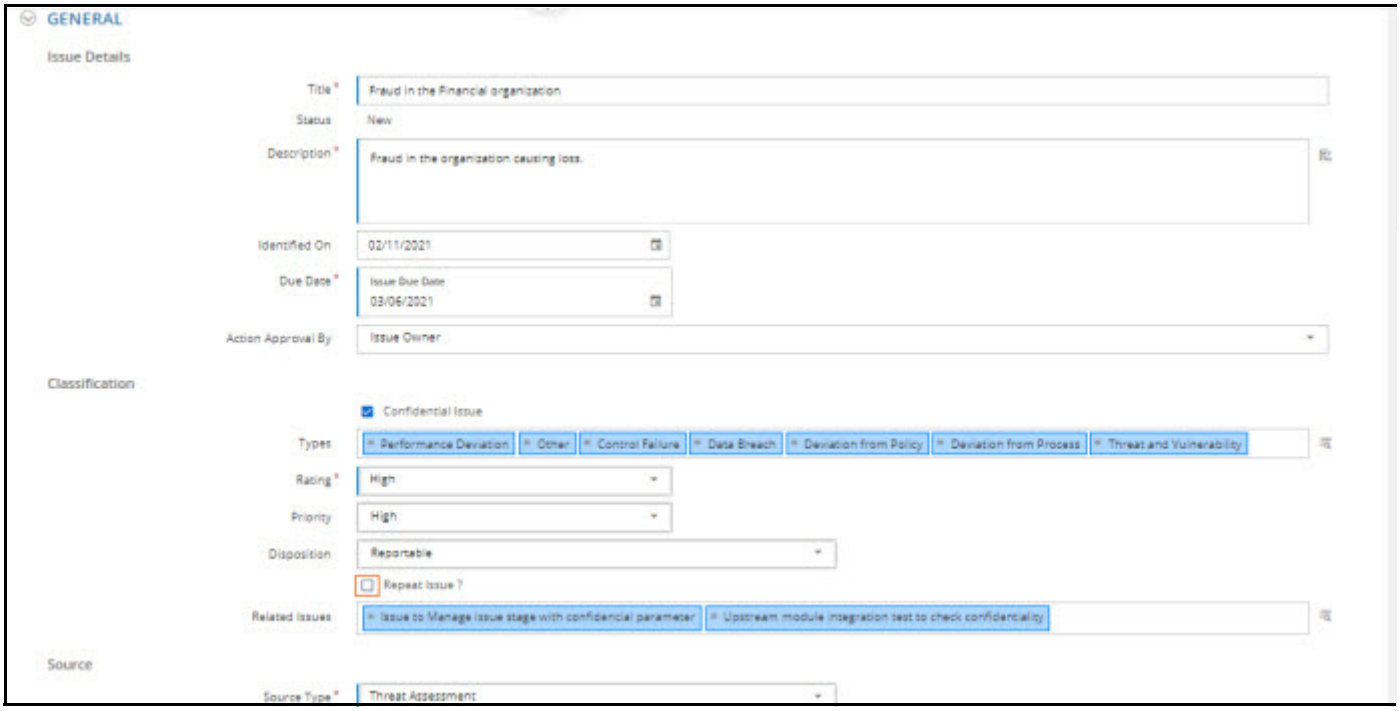

Figure 11 General section of Issue Form

Field/List Name	Description
Issue Details	

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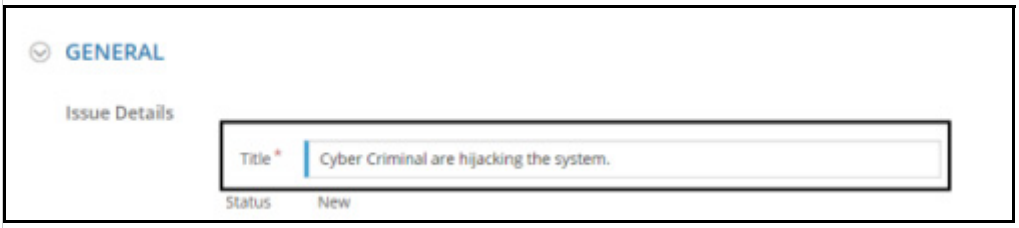
Field/List Name	Description
Title	Type the name of the issue. This field allows you to type text without any specific format. You can type symbols, and alphanumeric characters. It accepts up to 1000 characters. After entering the issue name, if you click outside this field, the entered name appears in the header section. For more information, see Header of Issue Form. **Notes:** - You can create multiple issues with the same name. On form submission, for each issue, the system generates a unique issue ID that is appended to the issue name that you have entered. - For every additional issue, the issue ID is sequentially incremented by 1. The combination of issue name and issue ID is unique for every issue. For example Approve Issue: Resource Scarcity [ISSUE-00005680]. Here, Approve Issue: Resource Scarcity is the name of the initiated issue and [ISSUE-00005680] is the issue ID. The issue ID is configured based on the business requirement using the Define Application ID form. The Define Application ID form is available in the AppStudio user interface. You need to login as an administrator to configure the IDs.
	For products with AI (Artificial Intelligence) capability: Provide a name or a brief summary of the issue using appropriate key words. **Note:** Using keywords helps in displaying issues that have been reported in the past having similar words (semantic similarity) in the **Related Issues** field. 
Status	By default, the status appears as **New** in the initiate stage. For more information, see Actions and Statuses Available in Forms.

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Field/List Name	Description
Description	Click the RTF icon or anywhere within the text box to type the description. The Rich Text Format window appears. Provide a detailed description of the issue. You can also attach documents and images, if required.
	For products with AI (Artificial Intelligence) capability: Click the RTF icon or anywhere within the text box to type the description. The Rich Text Format window appears. Provide a detailed description of the issue. You can also attach documents and images, if required. **Note:** Use appropriate keywords to match the **Issue Title** while describing the issue. Semantic similarity (using similar keywords) improves the search results for **Related Issues**. Description * Once the user logs in, the system is hijacked. After the hijack personal data is lost as part of paying bills online by logging into the account.
Identified On	Enter the date on which the issue was first identified. **Notes:** - You must use MM/DD/YYYY format. - Date first identified should not be greater than the current date.
Due Date	Enter the date by which the issue should be resolved. You can enter a date that is greater than the current date.
Action Approval By	Select the action approver. The available options are: • Action Approver: Routes all actions related to the issue to the action approver for final approval. • Action Approver and Issue Owner: Routes all actions related to the issue to the action approver first, and then to the issue owner for final approval. • Action Approver (Optional) and Issue Owner: Routes all actions related to the issue to the action approver, if any, and then to the issue owner for final approval. If the action approver is not defined, all actions related to the issue are routed directly to the issue owner for final approval. • Issue Owner: Routes all actions related to the issue to the issue owner for final approval. • Issue Owner and Action Approver: Routes all actions related to the issue to the issue owner, and then to the action approver for final approval. • No Approver: If you select this option, all actions related to the issue are closed by the action owner and the final approval is not required.
Classification	

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Field/List Name	Description
Confidential Issue	You can select the check box to mark an issue as confidential. Also, you can select a set of users who can access the confidential issue. Issue initiator or issue owner can mark an issue as confidential. Users having the activity to view confidential issues, workflow users, and administrators can access the confidential issues. Marking an issue as confidential allows the user to select a set of users in the confidentiality user group. **Note:** Once an issue is marked as confidential, it cannot be made non confidential. Even the issue initiator or issue owner cannot make it non confidential.

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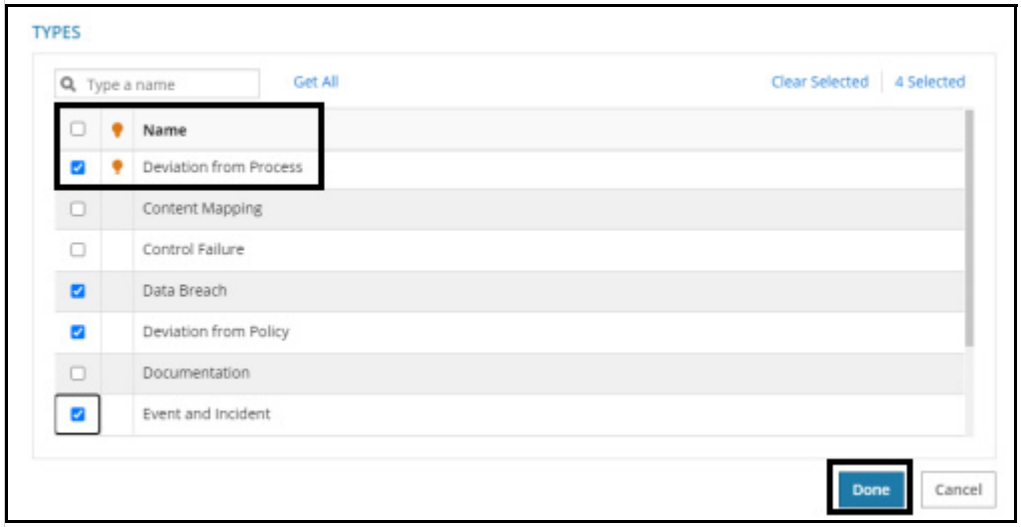
Field/List Name	Description
Types	Select one or more issue types. **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations. ***For products with AI (Artificial Intelligence) capability:*** You can select one or more issue types based on the AI (Artificial Intelligence) Powered Recommendations (bulb icon.) **1.** Click the picklist to choose the suggestions or add all the suggestions based on the requirement and click **Done.** **Note:** The suggestions are intelligently displayed by the system based on the historical data in the system.  **2.** The **Types** field displays the issue types selected as per the suggestions provided by the system.

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Field/List Name	Description
Regulatory Finding Sub-Type	Select the relevant regulatory finding sub-type for the issue. **Note:** This field is applicable when one of the issue Types is **Regulatory Finding**. The available sub types are: • Article (Consent Order Related) • Exception • Finding • Matter Requiring Attention (MRA) • Matter Requiring Immediate Attention (MRIA) • Memorandum of Understanding (MOU) **Note:** The values in this field are configurable and will not be displayed in charts or reports.
Rating	Select a rating for the issue. You can rate the current issue based on the impact it can have on the organization. The available options are: • Critical • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Priority	Select the priority of the issue. The available options are: • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Disposition	Select the required option from the available list.
Repeat Issue? check box	Select this check box if the current issue is a duplicate of an already existing issue.

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Field/List Name	Description
Related Issues	Select the related issues from the system. This field displays the issues listed in the Issues report for the logged in user based on the activities assigned to the user. Issues available in the **Issues** report are same as the list of values available in this field. The **Related Issue** field does not display the current issue. ***For products with AI (Artificial Intelligence) capability:*** You can select one or more related issues based on the AI (Artificial Intelligence) Powered Recommendations. **Note:** The system intelligently searches the keywords provided in the **Title** and **Description** fields to display identical or related (but not identical) issues available in the system. **1.** Click the picklist to choose the suggestions or add all the suggestions based on the requirement and click **Done.** **Note:** The Relevance Percentage displays the scoring of the related issues in terms of its semantic similarity to the current issue. **2.** The **Related Issues** field displays all the issues selected by you, based on the recommendations by the system. When you move the mouse pointer over a selected issue, you can view the hover card. (See the following figure.) Click the link below Relationships to open the issue form and view the Action Plan and other details pertaining to the related issue. **Note:** You can use the details of the action plan and other related information from the related issue to come up with an action plan for the current issue. **Note:** The accuracy percentage of the model for AI/ML capabilities for both **Issue Types** and **Related issues** is 92.5%. This is based on the test data set used.

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Field/List Name	Description
Source	
Source Type	Select a relevant source type for the issue. The available options are: • Ad-Hoc • Audits • Business Continuity Crisis • Business Continuity Exercises • Case/Incident • Complaints • Conflict Minerals • GRC Intelligence • IT-Compliance • IT-Risk • IT and Cyber Risk • Internal Loss Event • Metric Data • Perform Certification • Regulatory Change • Regulatory Engagements • Risk Assessment • Self Identified • Supplier On- Boarding and Monitoring • Survey Certification • Surveys • Test Execution • Threat Assessment • Vulnerability • Vulnerability Scan Results **Notes:** - If other modules are integrated with the **Issues** module, you can select the source type from the integrated module. For example, if you select **Audits** as source type, you can select the required audit title from the **Source** field. - The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Source	Enter the source of the issue. If the source type of the issue is **Ad-Hoc**, you have to type the source in this field. Otherwise, you can select the source from the available list of values. **Note:** This field does not appear when you select **IT-Compliance**, **IT-Risk**, or **Vulnerability Scan Results** in the **Source Type** field.
Source (Finding/Issue ID) *(appears if the issue is triggered from any of the integrated modules)*	Displays the finding/issue ID of the issue. **Notes:** - This field is not available for standalone and ad-hoc issues. - The source ID corresponds to the source type of the modules that are integrated with **Issues**. For example, if the issue is triggered from the **Audit Planning and Execution** module, then the **Source (Finding/Issue ID)** field displays the respective Audits Source ID.

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Field/List Name	Description
Source Details *(appears when you select Ad-Hoc or Self Identified in the **Source Type** filed)*	Click the RTF icon or anywhere within the text box to type the source details. The Rich Text Format window appears. Provide a detailed description of the source. You can also attach documents and images, if required.
Other Sources *(appears when the selected Source Type is configured in the Setup Issues form)*	Select the check box to link other sources to the issue. **Note:** This field is displayed based on the configuration set in the **Setup Issues** form. For more information, see Setting up Issues. **1.** After the check box is selected, click **Add** and select the required source with which you want to link the issue. The available options are based on the configuration set in the Setup Issues form. The options are: o Choose from Risk Assessment o Choose from Internal Loss o Choose from Survey Certification o Choose from Metric Data o Choose from Threat Assessment o Choose from Vulnerability The relevant window listing all the published records in the selected source is displayed. **2.** Select the required records that you want to link and click **Done**. The records are added. **3.** For the added records, in the **Source Details** column and **Additional Details** column, click the icon in the field to provide appropriate details. **Notes:** - The linked other sources, once submitted cannot be deleted. - An e-mail is sent to Issue Owner/Delegates with a copy to upstream module users when any other source is linked with the issue form or when an existing issue is linked with any other upstream modules and triggered to ISM.

Ownership and Security Section of Issue Form

Use the **Ownership and Security** section to define appropriate owners and approvers for the issue.

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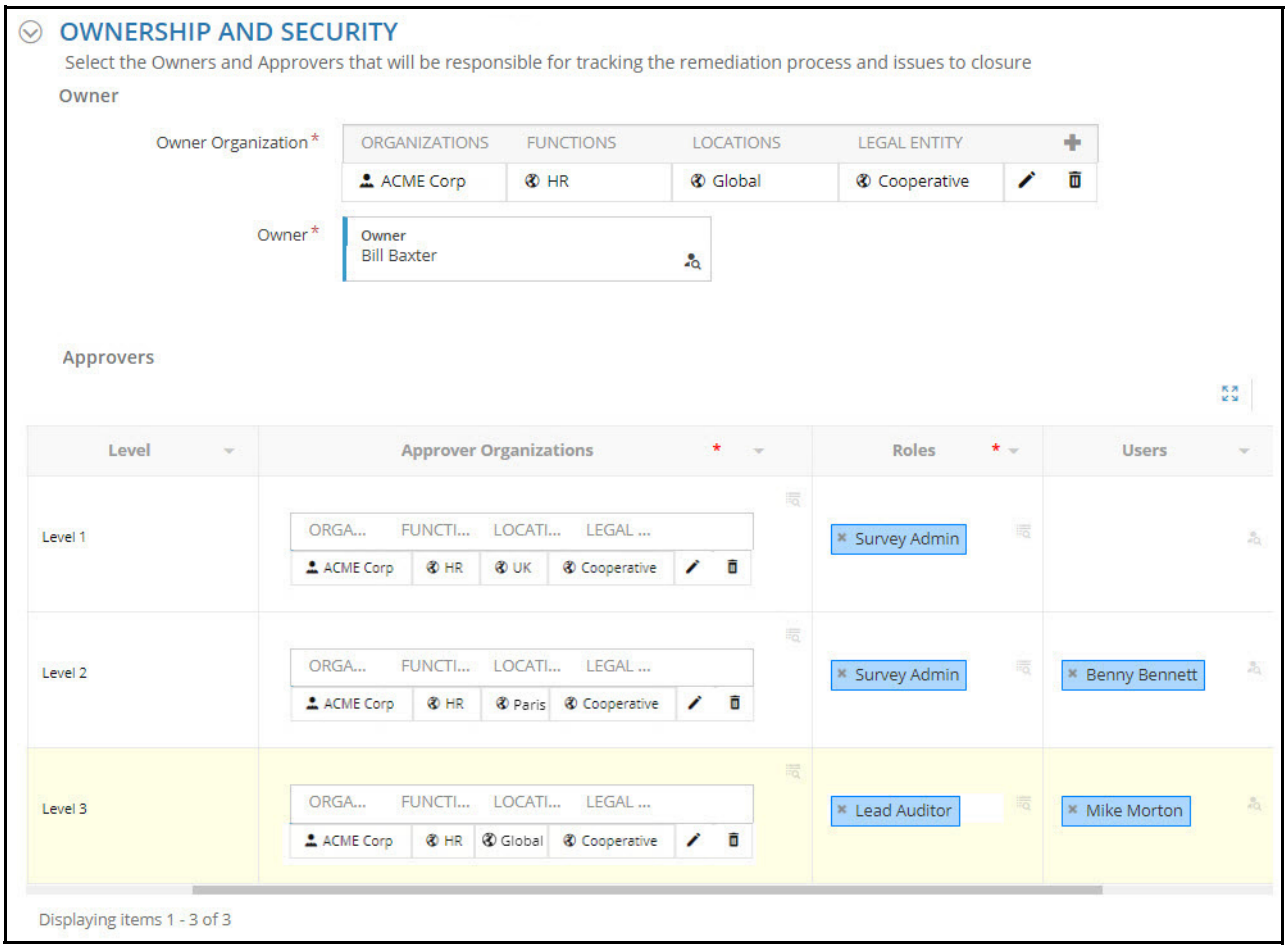

Figure 12 Ownership and Security (Sequential Approvers) section of Issue Form

The following figure displays the **Ownership and Security** section. For details, see Multidimensional Organization Structure.

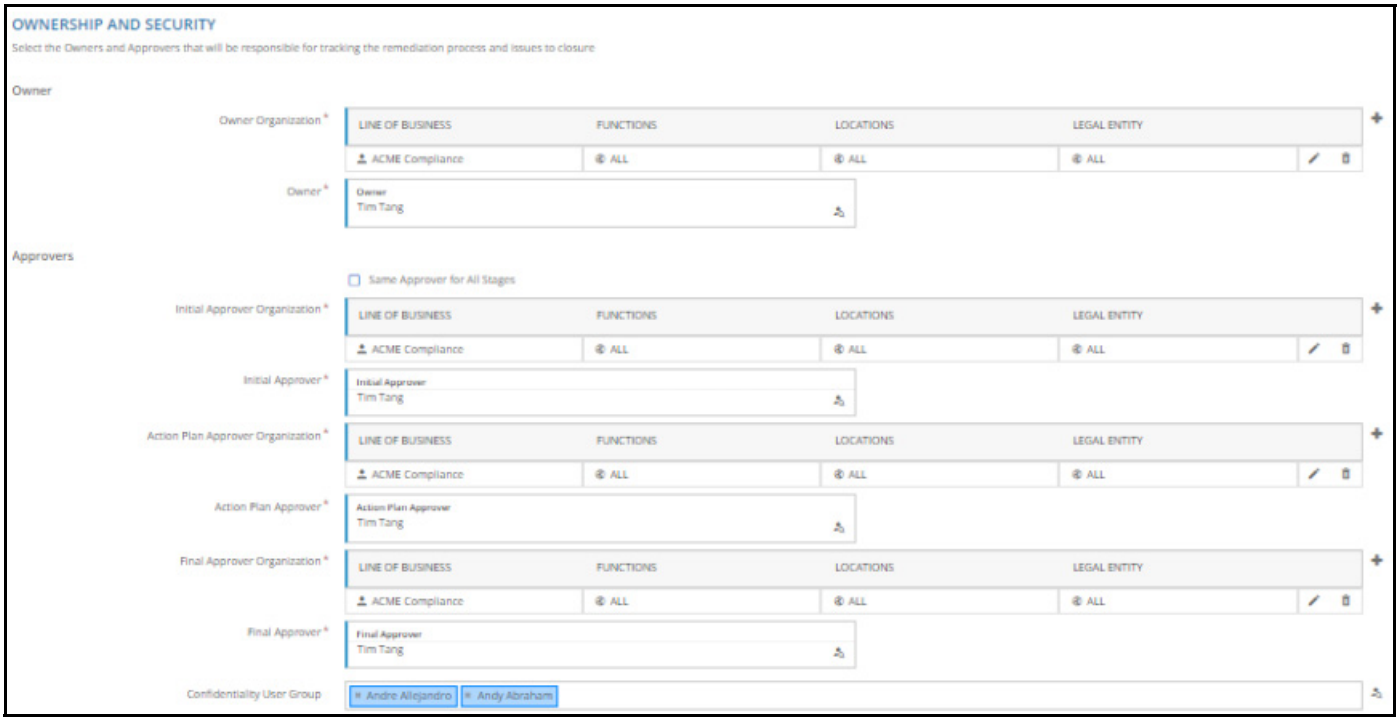

Figure 13 Ownership and Security section of Issue Form

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Click the Add icon to select the issue owner organization. For details, see Multidimensional Organization Structure.

Field/List Name	Description
All the fields in this section are based on the approver parameter settings of the following parameters: • is_Initial_Approver_Enabled • is_Action_Plan_Approver Enabled • is_Final_Approver_Enabled Based on whether the parameter value is set to Yes **(Y)** or No **(N)**, certain fields are made available or unavailable to the users.	
Owner	Select the owner and owner organization of the issue. Provide values in the following fields: • **Owner Organization**: Click the Add icon to select the owner organization responsible for maintaining the issue. This field displays the various levels of organizations available to the current user. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Owner**: Select the owner of the issue. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are available for selection. **Note:** After the issue is approved, it is sent to the issue owner. The issue owner can define the action plan and can send the action plan to the action plan approver.
Same Approver for All Stages check box *(appears only when at least two of these parameters are set to **Y**: is_Initial_Approver_Enabled, is_Action_Plan_Approver Enabled, is_Final_Approver_Enabled)*	Select this check box if you want the same approver for all the workflow stages.
Approvers *(appears only when you select the **Same Approver for All Stages** check box)*	Provide approver details in the following fields: • **Approver Organization**: Click the Add icon to select an approver organization. By default, the approver organization selected in this field is applicable to all the workflow stages. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Approver**: Select an approver. The issue has the same approver across all the workflow stages. **Notes:** - The users associated with the selected approver organization as well as the parent organization with the activity **ISM Approve Issue** are available for selection. - The Approvers field displays table to select sequential approvers when the selected Source Type is configured for multiple levels of approval. For more information, refer MetricStream Arno Release Spring '21 - Issues - Administrator Guide.

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Field/List Name	Description
Initial Approver	The initial approver is responsible for approving the issues initiated by issue initiator and also the issue due date change requests. Provide initial approver details in the following fields: • **Initial Approver Organization**: Click the Add icon to select the organization to which the initial approver of the issue belongs. **Notes:** - This field is visible when the **is_Initial_Approver_Enabled** parameter value is set to **Y**. Contact your system administrator to manage parameters. - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Initial Approver**: Select the initial approver of the issue. **Note:** The users associated with the selected initial approver organization as well as the parent organization with the activity **ISM Approve Issue** are available for selection. This field is visible when the **is_Initial_Approver_Enabled** parameter value is set to **Y**. Contact your system administrator to manage parameters.
Action Plan Approver	The action plan approver is responsible for approving the action plan developed by the issue owner. Provide action plan approver details in the following fields: • **Action Plan Approver Organization**: Click the Add icon to select the organization to which the action plan approver of the issue belongs. **Notes:** - This field is visible when the **is_Action_Plan_Approver_Enabled** parameter value is set to **Y**. Contact your system administrator to manage parameters. - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Action Plan Approver**: Select the action plan approver of the issue. **Note:** The users associated with the selected action plan approver organization as well as the parent organization with the activity **ISM Approve Issue** are available for selection. This field is visible when the **is_Action_Plan_Approver_Enabled** parameter value is set to **Y**. Contact your system administrator to manage parameters.

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Field/List Name	Description
Final Approver	Provide final approver details in the following fields: • **Final Approver Organization**: Click the Add icon to select the organization to which the final approver of the issue belongs. **Notes:** - This field is visible when the **is_Final_Approver_Enabled** parameter value is set to **Y**. Contact your system administrator to manage parameters. - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Final Approver**: Select the final approver of the issue. The final approver is responsible for approving the final closure of the issue. **Note:** The users associated with the selected final approver organization as well as the parent organization with the activity **ISM Approve Issue** are available for selection. This field is visible when the **is_Final_Approver_Enabled** parameter value is set to **Y**. Contact your system administrator to manage parameters.
Confidentiality User Group *(appears only when the Confidential Issue check box is selected in the General section of the form for adding issue classification details)*	Add users to the confidentiality user group. Issue initiator and issue owner can add the users to this group. **Note:** Workflow users, by default have access to confidential issues and can add additional users in the confidentiality user group.
The following fields appear in the **Ownership and Security** section.	
Owner	Select the owner and owner organization of the issue. Provide values in the following fields: • **Owner Organization**: Click the Add icon to select the owner organization responsible for maintaining the issue. This field displays the various levels of organizations available to the current user. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Owner**: Select the owner of the issue. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are available for selection. **Note:** After the issue is approved, it is sent to the issue owner. The issue owner can define the action plan and can send the action plan to the action plan approver.
Approvers This field displays table to select sequential approvers when the selected Source Type is configured for multiple levels of approval.	
Same Approver for All Stages check box *(appears only when at least two of these parameters are set to **Y**: is_Initial_Approver_Enabled, is_Action_Plan_Approver Enabled, is_Final_Approver_Enabled)*	Select this check box if you want the same approver for all the workflow stages. **Note:** This option is not available when multiple levels are configured.

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Field/List Name	Description
Approval Stage	Define the following approval stages for the issue: • Initial Approver: The initial approver is responsible for approving the issues initiated by issue initiator and also the issue due date change requests. • Action Plan Approver: The action plan approver is responsible for approving the action plan developed by the issue owner. • Final Approver: The final approver is responsible for approving the final closure of the issue. • Approver (appears only when you select the **Same Approver for All Stages** check box): The issue will have the same approver across all the workflow stages.
Level *(This column appears when the selected Source Type is configured for multi-level approvals in the data table)*	Displays the multiple levels of approval for each approval stage.
Approver Organizations	Click the Advanced Search icon to define the organization responsible for the respective approval stage/level. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select.
Roles	Click the Advanced Search icon and select the roles for the respective approval stage/level. Based on a data table configuration, you can select approvers based on roles/users/roles and users. Contact your system administrator to manage data table changes. Only the Approvers with **ISM Approve Issue** activity will receive the issue for approval.
Users	Click the User Search icon and select the users for the respective approval stage. If you do not select any users, then the issue is sent to all the users in the selected role for approval. Based on a data table configuration, you can select approvers based on roles/users/roles and users. Contact your system administrator to manage data table changes.
Approvals?	• Select **All** if you want all the selected approvers to approve the issue. The assignment is sent to all the approvers and the issue moves to the next stage only when all the approvers approve the issue. If a delegatee is defined, a copy of the assignment is sent to the delegatee. • Select **Any** if you want any one of the selected approvers to approve the issue. The assignment is revoked from all the other users and the issue moves to the next stage when any one of the users approves the issue. If a delegatee is defined, a copy of the assignment is sent to the delegatee. However, if any of the approvers request for clarification, then the issue will be assigned to the issue owner irrespective of the approvals.

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Relationships section of Issue Form

Use the **Relationships** section to associate current issue with the relationship framework options such as organizations, areas of compliance, risks and so on.

Note: The 'Organization' and 'GRC library content' together are known as relationship framework options.

If a user is assigned to **View issues by related to org** activity, then only the issues related to the organizations associated in this section are displayed in the respective reports. However, based on a configuration parameter, parent organizations can view issues associated with their child organizations.

For more information on the report security, see Privileges to View Data in Reports.

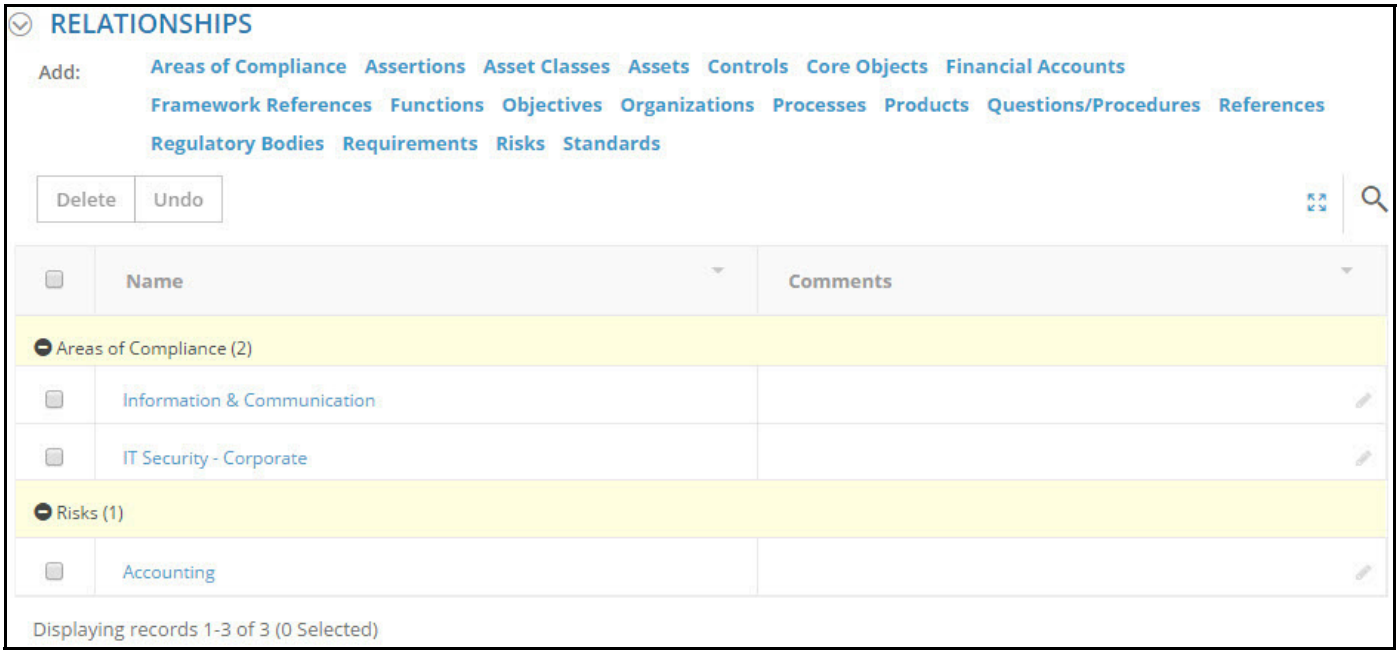

Figure 14 Relationships section of Issues form

Field/Column Name	Description
Add: *Items* link	Add organizations, core objects, and other GRC library content associated with this issue. The available options are: • Area of Compliance • Assertions • Asset Classes • Assets • Controls • Core Objects • Financial Accounts • Framework References • Functions • Objectives • Organizations • Processes • Products • Questions/Procedures • References • Regulatory Bodies • Requirements • Risks • Standards The options available in this field are based on the values enabled in the **MS ISM ORB SETUP** data table. Perform the following steps to add GRC library content related to the issue: **1.** Click the **Add: *Item*** link. The related report appears wherein you can select the required items. For example, click the **Add: Areas of Compliance** link to add the related areas of compliance. When you click this link, the **Areas of Compliance** report appears as shown in the following figure. **Note:** The name of the report varies based on the selected link.

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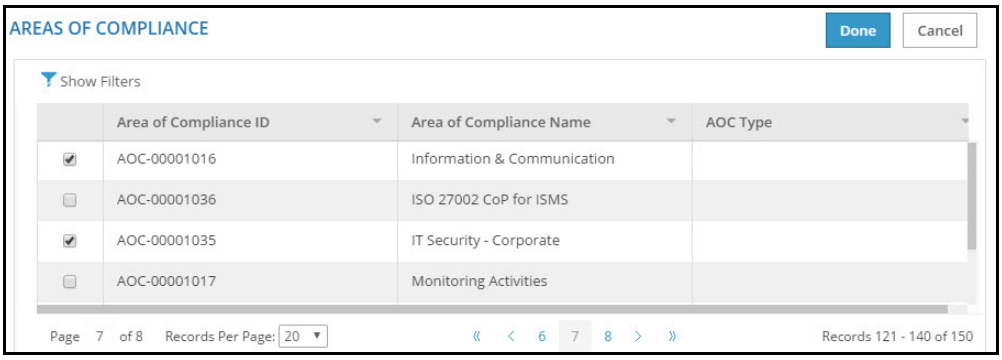
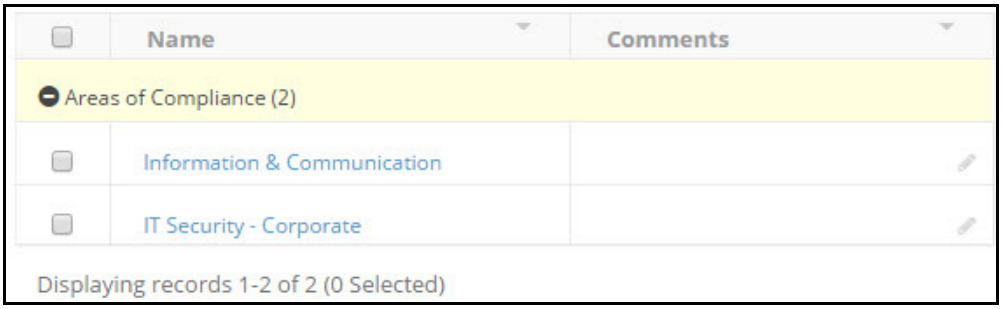
Field/Column Name	Description
	 **Note:** If the GRC library item is associated with levels, then the levels are also displayed in the window. You can expand the parent item to select the child item. **2.** Select the required items and click **Done**. The selected items appear in the tabular format as shown in the following figure. 
Tabular format details:	
Name	Displays the name of selected object.
Comments	Type your comments, if any, regarding the added object.

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Action Plan section of Issue Form

Use the **Action Plan** section to define action plan, action owner and other details of the action.

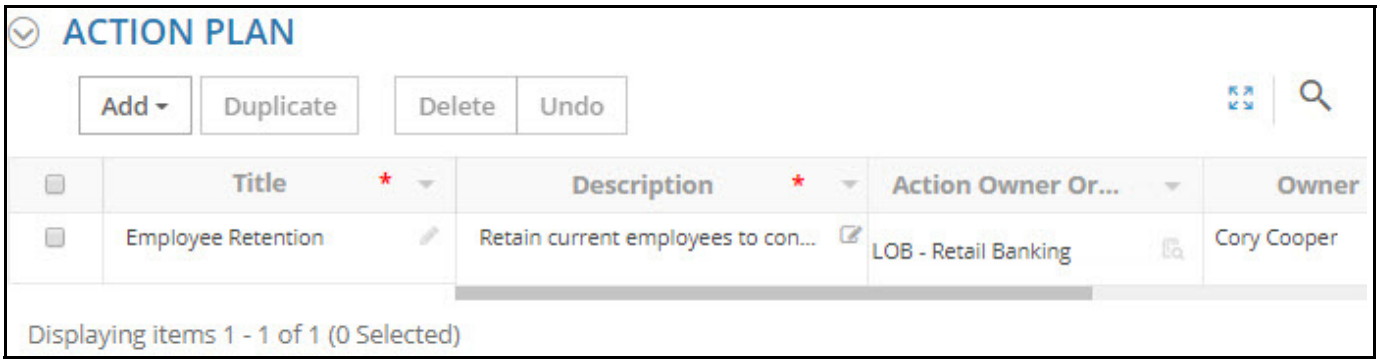

Figure 15 Action Plan section of Issue Form

Field/Column Name	Description
Add drop-down list	Click this button to add rows to the tabular format. When you click this button the following options are displayed: • **Beginning**: Adds rows at the beginning of the tabular format. • **End**: Adds rows at the end of the tabular format.
Duplicate button	Click this button to duplicate the added row. To duplicate a row: **1.** Select the row that you want to duplicate. **2.** Click the **Duplicate** button. The selected row is duplicated.
Delete button	Click this button to delete the selected row.
Undo button	Click this button to retrieve the deleted row.
Title	Provide an action title for the initiated issue. **Note:** This field allows you to type text without any specific format. You can type symbols, and alphanumeric characters. It accepts up to 1000 characters.
Description	Provide a detailed description of the action.
Action Owner Organization *(appears when for the selected source type, the Enable Action Owner Organization is set to Yes)*	Click the Advanced Search icon to select the action owner organization responsible for the action. **Note:** This column appears only when the **Enable Action Owner Organization** is set to **Yes** for the selected source type in the **Setup Issues** form. For more information, see Setting up Issues.
Owner	Select the action owner. This field displays users from the selected action owner business. If no owner organization is defined, then the users from any organization with the activity **ISM Implement Action** can be selected as the action owner. **Note:** On form submission, the selected action owner gets an assignment to work on the action plan.

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Field/Column Name	Description
Action Approver Organization *(appears when the value selected in the Action Approval by field is associated with the Action Approver and for the selected source type, the Enable Action Approver Organization is set to Yes)*	Click the Advanced Search icon to select the action approver organization responsible for approving the action. **Notes:** The column appears only when the: - Value selected in the Action Approval field is associated with action approver such as Action Approver, Action Approver and Issue Owner, Action Approver (optional) and Issue Owner, and Issue Owner and Action Approver. - Enable Action Approver Organization is set to Yes for the selected source type in the **Setup Issues** form. For more information, see Setting up Issues.
Approver *(appears if you select the options such as Action Approver, Action Approver and Issue Owner, Issue Owner and Action Approver, or Action Approver (Optional) and Issue Owner, in the **Action Approval By** field.)*	Select the approver for the action. This field displays only the users with the **ISM Approve Action** activity. **Note:** This field becomes mandatory when you select options such as **Action Approver**, **Action Approver and Issue Owner**, **Issue Owner and Action Approver** in the **Action Approval By** field.
Start Date	Enter the start date of the action. The start date should be lesser than the action due date. **Note:** The date entered in the **Action Start Date** field should not be lesser than the date on which the issue was first identified and should not be greater than the issue due date.
Due Date	Enter the date by which the action should be completed. If the form is submitted without a due date, then the module defaults this field with the current issue due date value once the actions are triggered. **Note:** The date entered in the **Action Due Date** field should not be greater than the date entered in the issue **Due Date** field. The module validates this in the manage issue stage.
Priority	Select the priority of the action. The available options are: • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Impacted Organizations	Select the organizations that are impacted by the issue. This field displays all the organizations and defines if the suggested action and steps have an impact on any other organization in the system. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select.

Attachments section of Issue Form

Use the **Attachments** section to define the attachment fields supporting the issue reported.

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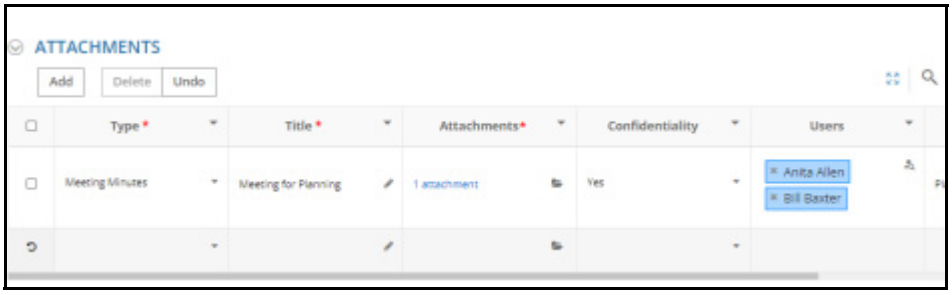

Figure 16 Attachments Section of the Issue Form

Field/Column Name	Description
Add button	Click this button to add rows to the tabular format.
Delete button	Click this button to delete the selected row.
Undo button	Click this button to retrieve the deleted row.
Type	Select a value from the available options. For more information, see Setting up Issues.
Title	Provide a title for the attachment. Maximum character length is 100.
Attachments	Add one or more files as attachments. To view the file, click the attachment link.
Confidentiality	Select **Yes** to make it confidential; to be viewed by selected confidential users only. **Note:** The users with the activity, **ISM-View Confidential Attachments** can view the attachments**.**
Users	Specify the confidential users who can view the form.
Comments	Provide any additional information, if any, regarding the attachments.

Additional Details section of Issue Form

Use the **Additional Details** section to provide additional details about the issue.

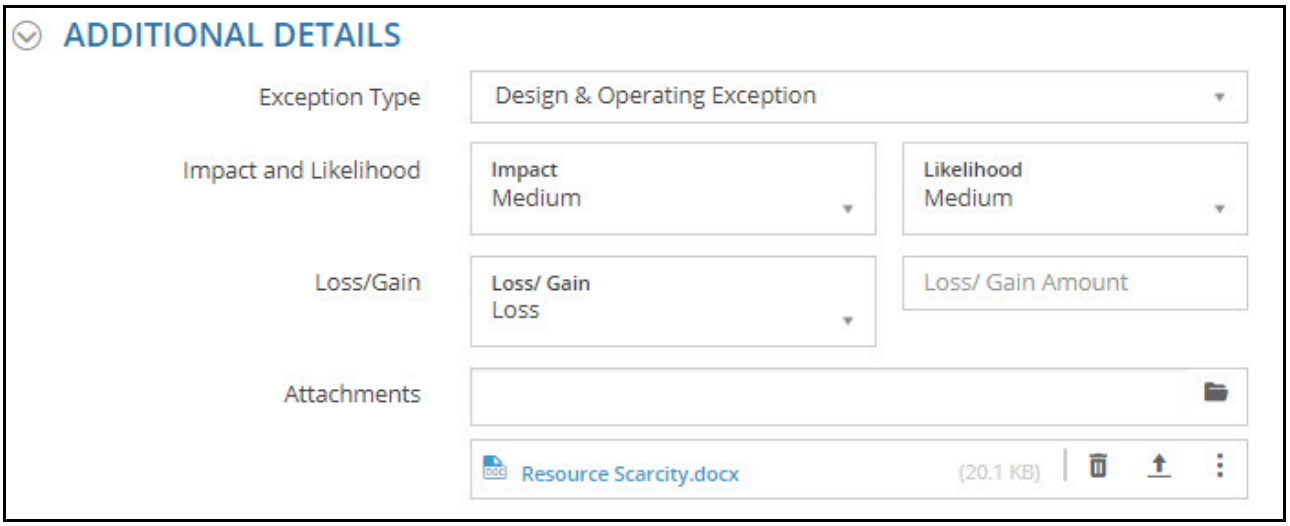

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Figure 17 Additional Details section of Issue Form

Field/List Name	Description
Exception Type	Select a relevant issue exception type. The available options are: • Design Exception: Select this option if the issue is design based. • Design & Operating Exception: Select this option if the issue is both design and process based. • Operating Exception: Select this option if the issue is process based. **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.

Impact and Likelihood	Select the impact and likelihood of the issue in the following fields:
	• **Impact**: Select the impact of the issue. The impact of the issue is rated based on the effect the issue has on the organization. The available options are:
	  o High
	  o Medium
	  o Low
	• **Likelihood**: Select the rate at which an issue can reoccur. The probability of a particular issue occurring again can be rated as:
	  o High
	  o Medium
	  o Low
	
	Note: The values in the above fields can be configured based on your requirement. Contact your system administrator to manage LOV configurations.

Loss/Gain	Select whether the current issue is a loss or gain to the organization.
Creation *(appears only if you save and close the form)*	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification *(appears only if you save and close the form)*	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Attachments	Attach relevant files by clicking the Folder icon. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

Actions in Issue Form

The following table describes the actions that you can perform after entering all the details in the form.

Field/List Name	Description
Click **Submit** to view the actions that are available at this stage.	

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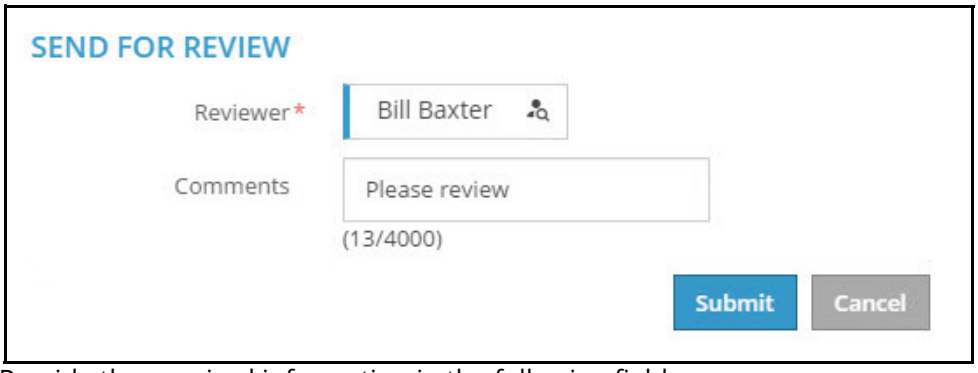
Field/List Name	Description
Send for Approval	Select this option to send the issue to the initial issue approver for approval. The **Send for Approval** window appears. The available fields are: • **Approver**: Displays the name of the approver that you select in the **Initial Approver** field. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Send for Approval** window.
Send for Review	Select this option to send the issue to the issue reviewer for review. The **Send for Review** window appears.  Provide the required information in the following fields: • **Reviewer**: Select the name of the issue reviewer. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Send for Review** window.

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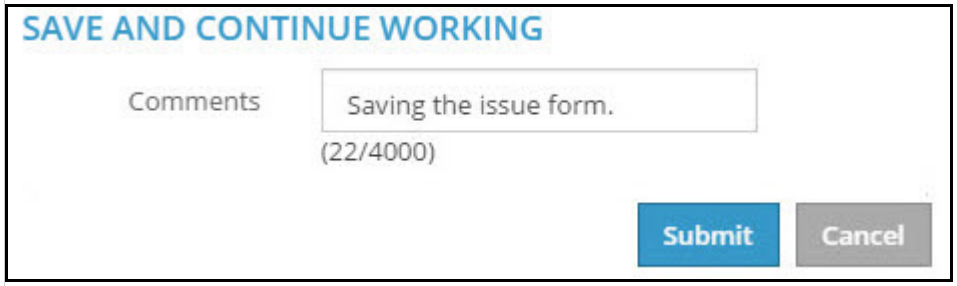
Field/List Name	Description
Send to Issue Owner *(appears only if the initial approver stage is disabled in the module)*	Select this option to send the issue to the issue owner. The **Send to Issue Owner** window appears. Provide the required information in the following field: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Send to Issue Owner** window.
Save and Continue Working	Select this option to save and continue working on the form. The **Save and Continue Working** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Save and Continue Working** window.

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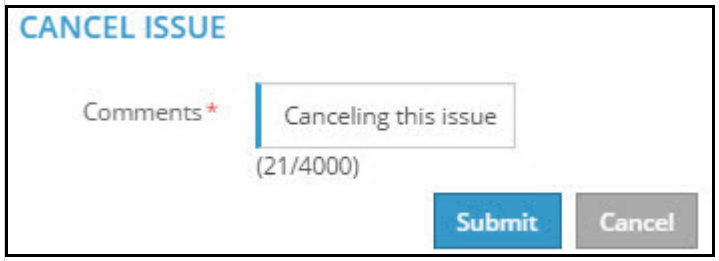
Field/List Name	Description
Cancel Issue	Select this option to cancel the issue from the module. The **Cancel Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Cancel Issue** window. This **Cancel Issue** option is available only when the issue initiator has saved the form before by selecting the **Save and Continue Working** option. This option is also available after the first review cycle. For information on standard action buttons, see Header Toolbar.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Send for Review	Issue reviewer	Issue reviewer
Send for Approval	Issue approver	Issue approver
Send to Issue Owner	Issue owner	Issue owner
Save and Continue Working	Not Applicable **Note:** The assignment remains with the issue initiator with all the changes saved in the form.	Not Applicable
Cancel Issue	Not Applicable	Not Applicable

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports

The following reports and charts are updated after you submit the current form:

Reports

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- Detailed Issues Report
- Change History Report
- Comments History Report
- Issue Audit Trail Details Report

Charts

- Issues by Status Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Reviewing Issues

The **Issue** form is assigned to the issue reviewer when the issue initiator sends the issue for review. The issue reviewer validates the issue, provides relevant comments and then sends the form back to the issue initiator.

Notes:

- The users who belong to the owner organization as well as parent organization and have the privilege to review the issue can be selected as reviewers.
- The reviewer can provide comments and download attachments.

To review issues, access the required assignment from My Tasks.

Workflow Changes

At the review issue stage, the reviewer can only select the available action and provide relevant comments. At this stage, all the other sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Pending Review**.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Actions	
Issue Reviewed button	By default, the **Issue Reviewed** button is available. Click this button to submit the form after reviewing the issue. The **Issue Reviewed** window appears. Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Issue Reviewed** window.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Issue Reviewed	Issue initiator	Issue initiator

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Detailed Issues Report
- Open Issues Report
- My Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report

Charts

- Issues by Source Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Issues

The issue initiator assigns the **Issue** form to the initial approver. The initial approver can approve the issue, cancel the issue or request for clarification from the issue initiator.

Once the issue is approved by the initial approver, the **Issue** form is assigned to the issue owner.

Note: If the initial approver is not enabled in the module, then the issue initiator can assign the issue to the issue owner.

To approve issues, access the required assignment from My Tasks.

Workflow Changes

At the initial approval stage, most of the sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Pending Approval**.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Approved By *(appears only when role based approvers are associated with the issue)*	Displays the name of the approvers who have approved the issue. • When the **Approvals?** type is **All**, then for the first approver of the issue, no approver names are displayed. For subsequent approvers, name of approvers who have already approved the issue is displayed. • When the **Approvals?** type is **Any**, the field value is blank. **Note:** The field is displayed only at the Approval stage and is not available in any other workflow stage.
Approval Pending with *(appears only when role based approvers are associated with the issue)*	Displays the name of the approvers who are yet to approve the issue. • When the **Approvals?** type is **All**, then for the first approver, name of all the approvers are displayed. For the subsequent approvers, name of only those approvers who are yet to approve the issue is displayed. • When the **Approvals?** type is **Any**, then the name of all the approvers who are yet to approve the issue is displayed. **Note:** The field is displayed only at the Approval stage and is not available in any other workflow stage.
Actions Click **Submit** to view the actions that are available at this stage.	

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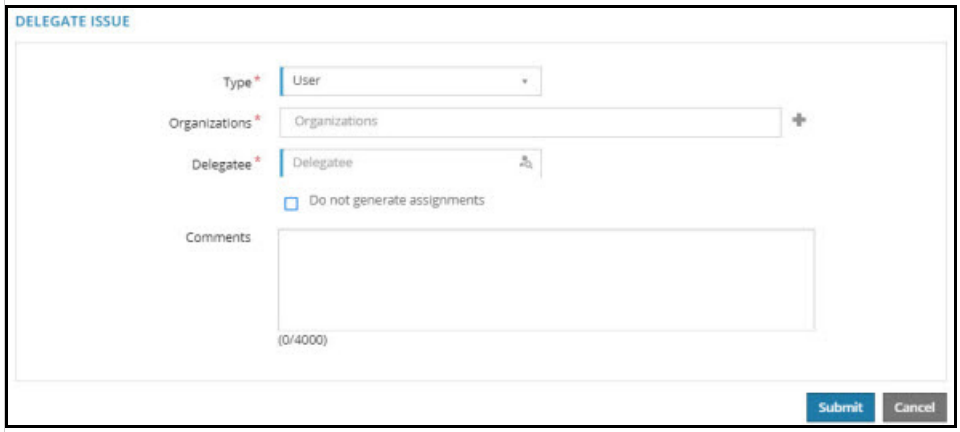
Field/List Name	Description
Delegate Issue	Select this option to delegate the current issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization.ser: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **Detailed Issues** report. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Delegate Issue** window.

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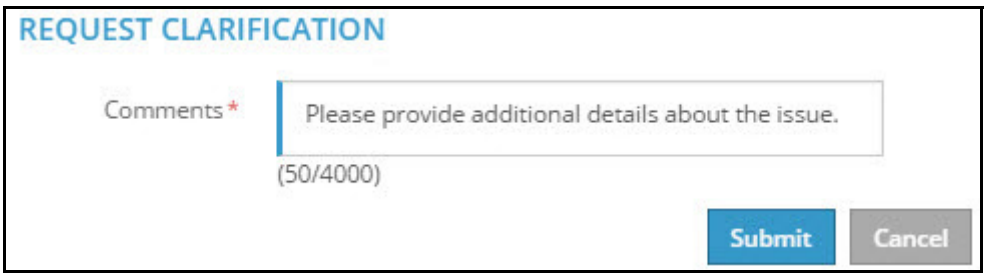
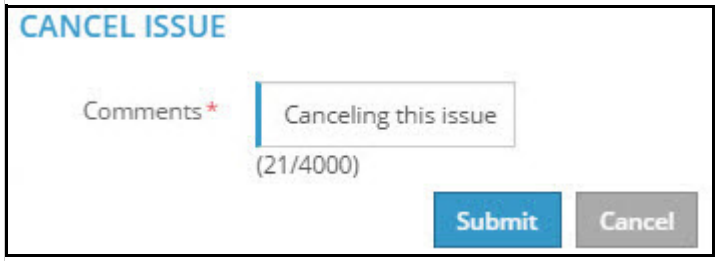
Field/List Name	Description
Request Clarification	Select this option to send the issue back to the issue initiator requesting for additional information. The **Request Clarification** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.
Approve Issue	Select this option to approve the issue. The **Approve Issue** window appears. Provide the required information in the following field: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Approve Issue** window.
Cancel Issue	Select this option to cancel the issue. The **Cancel Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Cancel Issue** window.

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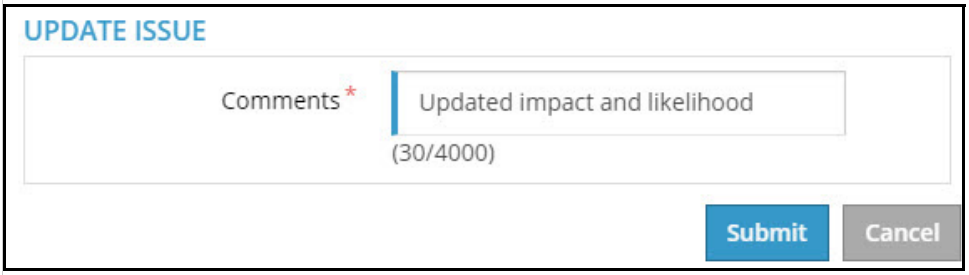
Field/List Name	Description
Update Issue	Select this option to update issue details. When one of the approvers submits the updates, it is made available to the other approvers associated with the same issue. The **Update Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Once you submit the form, these comments will be displayed in the **Comments History** report. **Note:** This option is available when the parameter 'Enable role based assignments for approvers in issues' is set to Yes.

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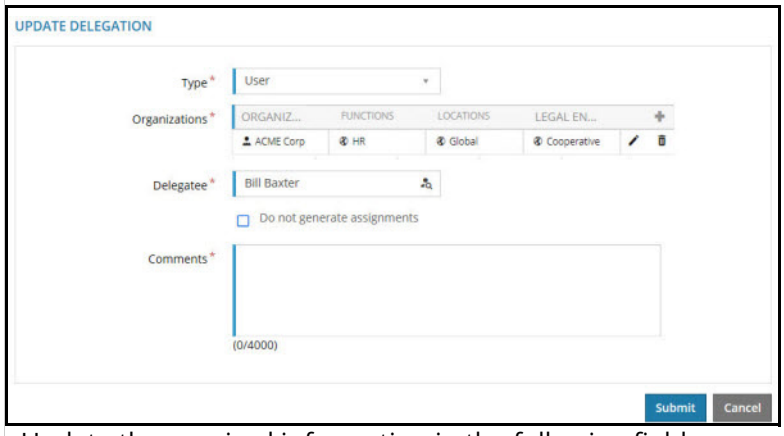
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee: Select the user to whom you want to delegate the current issue to.** • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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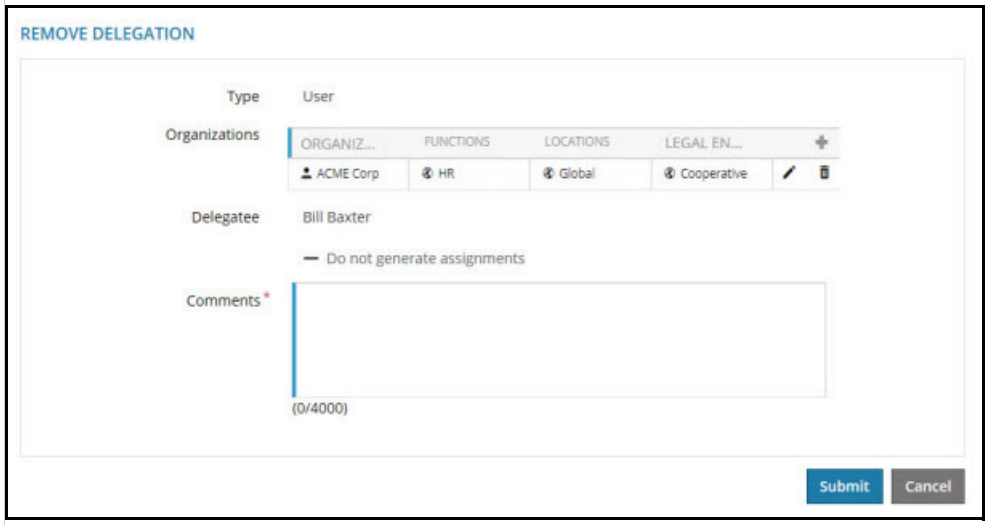
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Delegatee**: Displays the name of the existing delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

Responding to Clarification Requests

If an approver requests for clarifications on an issue record, it is sent to the owner to respond to the request.

If an issue record is associated with multilevel approval, then the request for clarifications is sent to the previous level approver to respond to the request. By default, three levels of approval is displayed in the system and the request for clarifications is responded by the:

- **Owner**, if **Level 1** approver requests for clarification.
- **Level 1** approver, if **Level 2** approver requests for clarification.
- **Level 2** approver, if **Level 3** approver requests for clarification.

To respond to clarification requests:

1. Navigate to **My Tasks**.
2. Select the issue record for which the clarification has to be provided.
3. On the header, click the Related Reports icon, and then select **Comment History** report.
4. Read the comments provided in the **Comments** column.
5. Review the fields and sections, and then edit the details, as required.
6. Click **Submit**, and proceed to the next level of approval by providing the required comments.
   The approver who requested the clarifications will receive the modified issue record.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Approve Issue	Issue owner	Issue owner
Request Clarification	Issue initiator	Issue initiator
Cancel Issue	Not Applicable **Note:** The issue is canceled from the module and will no longer be available to users.	
Delegate Issue	Delegatee and the assignment remains with the initial approver	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Detailed Issues Report
- Open Issues Report
- My Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report

Charts

- Issues by Source Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Reporting and Managing First Line Issues

Organizations can empower their First Line by allowing them to flag potential risks, report anomalies, deviations, and so on. Business users are responsible for identifying and managing first line related issues of an organization. These users can now directly record the basic issue details using Issue form. The submitted forms are available for the finalizing team to finalize issues. Alternatively, the submitted forms based on configuration parameter can go through an approval workflow and then made available to the finalizing team to finalize issues.

Sections:

- Workflow of First Line Issues Form
- Reporting First Line Issues
- Approving First Line Issues
- Finalizing First Line Issues

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Workflow of First Line Issues Form

The following steps help you understand the approval workflow of the first line issues logged using the Issue form:

1. Business users capture basic issue details using the Issue form and submit it. If the configuration parameter **Enable Business Approval** is set to **No**, the issue is available in the **Finalize Issues** report for the finalizing team to manage these issues using detailed Issues form.
2. If the configuration parameter **Enable Business Approval** is set to **Yes**, then the following workflow is initiated.
   a. Submitted first line issues are sent for approval to their immediate Reporting Managers or Business Heads.
   b. Approvers edit/update the issue details, and identify them as reportable, non-reportable, or reportable (already addressed) issues. The reportable issues are approved and non-reportable issues are closed.
   c. Approved Reportable issues are available in the **Finalize Issues** report for the finalizing team to manage these issues using the detailed Issues form.

Note: By default the configuration parameter **Enable Business Approval** is set to **No**. For more information on the configuration parameters, refer MetricStream Arno Release Spring '21 - Issues - Administration Guide.

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Reporting First Line Issues

You can use the **Issue** form to capture the details of an issue.

The form comprises the following sections:

HEADER	Provides the action buttons to take action on the form.
GENERAL	Helps you capture the basic details of the issue such as title, description, type of issue, rating, and so on.

1. Navigate to the **Log Issues** infocenter.
2. On the **Forms** menu, point to **Report an**, and then click **Issue**.
   The **Issue** form is displayed.
3. In the **General** section, provide required information in the fields as described in the following table.

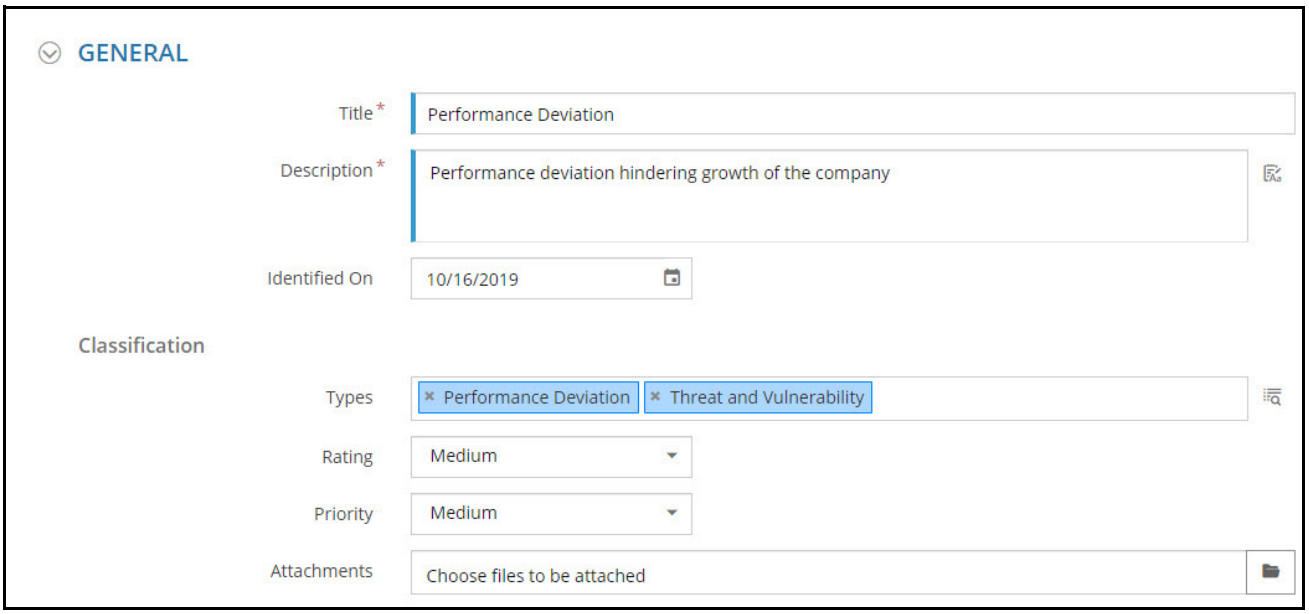

Figure 18 General Section of the Issue form

Field	Description
Title	The name of the issue.
Description	Click the RTF icon or anywhere within the text box. The Rich Text Format window appears. Provide a detailed description of the issue.
Identified On	The date when the issue was identified.
Classification	
Types	Click anywhere within the field to select one or more issue types.

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Field	Description
Rating	Select a rating for the issue. You can rate the current issue based on the impact it can have on the organization. The available options are: • Critical • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Priority	The priority of the issue. The available options are: • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Attachments	Click the Browse and attach a file icon to attach reference documents, if any. Once you attach the file, you can: • View the file: Click the file name link to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

4. Perform one of the following actions.

- Click **Submit** to submit the form for approval.
  The approver will receive the Issues form for approval when the configuration parameter for business approval is set to **Yes**.
  If the configuration parameter for business approval is set to **No**, then the form is available in the **Finalizing Issues** report.
- Click **Close** to close the Issues form.

Notifications

Action	E-mail sent to...
Submit	Approver of the issue, when the business approval is applicable.

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Approving First Line Issues

You can review the details of the issues reported by the business user and identify them as reportable issues or non-reportable issues. You can also request for clarifications regarding the reported issues.

The form at this stage comprises the following sections:

HEADER	Provides the action buttons to take action on the form.
GENERAL	Helps you capture the basic details of the issue such as title, description, type of issue, rating, and so on.

To review and approve issues:

1. Open the **Issue** form from **My Tasks** menu.
   The **Issue** form is displayed.
2. In the **General** section, review the details, and identify them as reportable or non-reportable. If required, you can edit the details in the fields as described in the following table.

Field	Description
Title	The name of the issue.
Description	A detailed description of the issue. Click the RTF icon or anywhere within the text box. The Rich Text Format window appears.
Identified On	The date when the issue was identified.
Classification	
Types	Type of issue. Click anywhere within the field to select one or more issue types.
Rating	Rating of issue. Select a rating for the issue. You can rate the current issue based on the impact it can have on the organization. The available options are: • Critical • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Priority	The priority of the issue. The available options are: • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Disposition	Select the required option from the available list.

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Field	Description
Attachments	Click the Browse and attach a file icon to attach reference documents, if any. Once you attach the file, you can: • View the file: Click the file name link to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

3. Click **Submit** and perform one of the following actions.
   - Click **Approve Issue** to approve the reportable issue.
     The issue is moved to the finalize issue stage and is available in the **Finalize Issues** report for the finalizing team.
   - Click **Request Clarification** to request for clarification. Provide your clarification request details in the **Comments** field of the **Request Clarification** dialog box that appears, and then click **Submit**.
   - Click **Close Invalid** to close the issue. Provide your details for closing the issue in the **Comments** field of the **Close Invalid** dialog box that appears, and then **Submit**.
   - Click **Close Non-Reportable** to close non-reportable issues. Provide your details for closing the issue in the **Comments** field of the Close Non-Reportable dialog box that appears, and then click **Submit**.

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

E-mail Notifications

Action	E-mail sent to...
Request Clarification	Reporter of the Issue.
Close Invalid	
Close Non-Reportable	
Approve Issue	Issue Finalizer

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Responding to Clarification Requests from Approvers

If approver requests for clarification on the form submitted by you, you receive the form for modification.

To provide your clarifications:

1. On the header, click the Related Reports icon and then select **Comments History** report.
2. Read the comments provided in the **Comments** column by the approver.
3. Review the fields and sections, and then edit the details, as required.
4. Click **Submit**.
   The **Submit** dialog box appears.
5. Provide your comments in the **Comments** field.
6. Click **Submit**.
   The approver receives the modified issue form for review.

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Finalizing First Line Issues

The first Line issues that are submitted and the approved first line issues when the business approval is set, are available in the Finalizing Issues report. The finalizing team can view these issues and proceed to identify owners, approvers, due date, and classify the issue appropriately. For more information on existing detailed Issue form, see Initiating or Logging Issues.

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Finalizing First Line Issues

The Finalize Issues infocenter allows you to view all the approved first line issues and then use the existing Issue form and Issues workflow to manage these issues.

To finalize issues:

1. Navigate to the **Finalize Issues** infocenter.
2. Click **Finalize Issues** report.
   All the first line approved issues are listed.

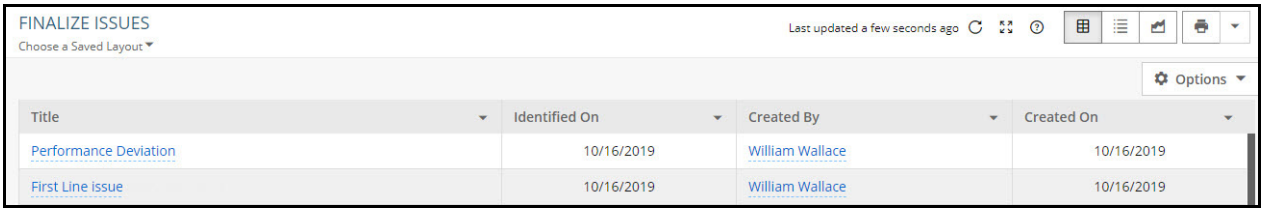

Figure 19 Finalize Issues Report

3. Click the **Title** link to open a specific issue.
   The Issue is displayed in the existing **Issue** form.
4. Click **Edit** and provide detailed information about the issue. For more information, see Initiating or Logging Issues.
5. Once all the information is provided, click **Submit**, and then perform one of the following action.
   - **Save and Continue Working**: Click the option to save the issue details and continue working on it.
   - **Send for Review:** Click the option to send the issue details for review.
   - **Send for Approval:** Click the option to send the issue details for approval.
   - **Request Clarification**: Click the option to request clarification from the reporter of the issue. Provide your clarification request details in the **Comments** field of the **Request Clarification** dialog box that appears, and then click **Submit**.
     - **Cancel Issue**: Click the option to cancel the issue.
     - **Close Invalid**: Click the option to close the issue.
     - **Close Non-Reportable**: Click the option to close the non-reportable issues.

E-mail Notifications

Action	E-mail sent to...
Request Clarification	Reporter of the Issue
Close Invalid	Reporter of the Issue Business Approver
Close Non-Reportable	

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Manage Issues

Once the issue is reported, it goes through multiple approval stages. In this stage, the issue owner can either define the action plan required to resolve the issue or validate the action plan proposed for the issue. Depending on the configuration, the actions can be triggered directly or after an approval cycle.

If the initial approver is enabled and has approved the reported issue, then the issue is assigned to the issue owner for approval. If the initial approver is not enabled, then the issue initiator can directly send the form to the issue owner.

Sections:

- Workflow
- Managing Issues
- Auto-Delegating Issues
- Approving Action Plans
- Approving Risk Acceptance
- Reviewing Risk-Accepted Issues

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Workflow

The following figure illustrates the workflow process involved in managing an issue. For more information on the overall workflow, see Issues Workflow.

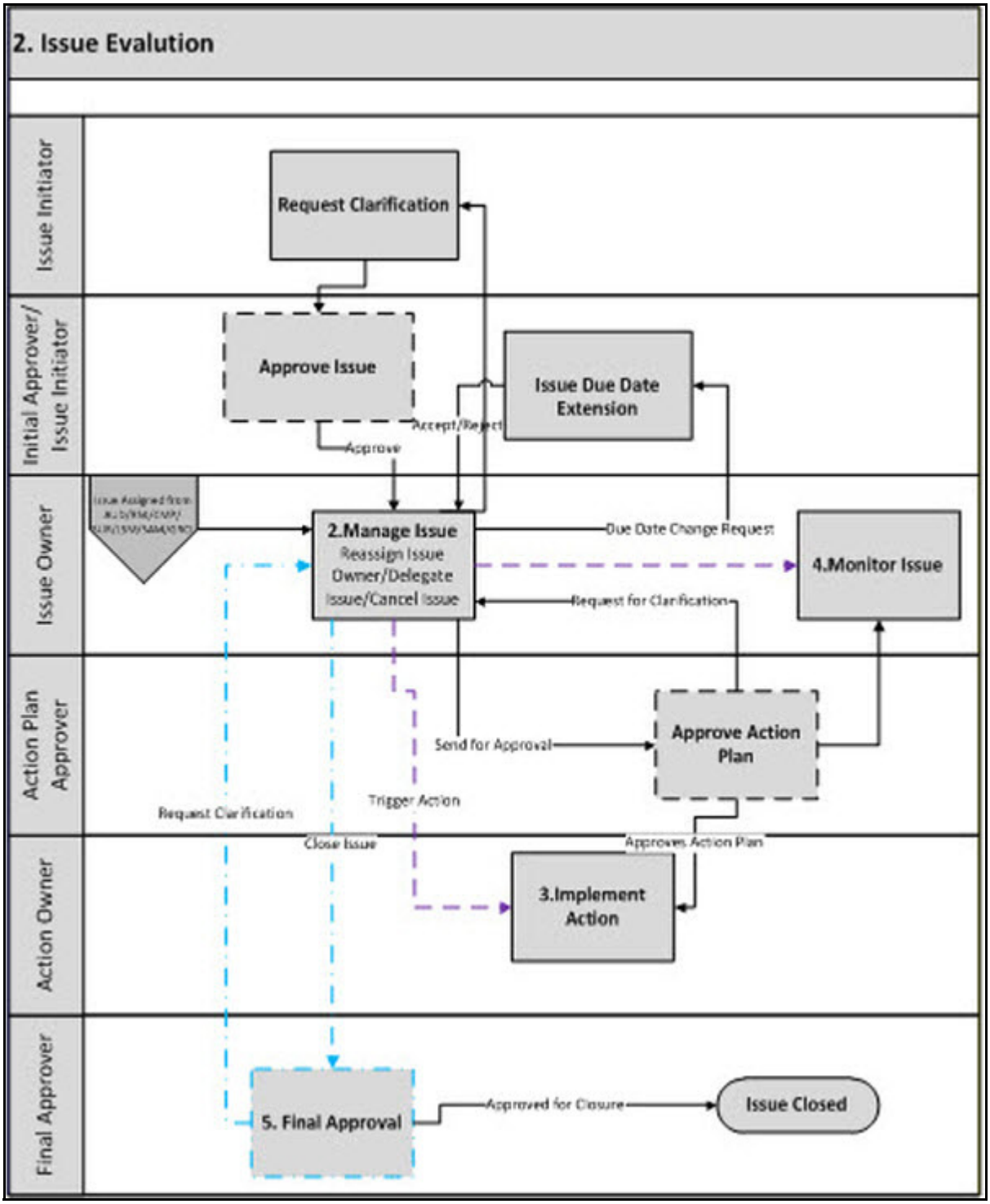

Figure 20 Workflow of Issue Evaluation

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Managing Issues

At the action plan definition stage, the following actions can be performed:

- Based on system parameter, the issue owner can define the action plan and send the action plan to the action plan approver or the issue owner can directly trigger actions to the action owner.

Note: Contact your system administrator to manage parameters.

- The action plan approver can approve the plan or send it back to the issue owner for more clarification.
- The issues and actions identified are triggered to the respective issue and action owners, if the action plan is approved.

Note: The issue owner can edit the details that are captured by the issue initiator in the **Issue** form.

To manage issues, access the required assignment from My Tasks.

Workflow Changes

At the action plan definition stage, most of the sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Open**.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary *(mandatory when you select the **Close Issue** option from the **Submit** drop-down list)*	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed resolution summary. You can also attach documents and images, if required.
Actions Click **Submit** to view the actions that are available at this stage.	

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Field/List Name	Description
Update Status	Select this option to update the status of the progress made in completing the issue. The **Update Status** window appears. The available fields are: • **Status**: Select the status of the issue. The following values are available: o Delayed o Likely Delayed o On Track **Note:** The values in the **Status** field can be configured based on your requirement. Contact your system administrator to manage LOV configurations. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Once you submit the form, the issue status is updated in the **Issues** report. **Notes:** - Click **Cancel** to discard changes and close the **Update Status** window. - The status that you update is withdrawn upon issue closure.

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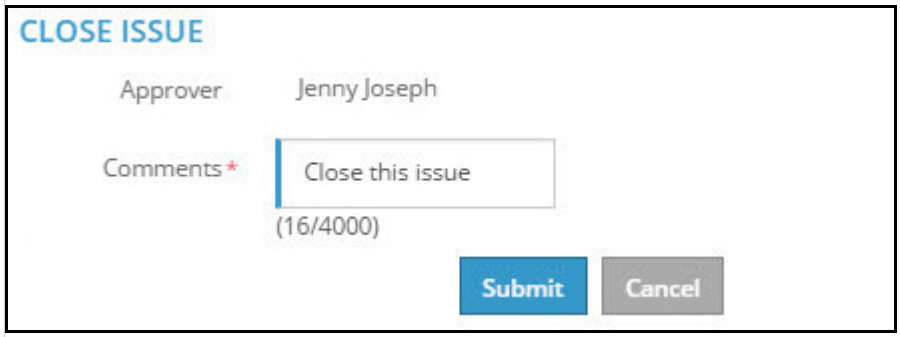
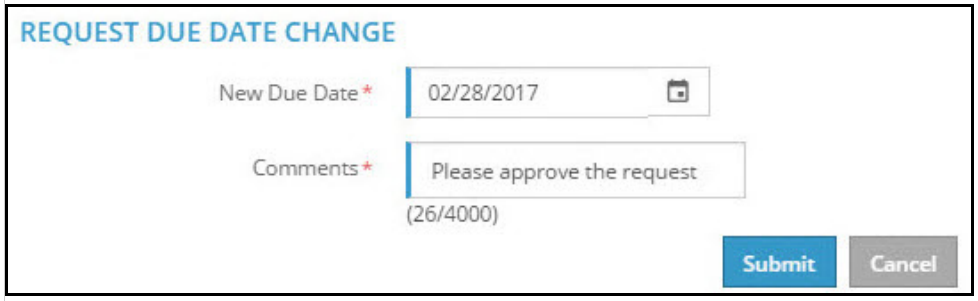
Field/List Name	Description
Close Issue	Select this option to close the current issue. The **Close Issue** window appears.  The available fields are: • **Approver**: Displays the name of the approver. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Close Issue** window. The issue owner can select this option and submit the form only if the issue has already been remediated. Once submitted, the **Issue** form is sent to the final approver if the final approval stage is enabled. The issue is closed after the final approval. **Note:** To close the issue, it is mandatory to provide the issue resolution summary in the **Issue Resolution Summary** field.
Request Due Date Change	Select this option to request the initial approver for additional time. The **Request Due Date Change** window appears. If the initial approver is disabled, this request is sent to the issue initiator.  Provide the required information in the following fields: • **New Due Date**: Enter the new due date. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Due Date Change** window. For more information, see Requesting Issue Due Date Change.

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Field/List Name	Description
Send for Approval	Select this option to send the form for approval. The **Send for Approval** window appears. The issue owner can define the action plan and send it to the action plan approver for approval. It is mandatory to define at least one action before submitting the action plan for approval. The available fields are: • **Approver**: Displays the name of the approver. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Send for Approval** window.
Request Clarification	Select this option to send the issue to the issue initiator requesting for more details. The issue owner can send the issue back to the issue initiator for additional clarifications. When you select this option, the **Request Clarification** pop-up window appears. Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.

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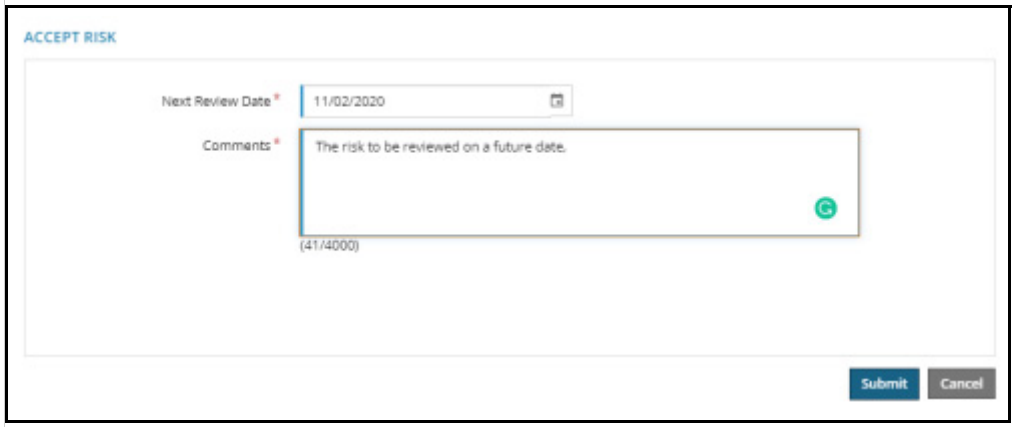
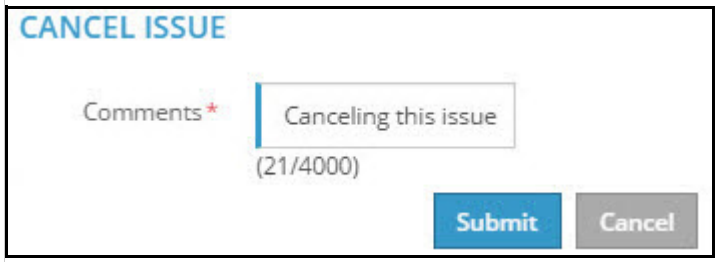
Field/List Name	Description
Accept Risk *(displays only when **Enable Issue Risk Acceptance parameter** is enabled)*	Select this option to accept the risk posed by an issue and provide a new date to revisit the issue. The issue owners or the delegates can accept the risk and send to the initial approver for approval. If the initial approver is disabled, this request is sent to the initiator of the issue. **Note:** The issue will be auto approved when there are no approvers available. When you select this option, the **Accept Risk** window appears.  Provide the required information in the following fields: • **Next Review Date**: Select a new date to revisit the issue. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Click **Cancel** to discard changes and close the **Accept Risk** window.
Cancel Issue	Select this option to cancel the issue. The **Cancel Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. When the issue owner requests for cancellation of the issue, the cancellation request is sent to the initial approver for approval. If the initial approver is not defined, then the cancellation request is sent to the issue initiator. **Notes:** - Click **Cancel** to discard changes and close the **Request Clarification** window. - After the issue is canceled, a notification is sent to the issue initiator.

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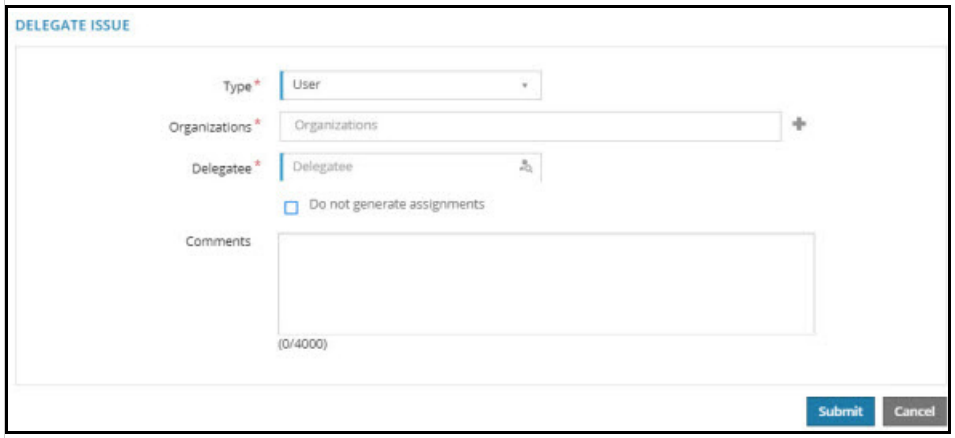
Field/List Name	Description
Delegate Issue	Select this option to delegate the current issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Delegate Issue** window. For more information, see Delegating Issues Using Issue Form.

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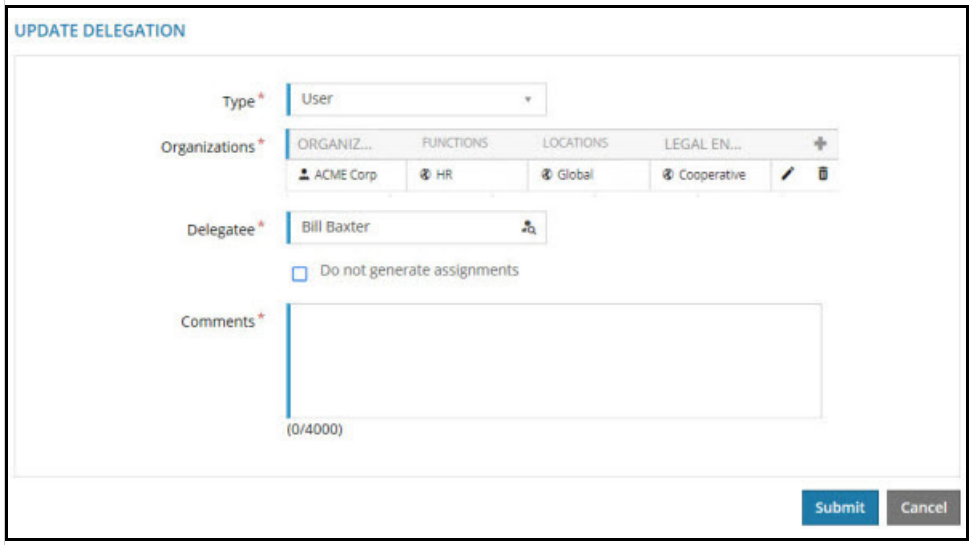
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • Organizations: Click the Add icon to select the required organization. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments. When the check box is selected, you cannot access the assignments from **My Tasks.** However, you can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Delegation** window.

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Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears. The available fields are: • Type: Displays the type of delegation. • Organizations: Displays the selected organization for delegation. • **Delegatee**: Displays the name of the existing delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Remove Delegation** window.
Reassign Owner	Select this option to reassign the ownership of the issue to a different user. The **Reassign Owner** pop-up window appears. Provide the required information in the following fields: • **Owner**: Select the user to whom you want to reassign the current issue to. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are available for selection. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Reassign Owner** window. For more information, see Reassigning Owners.

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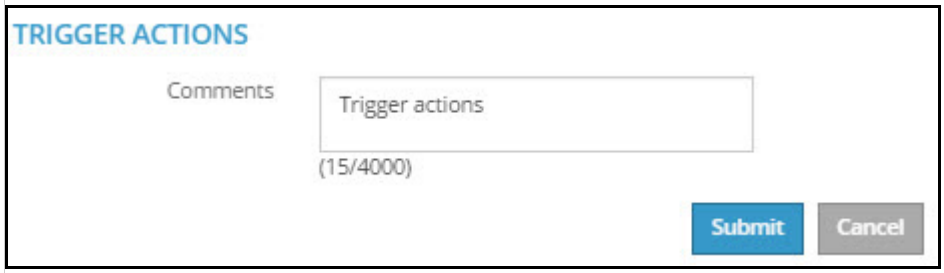
Field/List Name	Description
Trigger Actions *(appears if the action plan approver is disabled in the module)*	Select this option to trigger all the actions related to the issue. The **Trigger Actions** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Trigger Actions** window. The actions are triggered to the action owner (Implement action stage), and issues to the issue owner (Monitor stage).

Reassigning Owners

At the action plan definition stage, you can change the ownership of the issue to a different user by selecting the **Reassign Owner** option from the **Submit** drop-down list of the **Issue** form. For example, if the current issue owner is Caleb Cohen and you reassign the issue to Holly Hall, then Holly Hall becomes the owner of the issue. For more information on the different actions and their descriptions, see Actions.

Once the issue owner selects the **Reassign Owner** option and submits the form:

- If Auto Delegatee is set in the module or if the **Issue** form is manually delegated, the delegated assignment is withdrawn from the delegatee.
- For the new issue owner selected, the system checks if any delegatee has been set in the **Auto Delegation** form. If yes, a copy of the **Issue** form will be sent to the delegatee selected in the **Auto Delegation** form.
- The new issue owner selected can also manually delegate the **Issue** form to a delegatee by choosing the **Delegate Issue** option available in the action plan definition stage.

Requesting Issue Due Date Change

At the action plan definition stage, you can request the initial approver for additional time by selecting the **Request Due Date Change** option from the **Submit** drop-down list of the **Issue** form. The issue owner can request additional time using this option and a separate **Issue Due Date Change** form is sent to the initial approver. The issue approver can either approve issue due date change request or reject it. If the initial approver is not enabled in the system, then this request is sent to the issue initiator. For more information on the different actions and their descriptions, see Actions.

The number of times the issue due date can be extended is determined by the value of the parameter **Restrict_Issue_Due_Date_Extentions_By**. By default, the value of the parameter is set to 99. Contact your system administrator to manage parameters.

For example, if the value set for the parameter **Restrict_Issue_Due_Date_Extentions_By** is set to **5**, then the issue owner is allowed to request for issue due date extension only for five times. When the issue owner requests for issue due date extension for the fifth time, a message "Last Due Date Extension allowed" appears.

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When the issue owner requests for issue due date extension beyond the value specified in the parameter, then the error message “No Further Due Date extensions allowed” appears.

Delegating Issues Using Issue Form

At the action plan definition stage, the issue owner can delegate an issue to a delegatee by selecting the **Delegate Issue** option from the **Submit** drop-down list of the **Issue** form. For more information on the different actions and their descriptions, see Actions.

After delegation, the **Issue** form remains with the issue owner and is also available to the delegatee, but as soon as one of them works on the assignment and submits the form, the assignment is withdrawn from the other user. For example, if the delegatee works on the assignment and submits the **Issue** form first, then the assignment is withdrawn from the issue owner.

The issue owner can delegate the issue to a user, role, or both users and roles.

- Role: If the delegation type is role, the issue is delegated to a role associated with the selected organization.
- User: If the delegation type is user, the issue is delegated to a delegatee associated with the selected organization.
- Roles and Users: If the delegation type is both Roles and Users, the issue is delegated to a role associated with the selected organization. You can also select a delegatee associated with the selected role and organization.

The issue owner can select to generate non-assignment based access to the Delegatees by selecting the **Do not Generate** check box, while delegating the issue. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report.

The issue owner can also perform the following actions on the form:

- **Update Delegation**: Use this option to select a different delegatee for the issue. This option is displayed only when the form is already delegated to another user.
- **Remove Delegation**: Use this option to remove the assigned delegatee. This option is displayed only when the form is already delegated to another user.

The delegatee can perform the following actions on the form:

- Send for Approval
- Cancel Issue
- Close Issue
- Request Clarification
- Request Due Date Change

Notes:

- The delegatee cannot perform actions such as **Reassign Owner** and **Delegate Issue**.
- When the **Issue** form is delegated, the delegatee can view the issue details in the **My Issues** report. For more information on the **My Issues** report, see My Issues Report.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Cancel Issue	• Initial approver • Issue initiator (when the initial approver stage is not enabled)	• Initial approver • Issue initiator (when the initial approver stage is not enabled)

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Action Selected	Assigned To	E-Mail Sent To
Request Clarification	Issue initiator	Issue initiator
Send for Approval	Action plan approver	Action plan approver
Close Issue	Final approver	Final approver
Delegate Issue	Delegatee and the assignment remains with the issue owner	Delegatee
Update Delegation	New delegatee	New delegatee
Remove Delegation	Not Applicable	Delegatee
Request Due Date Change	• Initial approver • Issue initiator (when the initial approver stage is not enabled)	• Initial approver • Issue initiator (when the initial approver stage is not enabled)
Reassign Owner	New issue owner	New issue owner
Trigger Actions	Issue owner	Issue owner
	Action owner	Action owner
Clarification Requested for Risk Accepted Issue	Issue Owner	Issue Owner
	Delegatee	Delegatee
Accept Risk	Initial Approver	Initial Approver

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- My Issues Report
- Open Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

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For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Auto-Delegating Issues

The issue owner can delegate the issues to any user within the same organization, using the **Auto Delegation** form. The new issues/actions that are assigned to the issue/action owner after the delegation is set, is assigned to the selected delegatee. However, the issue/action owner retains a copy of the assignment. For more on auto-delegating issues, see Auto-Delegation of Issues and Actions.

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Approving Action Plans

The action plan approver can approve the action plan and initiate actions or send the form back to the issue owner for additional clarifications using the **Issue** form.

To approve action plans for issues, access the required assignment from My Tasks.

Workflow Changes

At the action plan approval stage, most of the sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Action Plan Developed**.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Actions Click **Submit** to view the actions that are available at this stage.	

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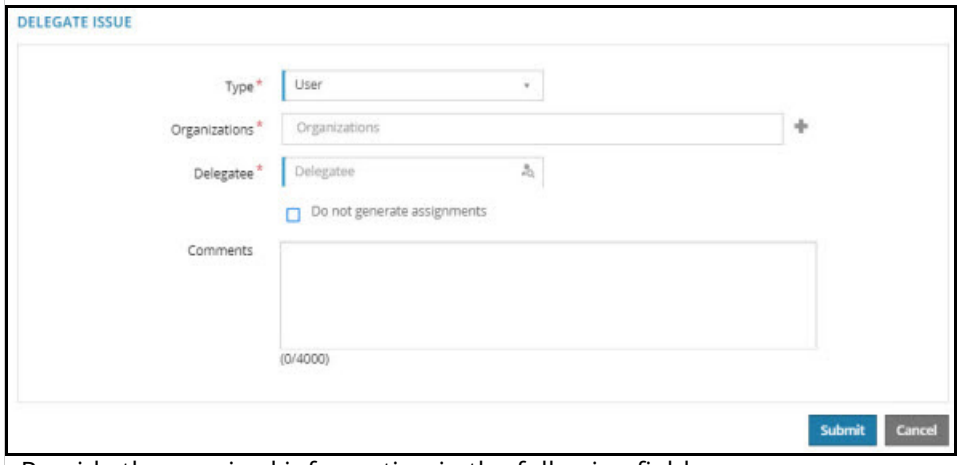
Field/List Name	Description
Delegate Issue	Select this option to delegate the current issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Delegate Issue** window. For more information, see Delegating Issues Using Issue Form.

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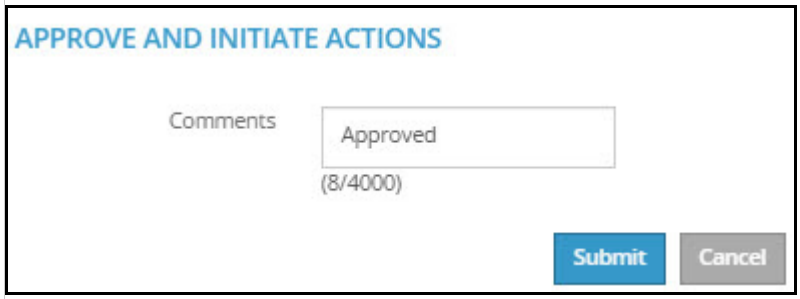
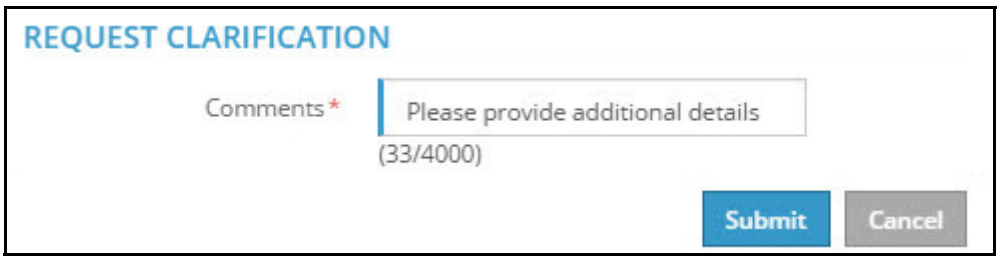
Field/List Name	Description
Approve and Initiate Actions	Select this option to approve and initiate the defined actions. The **Approve and Initiate Actions** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Approve and Initiate Actions** window. - The action plan approver cannot approve the action plan if the issue due date is lesser than the current date.
Request Clarification	Select this option to request the issue owner for additional details. The **Request Clarification** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.

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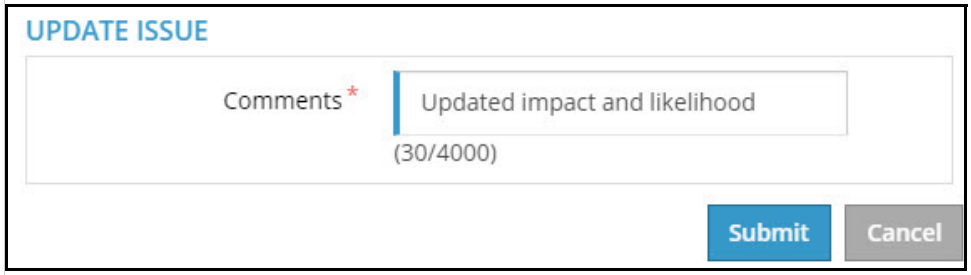
Field/List Name	Description
Update Issue	Select this option to update issue details. When one of the approvers submits the updates, it is made available to the other approvers associated with the same issue. The **Update Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Once you submit the form, these comments will be displayed in the **Comments History** report. **Note:** This option is available when the parameter 'Enable role based assignments for approvers in issues' is set to Yes.

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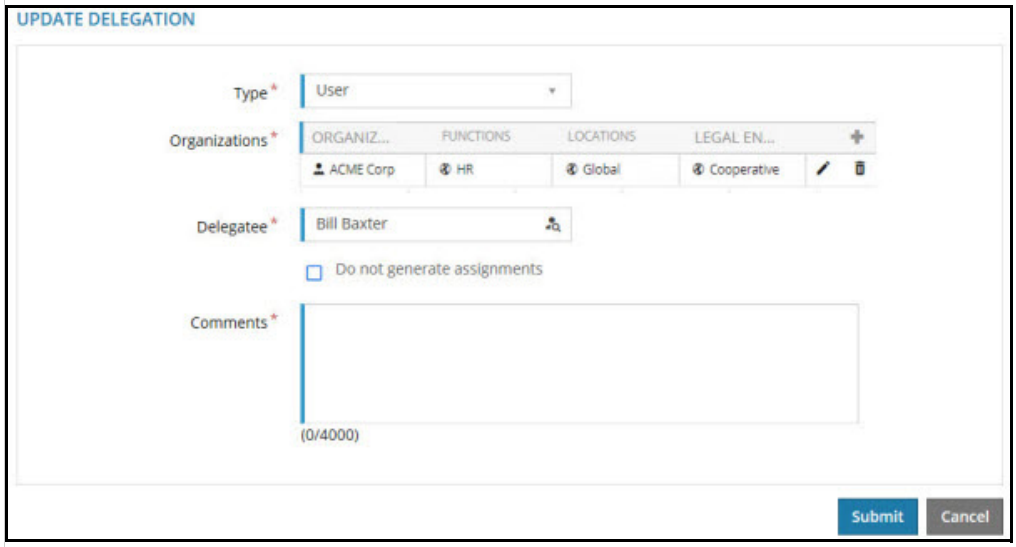
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee: Select the user to whom you want to delegate the current issue to.** • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears. The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Delegatee**: Displays the name of the existing delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

Approving Risk Acceptance

After accepting the risk, the issue is sent for approval to users belonging to the issue approver organization. The approver can either approve the request or request for clarification.

Note: If the configuration, 'Approval Required for Risk Accepted Issues?' is not enabled, then the issue owner or delegatees can directly accept the risk without any approvals.

On approval, status of the issue is changed to '**Risk Accepted**', and the issue is revoked from the Issue Owner/ delegatees.

All the open actions related to the issue will be canceled.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Approve and Initiate Actions	Issue owner	Issue owner
	Action owner	Action owner
Request Clarification	Issue owner	Issue owner

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Action Selected	Assigned To	E-Mail Sent To
Delegate Issue	Delegatee and the assignment remains with the initial approver	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Actions Report
- Detailed Issues and Actions Report
- Detailed Actions Report
- My Actions Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Risk Acceptance

The **Approving Risk Acceptance** form is assigned to the initial approver when the issue owner accepts a risk. By using the **Approving Risk Acceptance** form, the initial approver can either approve the request or send it for clarification or delegate it. If the initial approver is disabled, this form is sent to the initiator for approval.

To approve risk acceptance, access the required assignment from My Tasks.

Note: When the risk is accepted during this stage, the actions on the issue will be withdrawn.

Header of Approving Risk Acceptance Form

The header provides a quick overview about the issue. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Approving Risk Acceptance Form.

Figure 21 Header of Approving Risk Acceptance Form

General section of Approving Risk Acceptance Form

Use the **General** section to view issue details, classification, and source details.

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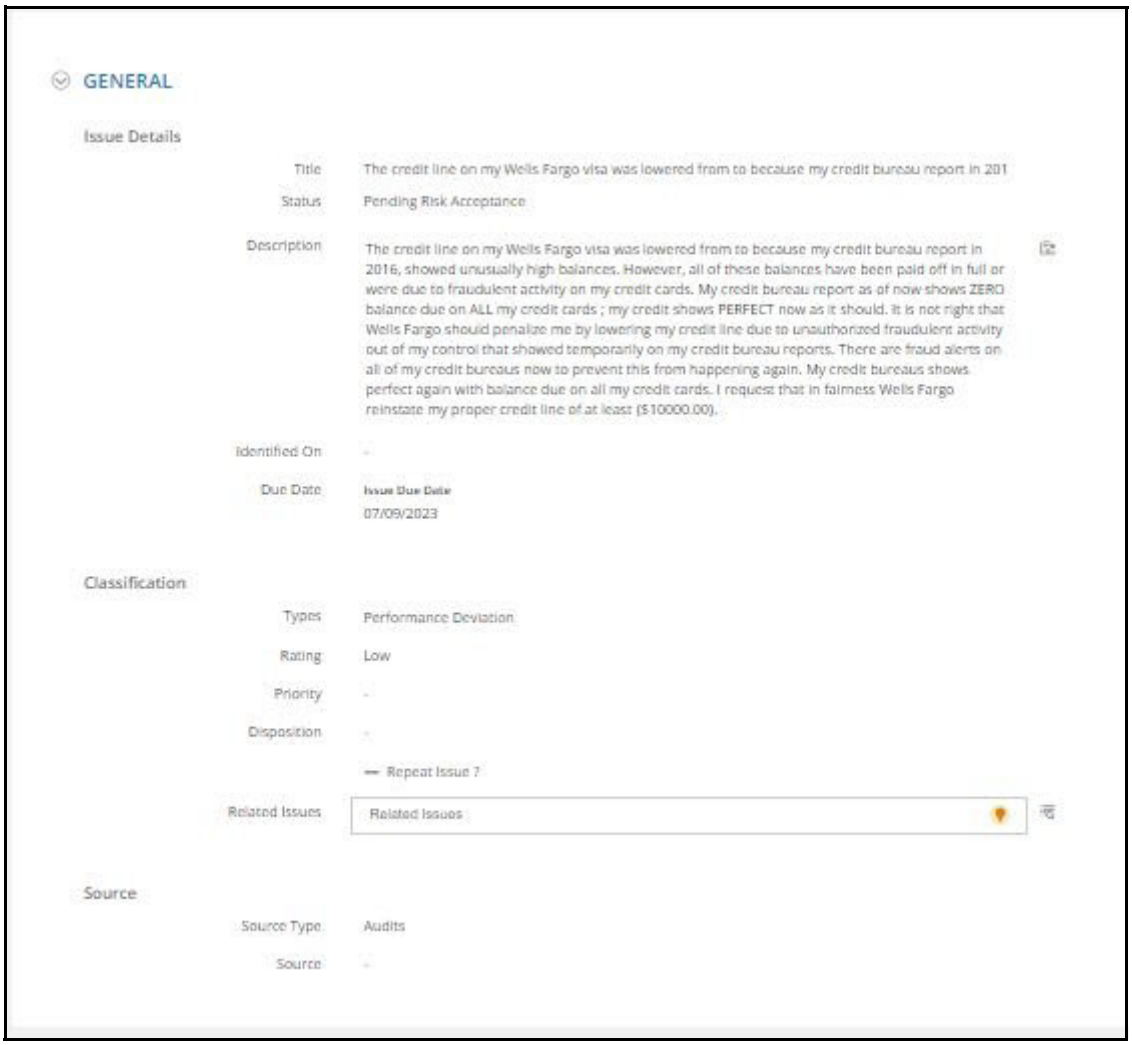

Figure 22 General section of Approving Risk Acceptance Form

Field/List Name	Description
Issue Details	
Title	Displays the name of the issue.
Status	By default, displays the status as **Pending Risk Acceptance**.
Description	Displays the description of the issue.
Identified On	Displays the date on which the issue was identified.
Due Date	Displays the issue due date.
Classification	
Types	Displays the issue type.
Rating	Displays the rating of the issue.
Priority	Displays the priority of the issue as high, medium, or low.
Disposition	Displays either of the options if any; reportable, non-reportable, or reportable (already addressed)
Related Issues	Displays related issues if any.
Source	

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Field/List Name	Description
Source	Displays the details of the source of the issue in the following fields: • **Source Type**: Displays the relevant source type of the issue. • **Source**: Displays the source of the issue.

Ownership and Security Section of Approving Risk Acceptance Form

Use the **Ownership and Security** section to view the appropriate owners and approvers for the issue.

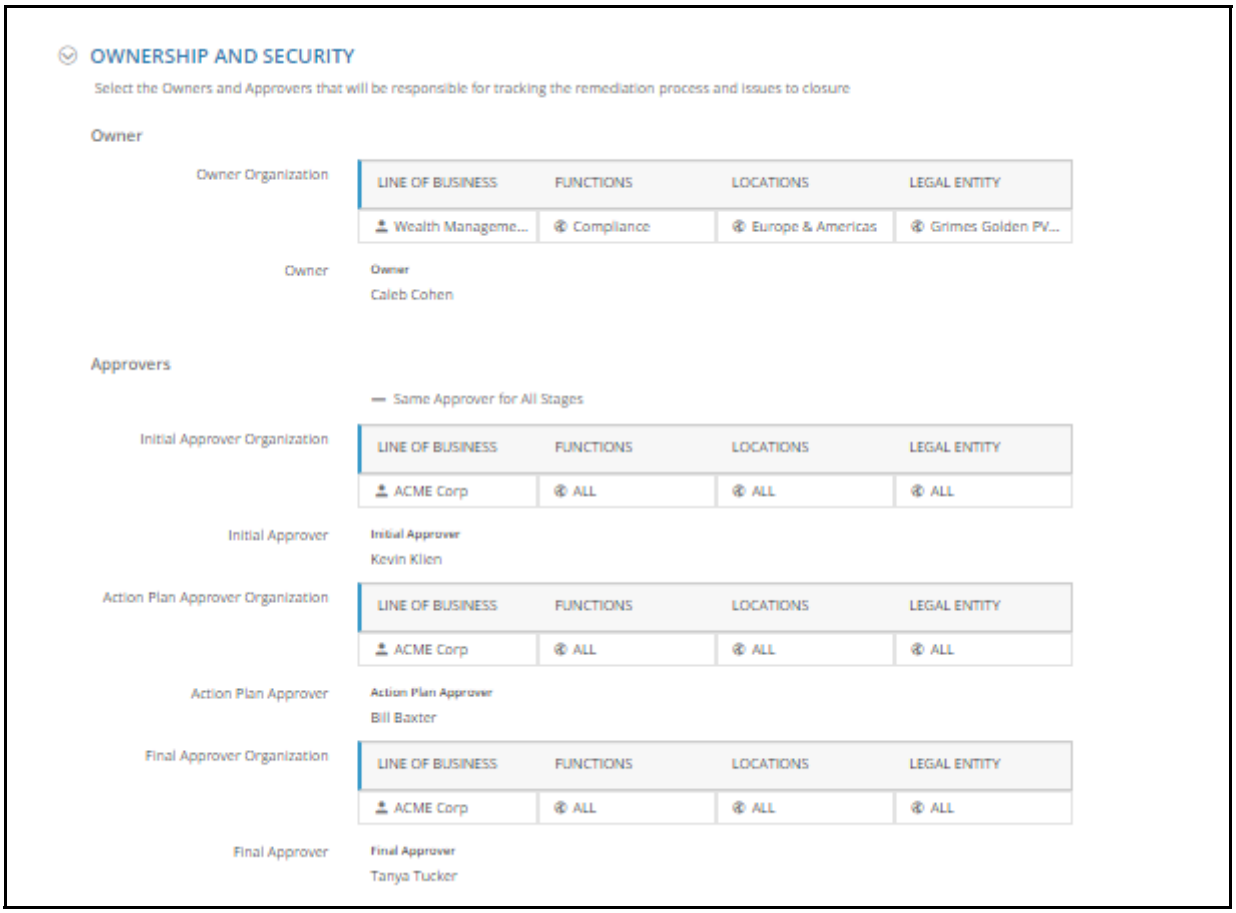

Figure 23 Ownership and Security section

Field/List Name	Description
Owner	Displays the owner and owner organization of the issue. • **Owner Organization**: Displays the owner organization responsible for maintaining the issue. This field displays the various levels of organizations available to the current user. • **Owner**: Displays the owner of the issue. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are displayed.
Initial Approver	Displays the initial approver responsible for approving risk acceptance for the issue. • **Initial Approver Organization**: Organization to which the initial approver of the issue belongs. • **Initial Approver**: Initial approver to approve the risk acceptance pertaining to the issue.

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Field/List Name	Description
Action Plan Approver	Displays the action plan approver responsible for approving the risk acceptance for the issue. • **Action Plan Approver Organization**: Organization to which the action plan approver of the issue belongs. • **Action Plan Approver**: Action plan approver to approve the risk acceptance pertaining to the issue.
Final Approver	Displays the final approver details in the following fields: • **Final Approver Organization**: Organization to which the final approver of the issue belongs. • **Final Approver**: Final approver to approve the risk acceptance for the issue.

Relationships section of Approving Risk Acceptance Form

Use the **Relationships** section to associate current issue with the relationship framework options such as organizations, areas of compliance, risks and so on.

Note: The 'Organization' and 'GRC library content' together are known as relationship framework options.

If a user is assigned to **View issues by related to org** activity, then only the issues related to the organizations associated in this section are displayed in the respective reports. However, based on a configuration parameter, parent organizations can view issues associated with their child organizations.

For more information on the report security, see Privileges to View Data in Reports.

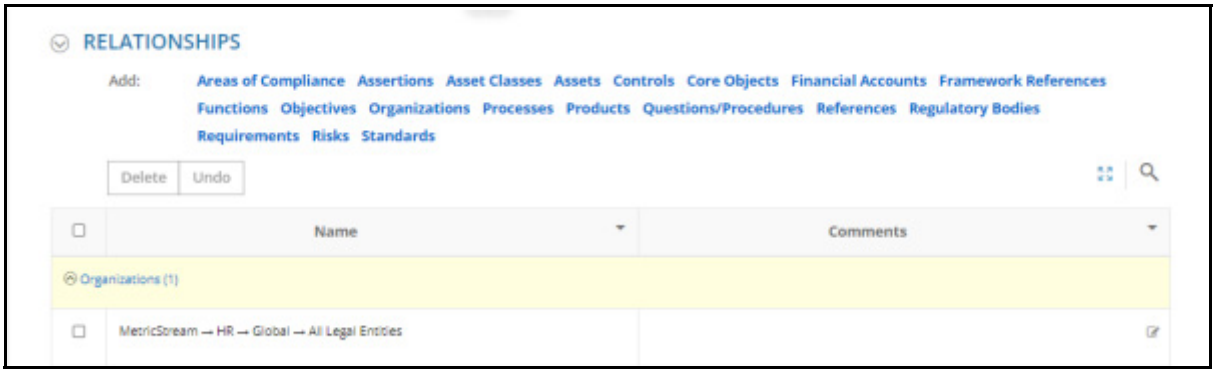

Figure 24 Relationships section of the form

Field/Column Name	Description
Displays the related organization, core objects, and other GRC library content associated with the issue. **Notes:** - The name of the report varies based on the selected link. - If the GRC library item is associated with levels, then the levels are also displayed in the window. You can expand the parent item to select the child item. The selected items appear in the tabular format:	

Field/Column Name	Description
Tabular format details:	
Name	Displays the name of selected object.
Comments	Displays the comments, if any, regarding the added object.

Action Plan section of Approving Risk Acceptance Form

Use the **Action Plan** section to view action plan, action owner and other details of the action.

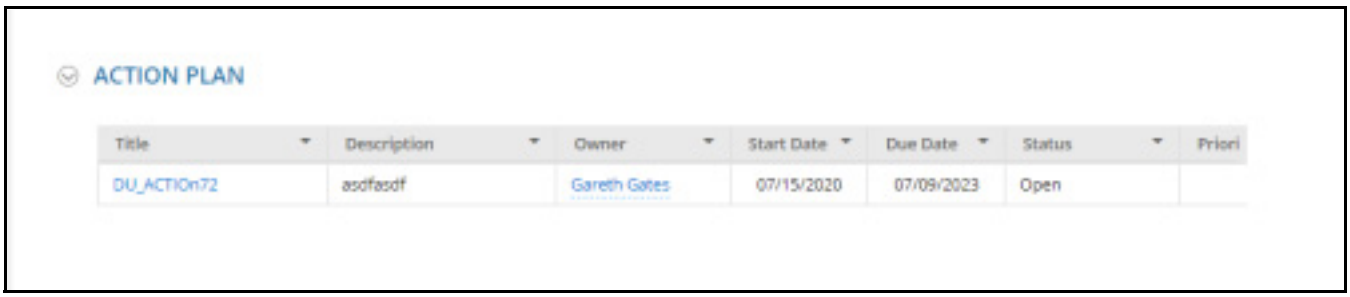

Figure 25 Action Plan section of the Form

Field/Column Name	Description
Title	Displays the action title for the initiated issue. **Note:** Click the link to view the action form.
Description	Displays the detailed description of the action.
Owner	Displays the user from the selected action owner business. **Note:** On form submission, the selected action owner gets an assignment to work on the action plan.
Start Date	Displays the start date of the action.
Due Date	Displays the date by when the action should be completed.
Status	Displays the status of the issue.
Priority	Displays the priority of the action as high, medium, or low.
% Completion	Displays the value of completion of the action
Approver	Displays the name of the approver for risk acceptance of the issue.
Final Approver	Displays the name of the final approver.
Comments	Displays additional remarks on the issue.
Reopen Action	Displays the comments on reopening an action.

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Additional Details in Approving Risk Acceptance Form

Use the **Additional Details** section to view additional details about the issue.

Figure 26 Additional Details section

Field/List Name	Description
Exception Type	Displays a relevant issue exception type is any.
Impact and Likelihood	Displays the impact and likelihood of the issue on the organization as high, medium or low.
Loss/Gain	Displays whether the current issue is a loss or gain to the organization.
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Attachments	You can attach relevant files by clicking the Folder icon or view if a file is already available. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

Resolution Summary in Approving Risk Acceptance Form

Use this section to view or provide a resolution summary:

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Field/List Name	Description
Issue Resolution Summary	View or provide a detailed resolution summary. You can also attach documents and images, if required. Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears.

Actions in Approving Risk Acceptance Form

The following table describes the actions that you can perform after entering all the details in the form.

Field/List Name	Description
Actions Click **Submit** to view the actions that are available at this stage.	
Request Clarification	Select this option to request clarification about accepting the risk of the issue. The window **Request Clarification** appears. The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.

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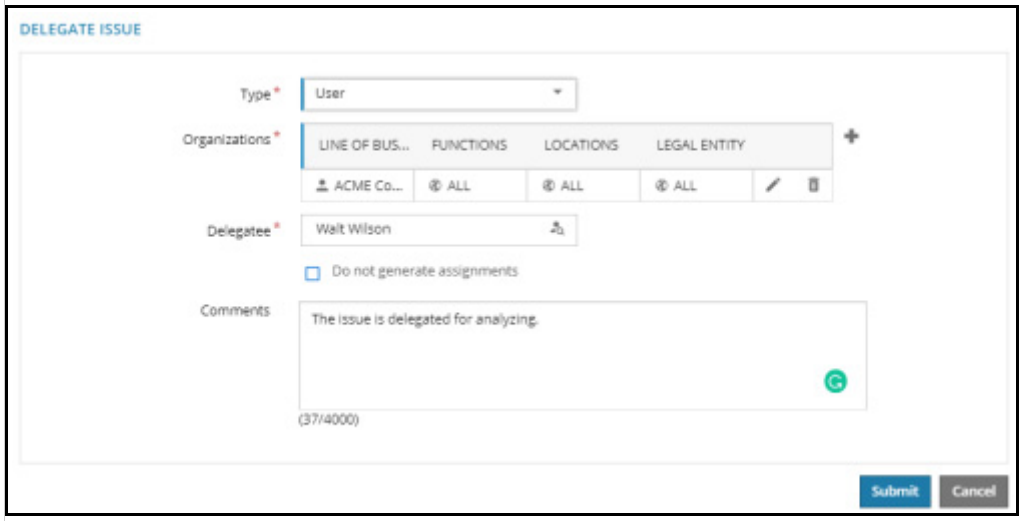
Field/List Name	Description
Delegate Issue	Select this option to delegate the issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization.ser: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Delegate Issue** window.

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Field/List Name	Description
Approve Risk Acceptance	Select this option to approve risk acceptance. The **Approve Risk Acceptance** window appears. The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Approve Risk Acceptance** window.

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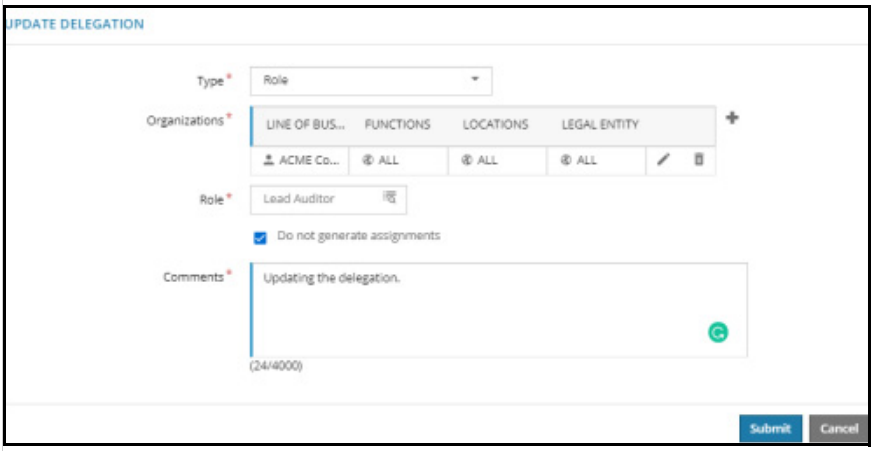
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Roles:** Select the role for the delegatee associated with the organization. • **Delegatees:** Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through **Issues** report. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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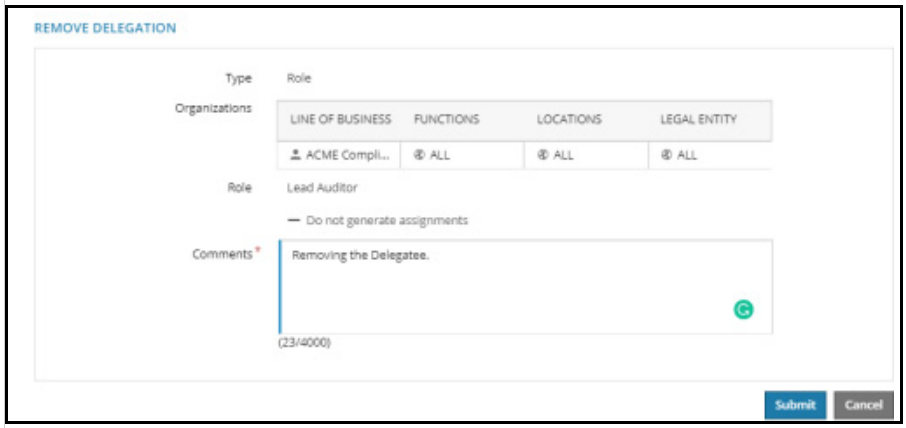
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Role**: Displays the name of the existing role or delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

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Reviewing Risk-Accepted Issues

Before the specified review date:

When the risk acceptance criteria for an issue is approved by the approver, the issue owner or delegatee can review the risk accepted issues using the Risk-Accepted Issues Report.

In the **Actions** column, click **Review Risk** and the issue form opens.

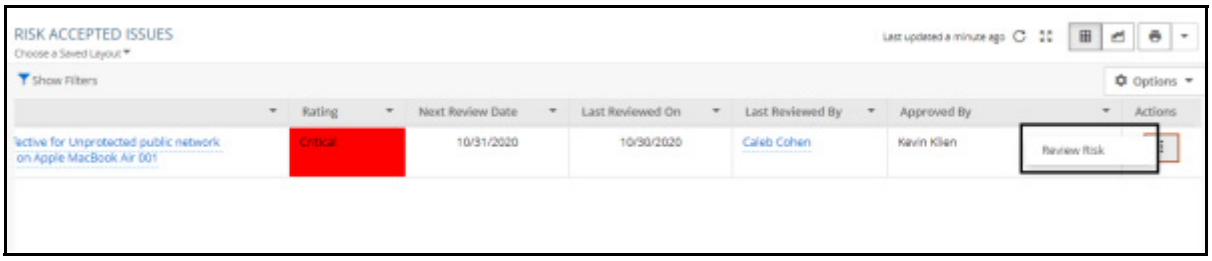

Figure 27 Risk Accepted Issues Report

Header of Reviewing Risk Acceptance Form

The header provides a quick overview about the issue. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Approving Risk Acceptance Form.

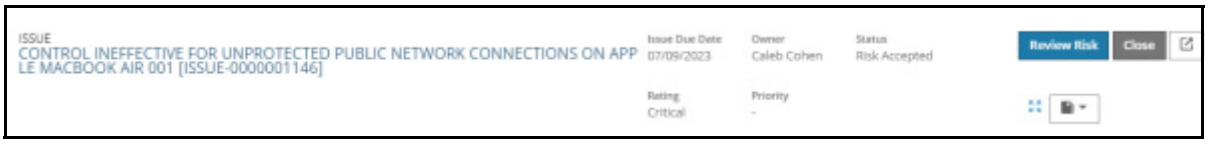

Figure 28 Header of Reviewing Risk Acceptance Form

General section of Reviewing Risk Acceptance Form

Use the **General** section to view issue details, classification, and source details.

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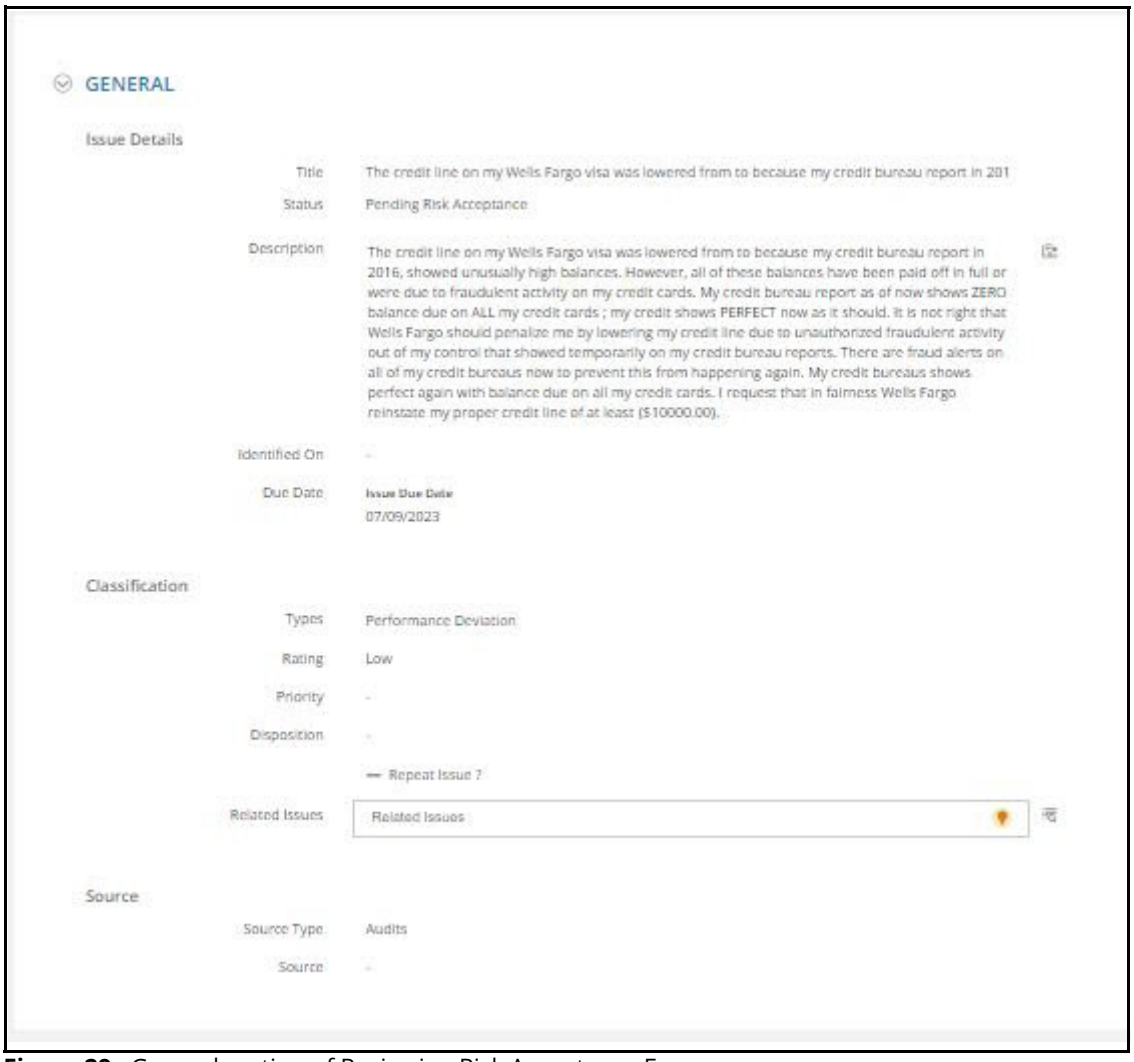

Figure 29 General section of Reviewing Risk Acceptance Form

Field/List Name	Description
Issue Details	
Title	Displays the name of the issue.
Status	By default, displays the status as **Pending Risk Acceptance**.
Description	Displays the description of the issue.
Identified On	Displays the date on which the issue was identified.
Due Date	Displays the issue due date.
Classification	
Types	Displays the issue type.
Rating	Displays the rating of the issue.
Priority	Displays the priority of the issue as high, medium, or low.
Disposition	Displays either of the options if any; reportable, non-reportable, or reportable (already addressed)
Related Issues	Displays related issues if any.
Source	

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Field/List Name	Description
Source	Displays the details of the source of the issue in the following fields: • **Source Type**: Displays the relevant source type of the issue. • **Source**: Displays the source of the issue.

Ownership and Security Section of Reviewing Risk Acceptance Form

Use the **Ownership and Security** section to view the appropriate owners and approvers for the issue.

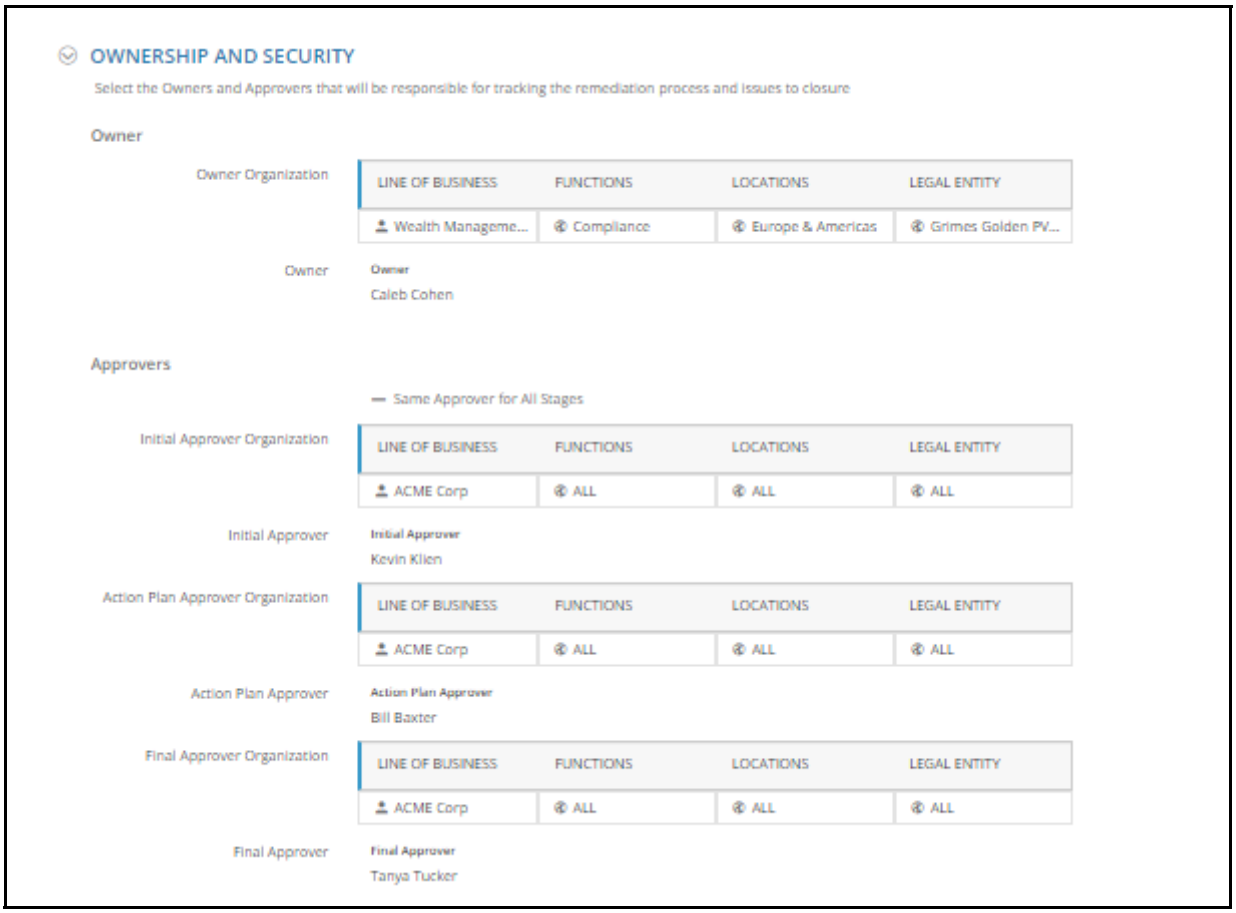

Figure 30 Ownership and Security section

Field/List Name	Description
Owner	Displays the owner and owner organization of the issue. • **Owner Organization**: Displays the owner organization responsible for maintaining the issue. This field displays the various levels of organizations available to the current user. • **Owner**: Displays the owner of the issue. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are displayed.
Initial Approver	Displays the initial approver responsible for approving risk acceptance for the issue. • **Initial Approver Organization**: Organization to which the initial approver of the issue belongs. • **Initial Approver**: Initial approver to approve the risk acceptance pertaining to the issue.

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Field/List Name	Description
Action Plan Approver	Displays the action plan approver responsible for approving the risk acceptance for the issue. • **Action Plan Approver Organization**: Organization to which the action plan approver of the issue belongs. • **Action Plan Approver**: Action plan approver to approve the risk acceptance pertaining to the issue.
Final Approver	Displays the final approver details in the following fields: • **Final Approver Organization**: Organization to which the final approver of the issue belongs. • **Final Approver**: Final approver to approve the risk acceptance for the issue.

Relationships section of Reviewing Risk Acceptance Form

Use the **Relationships** section to associate current issue with the relationship framework options such as organizations, areas of compliance, risks and so on.

Note: The 'Organization' and 'GRC library content' together are known as relationship framework options.

If a user is assigned to **View issues by related to org** activity, then only the issues related to the organizations associated in this section are displayed in the respective reports. However, based on a configuration parameter, parent organizations can view issues associated with their child organizations.

For more information on the report security, see Privileges to View Data in Reports.

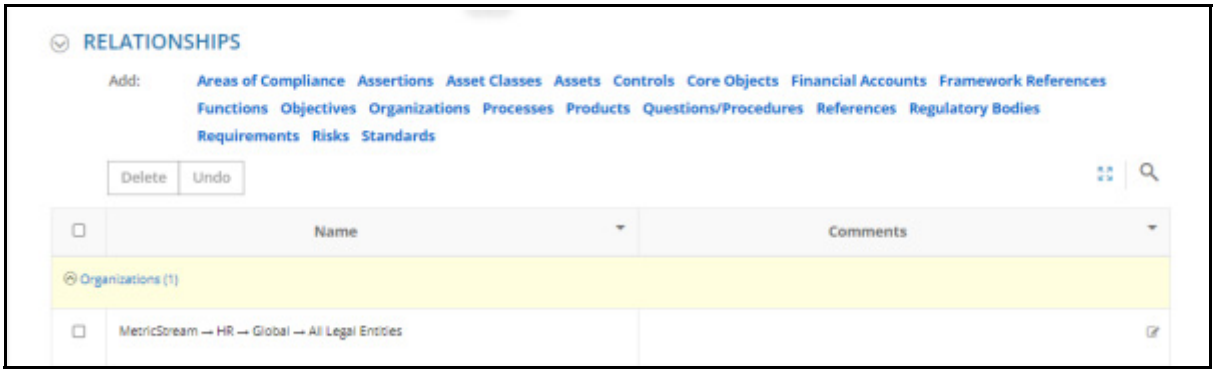

Figure 31 Relationships section of the form

Field/Column Name	Description
Displays the related organization, core objects, and other GRC library content associated with the issue. **Notes:** - The name of the report varies based on the selected link. - If the GRC library item is associated with levels, then the levels are also displayed in the window. You can expand the parent item to select the child item. The selected items appear in the tabular format:	

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Field/Column Name	Description
Tabular format details:	
Name	Displays the name of selected object.
Comments	Displays the comments, if any, regarding the added object.

Action Plan section of Reviewing Risk Acceptance Form

Use the **Action Plan** section to view action plan, action owner and other details of the action.

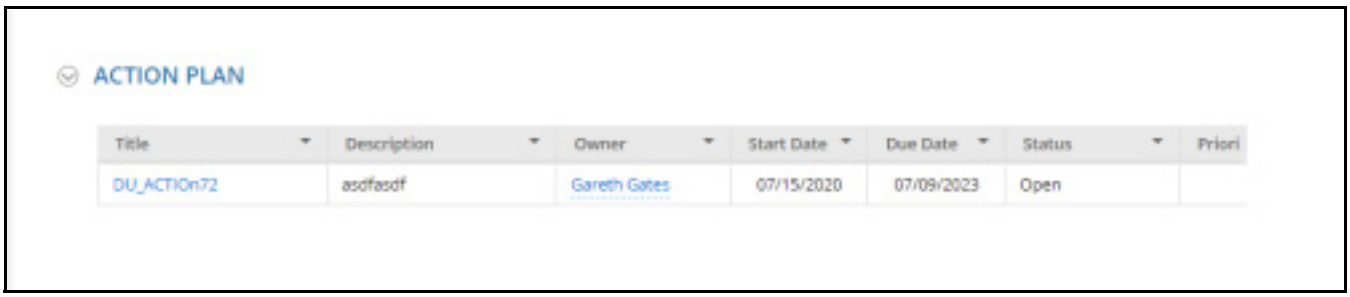

Figure 32 Action Plan section of the Form

Field/Column Name	Description
Title	Displays the action title for the initiated issue. **Note:** Click the link to view the action form.
Description	Displays the detailed description of the action.
Owner	Displays the user from the selected action owner business. **Note:** On form submission, the selected action owner gets an assignment to work on the action plan.
Start Date	Displays the start date of the action.
Due Date	Displays the date by when the action should be completed.
Status	Displays the status of the issue.
Priority	Displays the priority of the action as high, medium, or low.
% Completion	Displays the value of completion of the action
Approver	Displays the name of the approver for risk acceptance of the issue.
Final Approver	Displays the name of the final approver.
Comments	Displays additional remarks on the issue.
Reopen Action	Displays the comments on reopening an action.

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Additional Details in Reviewing Risk Acceptance Form

Use the **Additional Details** section to view additional details about the issue.

Figure 33 Additional Details section

Field/List Name	Description
Exception Type	Displays a relevant issue exception type is any.
Impact and Likelihood	Displays the impact and likelihood of the issue on the organization as high, medium or low.
Loss/Gain	Displays whether the current issue is a loss or gain to the organization.
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Attachments	You can attach relevant files by clicking the Folder icon or view if a file is already available. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

Resolution Summary in Reviewing Risk Acceptance Form

Use this section to view or provide a resolution summary:

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Figure 34 Resolution Summary

Field/List Name	Description
Issue Resolution Summary	View or provide a detailed resolution summary. You can also attach documents and images, if required. Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears.

Actions in Reviewing Risk Acceptance Form

Click **Review Risk** to provide comments after reviewing the risk acceptance form.

Note: The next review date is non editable as the review is done before the specified review date.

Figure 35 Review Risk Comments

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Accept Risk	Initial Approver	Initial Approver

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Implement Action Items

Every issue must have an action associated to it, these actions are taken in order to resolve the issue. The actions are assigned to the action owners, when the actions are triggered from the **Issue** form from the manage issue stage or when the action plan approver approves the action plan.

The action owners can work on the action, update the action status, delegate the action or send the action for review or approval.

Sections:

- Workflow
- Implementing Action Items
- Reviewing Actions

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Workflow

The following figure illustrates the workflow process involved in implementing an action. For more information on the overall workflow, see Issues Workflow.

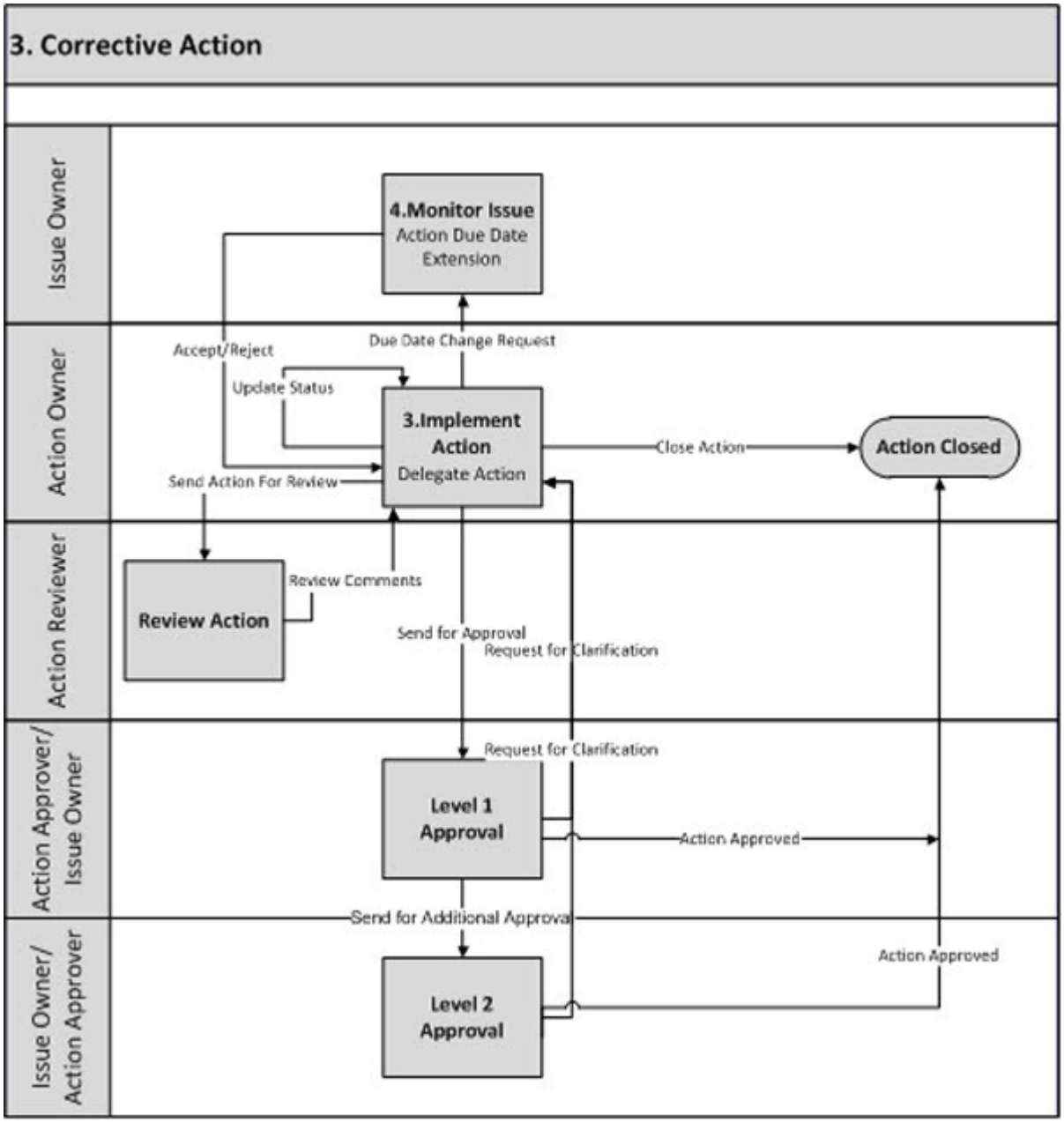

Figure 36 Workflow of Corrective Action

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Implementing Action Items

The **Action** form is assigned to the action owner when:

- The action plan approver approves the action plan.
- The actions are triggered directly from the manage issue stage. This happens when the action plan approver stage is disabled using a parameter.

Note: Contact you system administrator to manage parameters.

To work on actions, access the required assignment from My Tasks.

Header of Action Form

The header provides a summary of the action and indicates the current workflow stage. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Action Form.

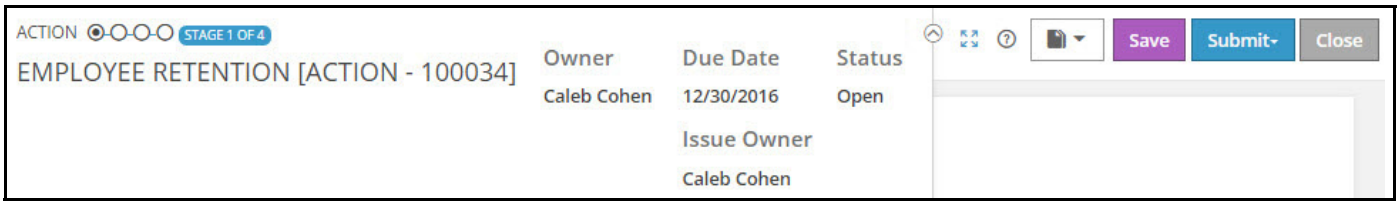

Figure 37 Header of Action Form

For more information on the header, see Header.

General section of Action Form

Use the **General** section to view the basic details of the action and provide details on the work done to remediate the issue and its results.

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Figure 38 General section of Action Form

Field	Description
Action Details	
Title	Displays the title of the action.
Status	Displays the status of the action as **Open**.
Start Date	Displays the start date of the action.
Due Date	Displays the due date details in the following fields: • **Due Date**: Displays the date on which the action is due. • **Original Due Date**: Displays the action due date entered by the action owner for the first time. • **Date Extensions**: Displays the number of times the action due date extension requests are approved by the issue owner, if any.
Reopens *(appears only if the action is reopened)*	Displays the number of times the action has been reopened.
Issue Title	Displays the name of the issue.
Issue Owner	Displays the name of the issue owner.
Issue Due Date	Displays the date on which the issue is due.
Approval Type	Displays who approves the action.

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Field	Description
Approver *(appears only if the action approver is defined)*	Displays the name of the action approver. **Note:** This field is visible only if the value that you have selected in the **Action Approval By** field includes approval by action approver.
Description	Displays the description of the action.
Owner	Displays the name of the action owner.
Priority	Displays the priority of the action.
Impacted Organizations	Displays the organizations that are impacted by the issue.
Documentation	
Work Done	Click the RTF icon or anywhere within the text box to provide details about the work done to remediate the issue. The Rich Text Format window appears. Provide a detailed description of the work done. You can also attach documents and images, if required.
Results	Click the RTF icon or anywhere within the text box to provide details of the outcome of the implemented action. The Rich Text Format window appears. Provide a detailed description of the results. You can also attach documents and images, if required.

Attachments section of Issue Form

Use the **Attachments** section to define the attachment fields supporting the issue reported.

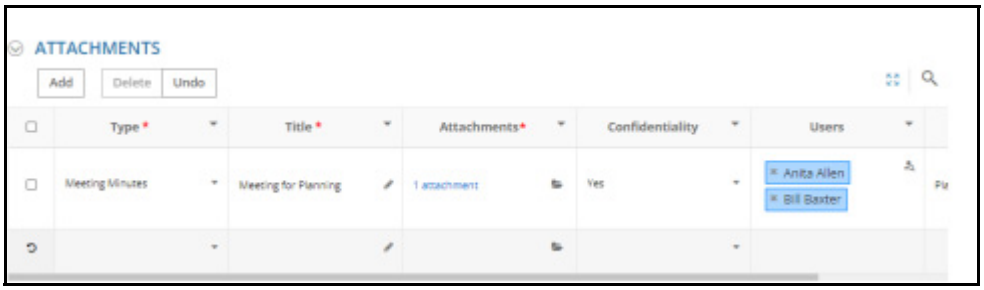

Figure 39 Attachments Section of the Issue Form

Field/Column Name	Description
Add button	Click this button to add rows to the tabular format.
Delete button	Click this button to delete the selected row.
Undo button	Click this button to retrieve the deleted row.
Type	Select a value from the available options. For more information, see Setting up Issues.
Title	Provide a title for the attachment. Maximum character length is 100.
Attachments	Add one or more files as attachments. To view the file, click the attachment link.

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Field/Column Name	Description
Confidentiality	Select **Yes** to make it confidential; to be viewed by selected confidential users only. **Note:** The users with the activity, **ISM-View Confidential Attachments** can view the attachments**.**
Users	Specify the confidential users who can view the form.
Comments	Provide any additional information, if any, regarding the attachments.

Additional Details section of Action Form

Use the **Additional Details** section to attach relevant documents, if any.

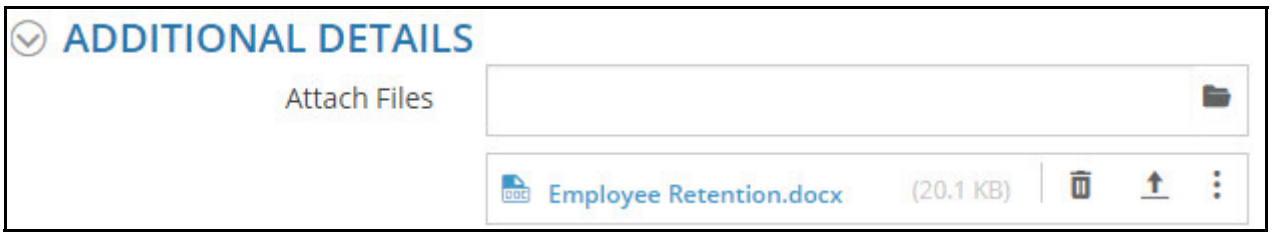

Figure 40 Additional Details section of Action Form

Field	Description
Attach Files	Attach relevant files by clicking the Folder icon. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

Actions in Action Form

The following table describes the actions that you can perform after entering all the details in the form.

Field/List Name	Description
Click **Submit** to view the actions that are available at this stage.	

Note: When you select options such as **Send for Approval**, **Send for Review** and **Close Action**, it is mandatory to provide the details of work done and results in the **Work Done** and **Results** fields respectively.

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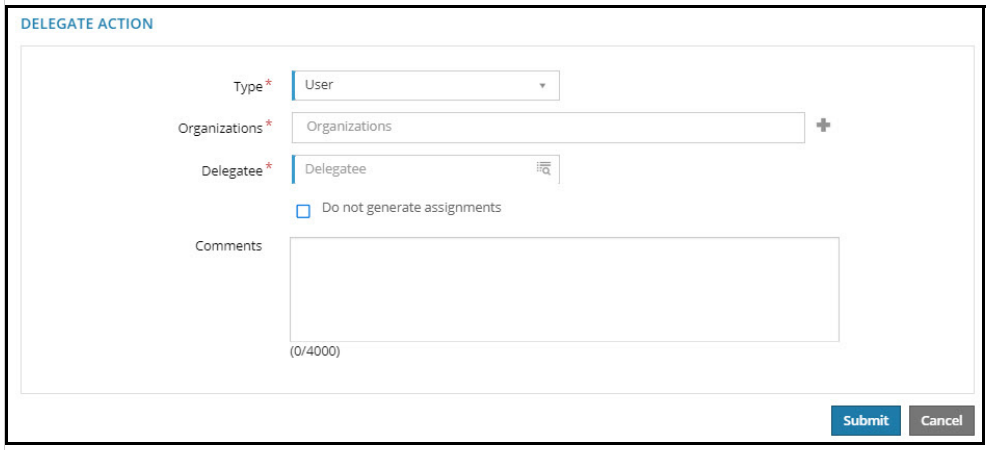
Field/List Name	Description
Delegate Action	Select this option to delegate the current action. The **Delegate Action** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate actions to a role associated with the selected organization. o User: Select this to delegate actions to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate actions to a role associated with the selected organization. You can also delegate the actions to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current action to. The users with the activity **ISM Implement Action** are available for selection. • **Do not generate assignments:** Select the check box if you do not want to generate assignments. When the check box is selected, you cannot access the assignments from **My Tasks.** However, you can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Delegate Action** window. - This option is not available if the form is already delegated. For more information, see Delegating Actions.

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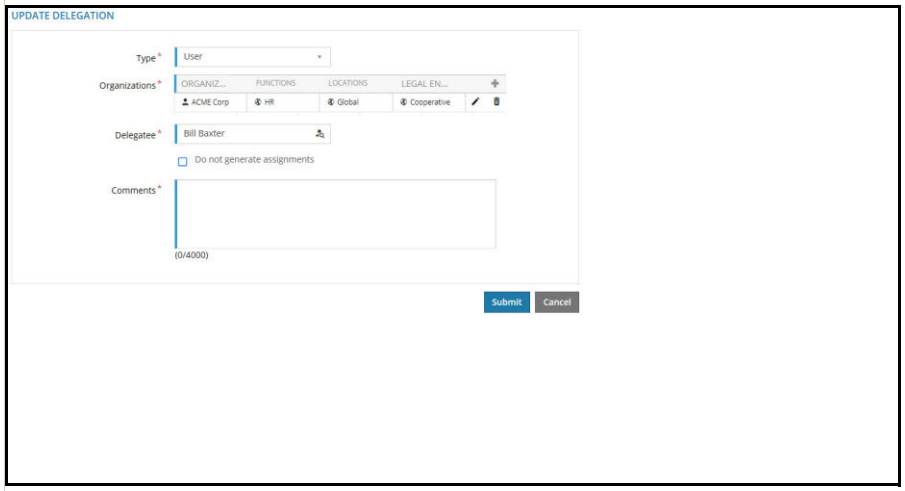
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** pop-up window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate actions to a role associated with the selected organization. o User: Select this to delegate actions to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate actions to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current action to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments. When the check box is selected, you cannot access the assignments from **My Tasks.** However, you can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Delegation** window. For more information, see Delegating Actions.

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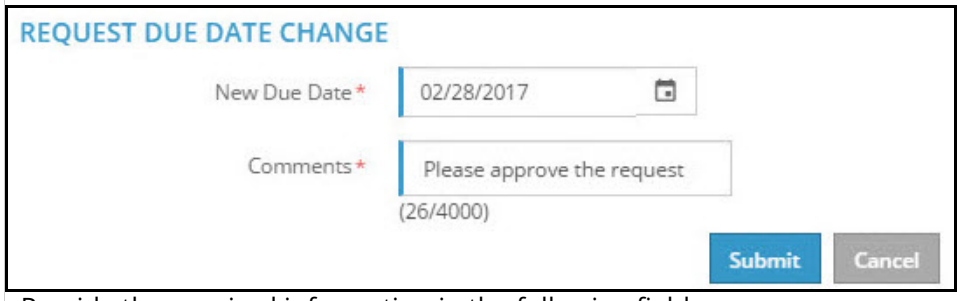
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears. The available fields are: • **Type**: Displays the type of delegation. • **Organizations**: Displays the selected organization for delegation. • **Delegatee**: Displays the name of the existing delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Remove Delegation** window.
Request Due Date Change	Select this option to request the issue owner for additional time. The **Request Due Date Change** pop-up window appears.  Provide the required information in the following fields: • **New Due Date**: Enter the new due date. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Due Date Change** window. For more information, see Requesting Action Due Date Change.

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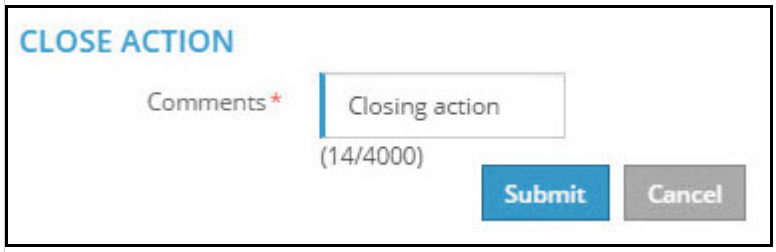
Field/List Name	Description
Close Action *(appears only when you select No Approver in the **Action Approval By** field of the **Issue** form)*	Select this option to close the current action. The **Close Action** pop-up window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Close Action** window.
Send for Approval	Select this option to send the form for approval. The **Send for Approval** pop-up window appears. **Note:** You can select this option once all the proposed actions have been completed. The available fields are: • **Approver**: Displays the name of the approver. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Send for Approval** window.

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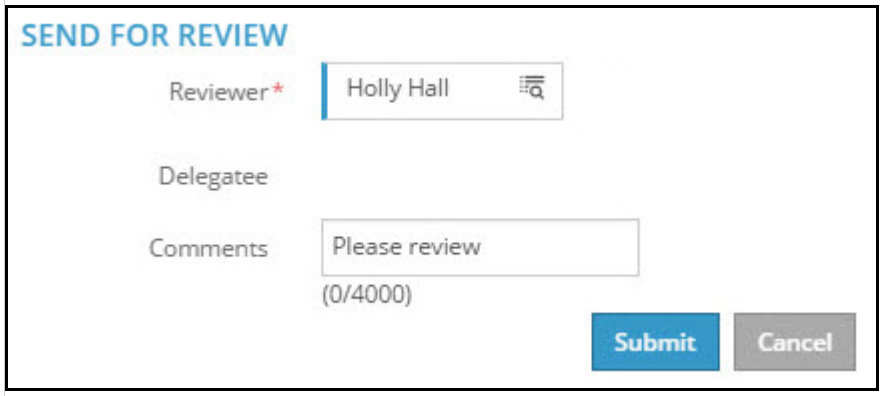
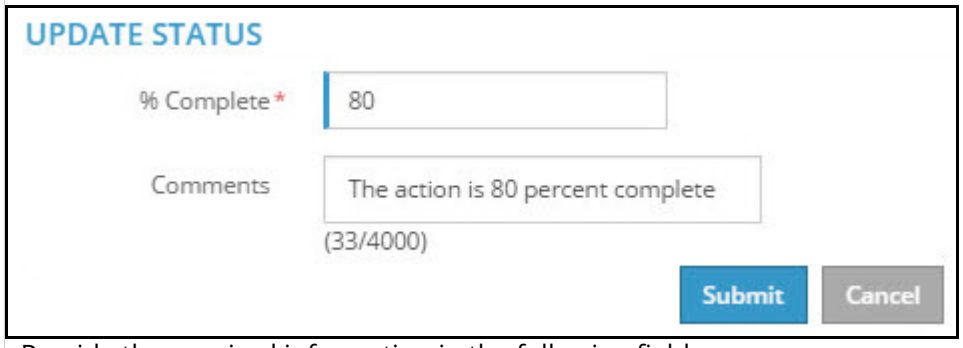
Field/List Name	Description
Send for Review	Select this option to send the form to the action reviewer for review. The **Send for Review** pop-up window appears.  Provide the required information in the following fields: • **Reviewer**: Select the name of the action reviewer. The users with the activity **ISM Review Action** are available for selection. • **Delegatee**: Displays the name of the delegatee, if any. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Send for Review** window.
Update Status	Select this option to update the status of the progress made in completing the action. The **Update Status** pop-up window appears.  Provide the required information in the following fields: • **% Complete**: Type the percentage of action completed. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Status** window. For more information, see Updating Action Status.

Requesting Action Due Date Change

At the implement action stage, you can request for a change in the action due date by selecting the **Request Due Date Change** option from the **Submit** drop-down list of the **Action** form. For more information on the different actions and their descriptions, see Actions in Action Form.

The number of times the action due date can be extended is determined by the value configured in the parameter. By default, the value of the parameter is set to **99**. Contact your system administrator to manage parameters.

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For example, if the value set for the parameter is **5**, then the action owner can request for action due date extension only for five times. When the action owner requests for action due date extension for the fifth time (after four approvals or rejections of due date extension requests), a message "Last Due Date Extension allowed" appears. When the action owner requests for action due date extension beyond the value specified in the parameter, an error message "No Further Due Date extensions allowed" appears.

Delegating Actions

At the implement action stage, you can delegate the action to a delegatee by selecting the **Delegate Action** option from the **Submit** drop-down list of the **Action** form. The delegate action option is not available if the form is already delegated to a delegatee.

- The action owner can delegate the form assigned to any other user within the organization but retains a copy of the assignment. Both the action owner and the delegatee can work on their respective assignments.
- The assigned delegatee can edit the **Action** form and can work on the assignment; however, the ownership of the action remains with the action owner.
- The name of the delegatee and the comments provided by the delegatee is displayed in the **Comments History** report.
- When the action is sent for approval, if the approver requests for clarification, then, the copy of the request clarification assignment is sent to the action owner and the delegatee.
- The delegator can withdraw the delegation or assign a new delegatee.

The action owner can delegate the action to a user, role, or both users and roles.

- Role: If the delegation type is role, the action is delegated to a role associated with the selected organization.
- User: If the delegation type is user, the action is delegated to a delegatee associated with the selected organization.
- Roles and Users: If the delegation type is both Roles and Users, the action is delegated to a role associated with the selected organization. You can also select a delegatee associated with the selected role and organization.

The action owner can select to generate non-assignment based access to the Delegatees by selecting the **Do not Generate** check box, while delegating the action. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report.

The following options are available to the action owner, only if the action is already delegated to a delegatee:

- Update Delegation
- Remove Delegation

For more information on the different actions and their descriptions, see Actions in Action Form.

Updating Action Status

At the implement action stage, you can update the action status by selecting the **Update Status** option from the **Submit** drop-down list of the **Action** form. For more information on the different actions and their descriptions, see Actions in Action Form.

The action owner can provide the comments, if any, and update the action status periodically until the action is completed. The action status is updated in terms of percentage.

The status updated in terms of percentage in the **Action** form is updated in **Issue** form in the monitor issue stage. The action owner updates the status to indicate the progress being made in implementing the action. This status is also is also updated in the **Actions** reports and once the action is closed, the updated status is withdrawn from the report.

These details help the issue owner or anyone who has access to the **Issue** form (in the monitor issue stage) and the **Issues** and **Actions** reports, to fetch the latest updates.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Send for Approval	Action approver	Action approver
Update Status	Not Applicable	Action owner CC: Delegatee
Send for Review	Action reviewer	Action reviewer
Request Due Date Change	Issue owner	Issue owner
Delegate Action	Delegatee and the assignment remains with the action owner	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee
Close Action	Not Applicable	Not Applicable

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Actions Report
- Detailed Actions Report
- My Actions Report
- Comments History Report
- Change History Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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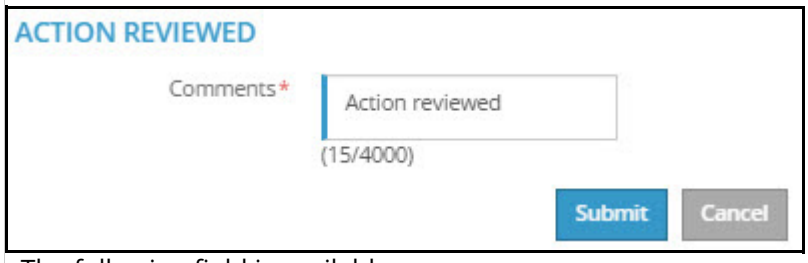
Reviewing Actions

When the action owner submits the form for review, the **Action** form is assigned to the action reviewer for review. The action reviewer reviews the implemented actions and sends the form back to the action owner.

To review actions, access the required assignment from My Tasks.

Workflow Changes

At the review action stage, most of the sections of the **Action** form are the same as implement action stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Implementing Action Items.

Field/List Name	Description
Header	
Status	Displays the status of the action as **Pending Review**.
Actions	
Action Reviewed button	By default, the **Action Reviewed** button is available. Click this button to submit the form after reviewing the action.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Action Reviewed** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Action Reviewed	Action owner	Action owner

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Actions Report
- Detailed Actions Report
- My Actions Report
- Comments History Report
- Change History Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For information on reports and charts that are impacted at this stage, see Related Reports and Charts.

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Monitor Issues

Once the issue has been reported and appropriate actions have been initiated, it is important to monitor the issues and the associated actions in order to track the course of action taken to resolve the issue. You can monitor issues by tracking the status of actions or by updating the status of the issue.

Sections:

- Workflow
- Monitoring Issues
- Approving Issue Due Date Change Requests
- Approving Action Due Date Change Requests
- Approving Risk Acceptance
- Reviewing Risk-Accepted Issues
- Reopening Actions
- Approving Actions
- Initiating Ad-Hoc Actions

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Workflow

The following figure illustrates the workflow process involved in monitoring an issue. For more information on the overall workflow, see Issues Workflow.

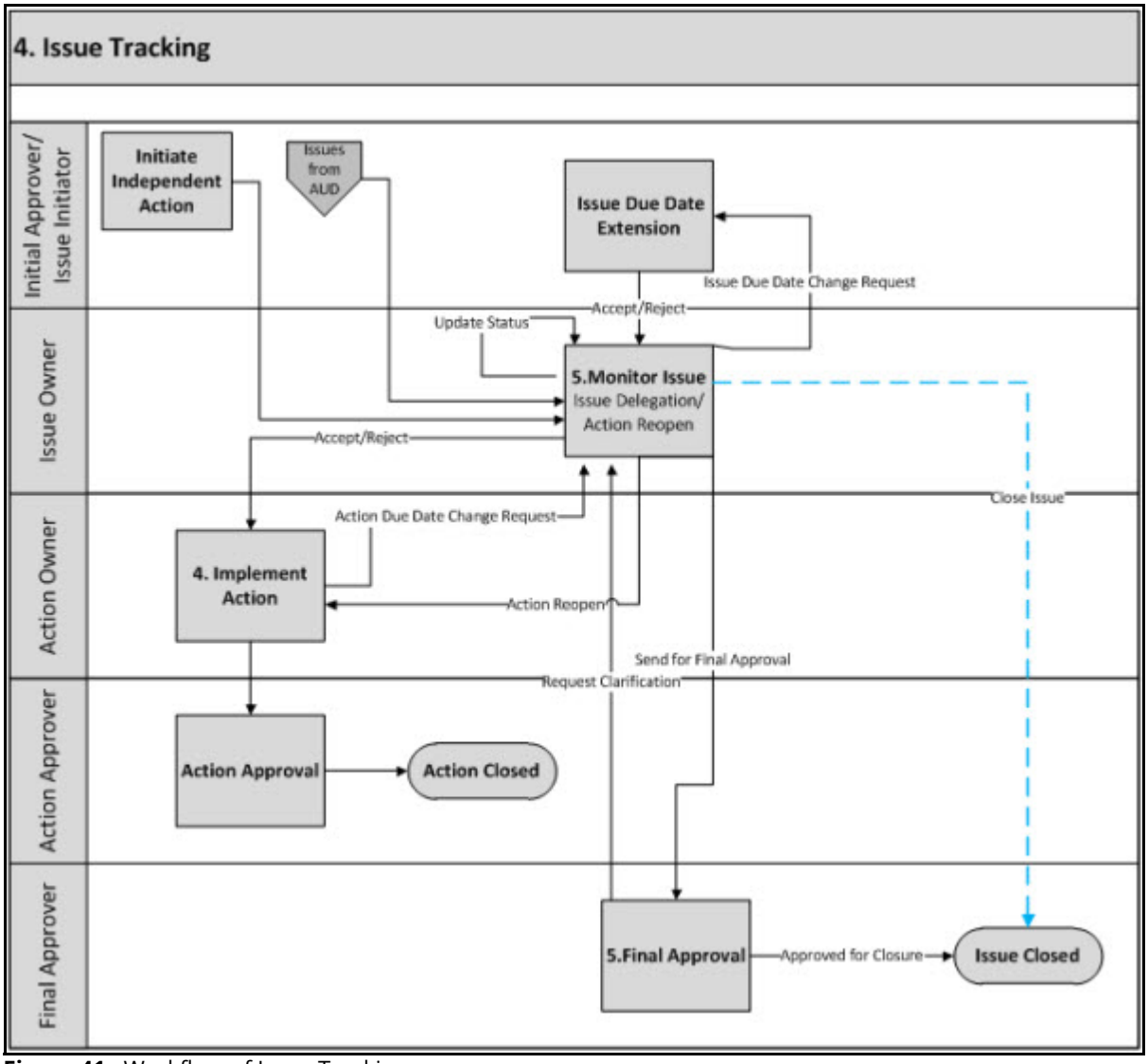

Figure 41 Workflow of Issue Tracking

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Monitoring Issues

When the actions are triggered to the respective action owners (in the manage issue stage), the **Issue** form in the monitor issue stage is assigned to the issue owner. At the monitor issue stage, the **issue owner** uses the **Issue** form to track the status of the actions associated with the issue and also to optionally update the status of the issue.

In the monitor issue stage, once all the actions have been closed, you can automatically submit the issue for final approval based on a configuration parameter.

Note: Contact your system administrator to manage parameters.

To monitor issues, access the required assignment from My Tasks.

Workflow Changes

At the monitor issue stage, most of the sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Action Plan Implementation**.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Action Plan	
Add Action link	Click this link to initiate ad hoc actions from the monitor issue stage. For more information, see Action Plan section of Action Form.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary *(mandatory when you select the **Close Issue** option from the **Submit** drop-down list)*	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed description of the resolution summary. You can also attach documents and images, if required.
Actions Click **Submit** to view the actions that are available at this stage.	

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Field/List Name	Description
Update Status	Select this option to update the status of the progress made in completing the issue. The **Update Status** window appears. The available fields are: • **Status**: Select the status of the issue. The following values are available: o Delayed o Likely Delayed o On Track **Note:** The values in the **Status** field can be configured based on your requirement. Contact your system administrator to manage LOV configurations. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Once you submit the form, the issue status is updated in the **Issues** report. **Notes:** - Click **Cancel** to discard changes and close the **Update Status** window. - The status that you update is withdrawn upon issue closure.

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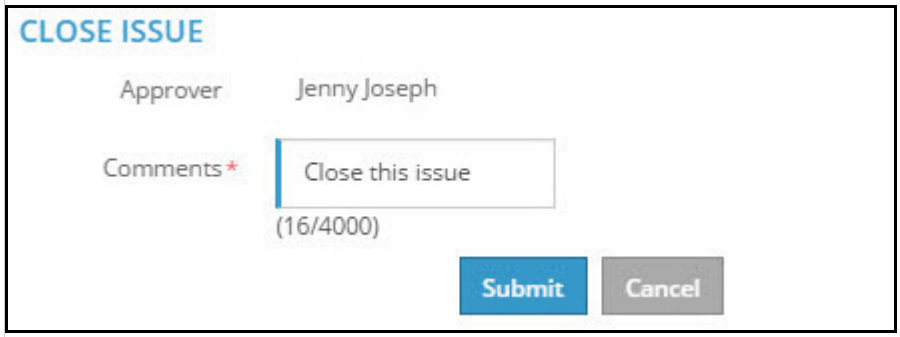
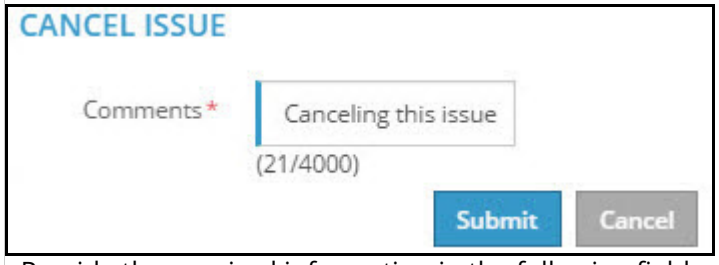
Field/List Name	Description
Close Issue *(appears only when all the actions associated with the issue have been completed)*	Select this option to close the current issue. The **Close Issue** window appears.  The available fields are: • **Approver**: Displays the name of the approver. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Close Issue** window. The issue owner can select this option and submit the form only if the issue has already been remediated. Once submitted, the **Issue** form is sent to the final approver if the final approval stage is enabled. The issue is closed after the final approval. For more information on closing the issue, see Remediating Issues. **Note:** To close the issue, it is mandatory to provide the issue resolution summary in the **Issue Resolution Summary** field.
Cancel Issue	Select this option to cancel the issue from the module. The **Cancel Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** The issue is submitted for approval for cancellation. After the current issue is canceled, all the underlying actions are revoked. The issue owner can cancel issues only if the underlying actions are not locked. Once submitted, the **Issue** form is sent to the initial approver if the initial approval stage is enabled. If the initial approval stage is not enabled, it is sent to the action plan approver. If both the initial approval and the action plan approval stages are not enabled, it is sent to the final the final approver. If none of the approval stages are enabled, the issue owner can cancel the issue without approval. **Note:** Canceled issues cannot be re-opened.

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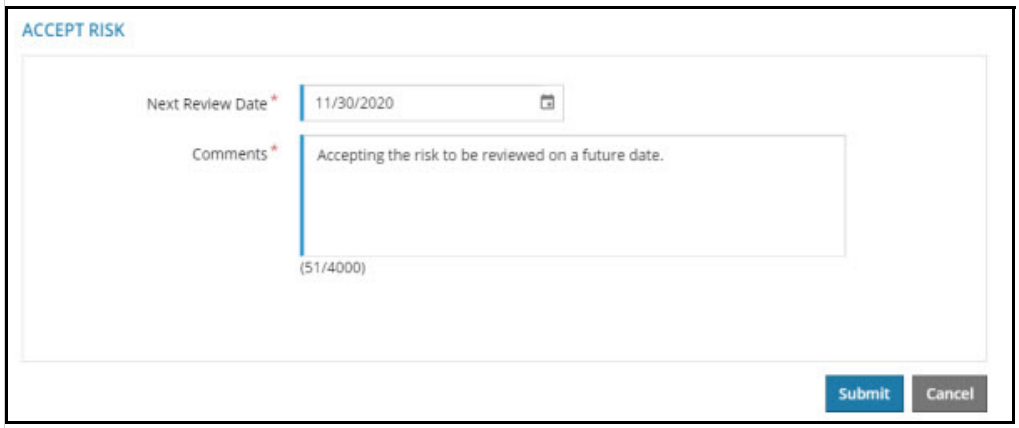
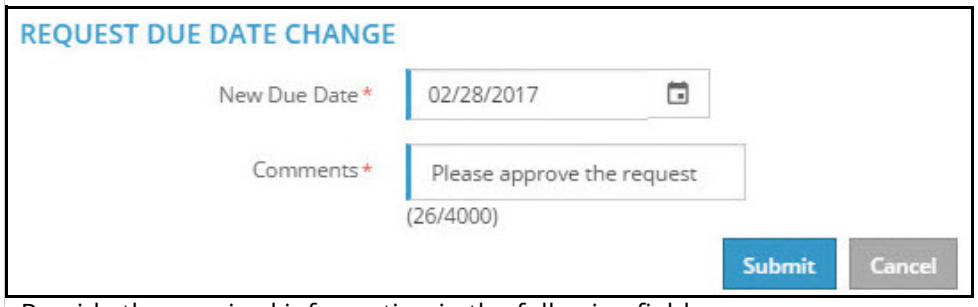
Field/List Name	Description
Accept Risk *(displays only when **Enable Issue Risk Acceptance parameter** is enabled)*	Select this option to accept the risk posed by an issue and provide a new date to revisit the issue. The issue owners or the delegates can accept the risk and send to the initial approver for approval. If the initial approver is disabled, this request is sent to the action plan approver. If the action plan approver is disabled, then the request is sent to the final issue approver. **Note:** The issue will be auto approved when there are no approvers available. When you select this option, the **Accept Risk** window appears.  Provide the required information in the following fields: • **Next Review Date**: Select a new date to revisit the issue. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Accept Risk** window.
Request Due Date Change	Select this option to request for an issue due date change. The issue owner sends the issue due date change request to the initial approver. If the initial approver is disabled, this request is sent to the issue initiator. When you select this option, the **Request Due Date Change** window appears.  Provide the required information in the following fields: • **New Due Date**: Enter the new due date. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Due Date Change** window.

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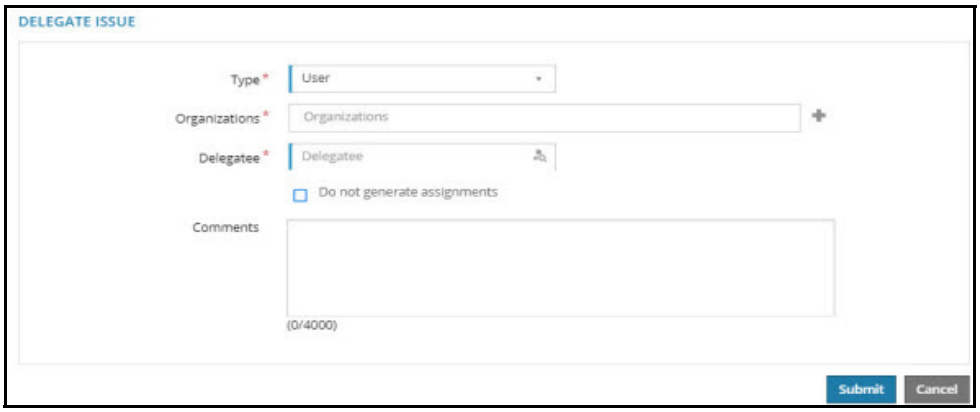
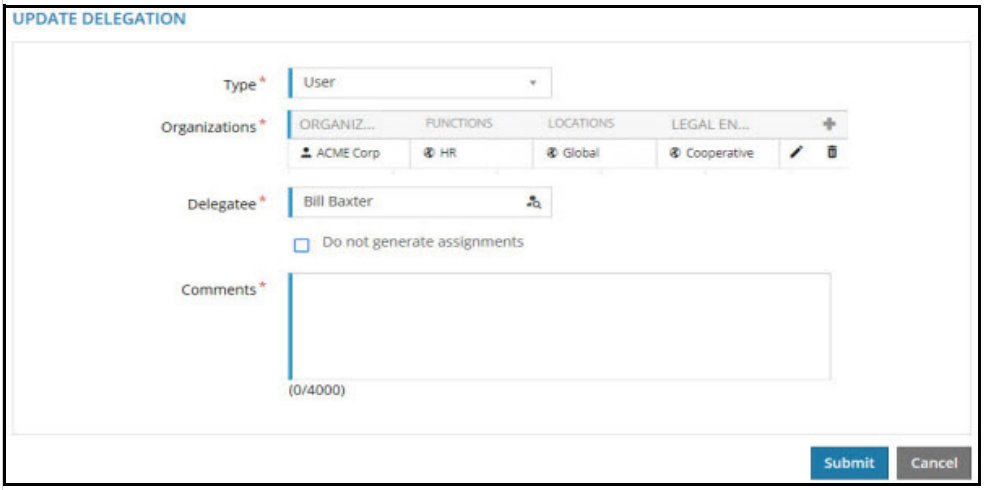
Field/List Name	Description
Delegate Issue	Select this option to delegate the current issue. The **Delegate Issue** pop-up window appears.  Provide the required information in the following fields: • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Delegate Issue** window. - This option is not available if the form is already auto delegated. For more information, see Delegating Issues in Monitor Issue Stage.
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Provide the required information in the following fields: • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Delegation** window.

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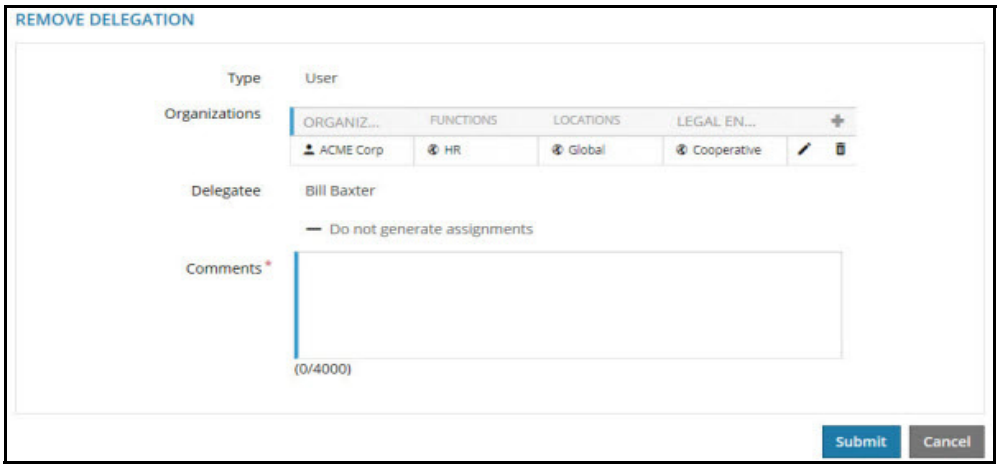
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Delegatee**: Displays the name of the existing delegatee. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Remove Delegation** window. For more information on delegating issue, see Delegating Issues in Monitor Issue Stage.

Delegating Issues in Monitor Issue Stage

At the monitor issue stage, you can delegate the issue to a delegatee by selecting the **Delegate Issue** option from the **Submit** drop-down list of the **Issue** form. The **Delegate Issue** option is not available if the form is already delegated to a delegatee.

Once you delegate the issue, the selected delegatee can edit the **Issue** form and work on the assignment. However, the **Issue** form remains with the issue owner and is also available to the delegatee, but as soon as one of them works on the assignment and submits the form, the assignment is withdrawn from the other user. For example, if the delegatee works on the assignment and submits the **Issue** form first, then the assignment is withdrawn from the issue owner.

When the **Issue** form is sent for closure, if the final approver requests for clarification, then, the **Issue** form is assigned to both the issue owner and the delegatee.

Once the issue is delegated to a delegatee, the delegator can either update delegatee or remove the existing delegatee by selecting one of the following actions:

- Update Delegation
- Remove Delegation

For more information on the different actions and their descriptions, see Actions.

When the **Issue** form is assigned to the delegatee, the delegatee can perform the following actions:

- Update Status
- Request Due Date Change
- Close Issue

Note: The delegatee cannot further delegatee the issue.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Update Status	Not Applicable	Issue Owner CC: Delegatee
Delegate Issue	Delegatee and the assignment remains with the issue owner	Delegatee
Update Delegation	New delegatee	New delegatee
Remove Delegation	Not Applicable	Delegatee
Request Due Date Change	• Initial approver • Issue initiator, if the Initial approver stage is not enabled	• Initial approver • Issue initiator, if the Initial approver stage is not enabled
Close Issue	Final approver	Final approver
Cancel Issue	• Initial approver, if the Initial approver stage is enabled. • Action plan approver, if the Initial approver stage is not enabled • Final approver, if both the Initial approver and the Action plan approver stages are not enabled • Not Applicable, if none of the approver stages is enabled.	• Initial approver, if the Initial approver stage is enabled • Action plan approver, if the Initial approver stage is not enabled • Final approver, if both the Initial approver and the Action plan approver stages are not enabled • Issue Owner, Delegatee, Action owner, if none of the approver stages is enabled CC: Issue Owner, Delegatee, Action Owners
Accept Risk	Initial Approver or Action Plan Approver or Final Approver	• Risk Acceptance Approvers/ Delegatees

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- My Issues Report
- Open Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report
- Detailed Issues and Actions Report

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Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Issue Due Date Change Requests

The **Issue Due Date Change** form is assigned to the initial approver when the issue owner requests for a change in issue due date by selecting the **Request Due Date Change** option from the **Submit** drop-down list of the **Issue** form. By using the **Issue Due Date Change** form, the initial approver can either approve the issue due date change request or reject it. If the initial approver is disabled, this form is sent to the issue initiator.

To approve issue due date change requests, access the required assignment from My Tasks.

Header of Issue Due Date Change Form

The header provides a quick overview about the issue. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Issue Due Date Change Form.

Figure 42 Header of Issue Due Date Change Form

General section of Issue Due Date Change Form

Use the **General** section to view issue details, classification and other source details.

Figure 43 General section of Issue Due Date Change Form

Field/List Name	Description
Issue Details	
Title	Displays the name of the issue.
Status	By default, displays the status as **Open**. For more information, see Actions and Statuses Available in Forms.

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Field/List Name	Description
Identified On	Displays the date on which the issue was identified.
Due Date	Displays the issue due date details in the following fields: • **Due Date**: Displays the date by which the issue is expected to be resolved. • **Date Extensions**: Displays the number of approved issue due date extensions. **Note:** The **Date Extensions** field appears only if issue due date extension request has been made in the past.
Requested Due Date	Displays the new due date that is proposed.
Description	Displays the description of the issue.
Classification	
Rating	Displays the rating of the issue.
Source	
Source	Displays the details of the source of the issue in the following fields: • **Source Type**: Displays the relevant source type of the issue. • **Source**: Displays the source of the issue.

Actions in Issue Due Date Change Form

The following table describes the actions that you can perform after entering all the details in the form.

Field/List Name	Description
Actions Click **Submit** to view the actions that are available at this stage.	

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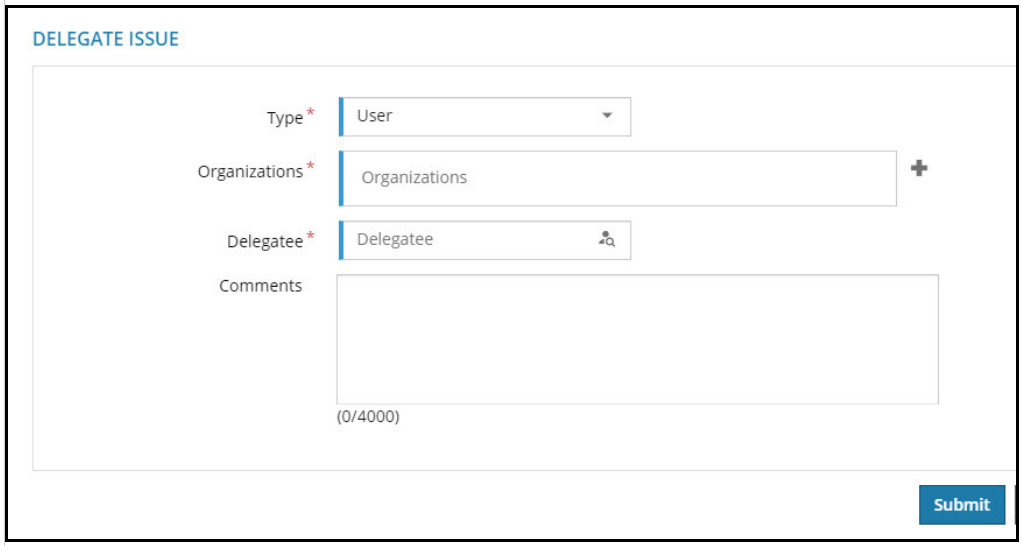
Field/List Name	Description
Delegate Issue	Select this option to delegate the issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization.ser: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Delegate Issue** window.

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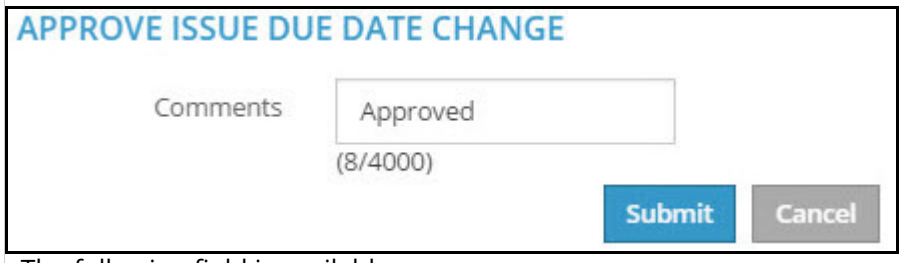
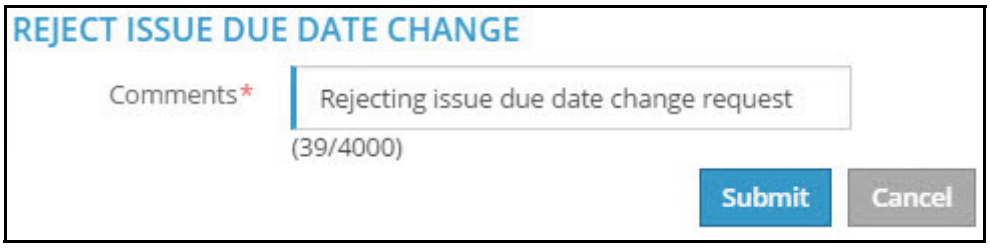
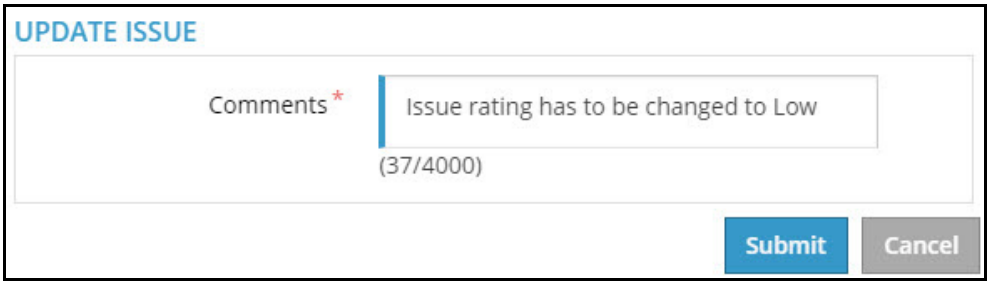
Field/List Name	Description
Approve Issue Due Date Change	Select this option to approve the issue due date change request. The **Approve Issue Due Date Change** window appears.  The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Approve Issue Due Date Change** window.
Reject Issue Due Date Change	Select this option to reject the issue due date change request. The **Reject Issue Due Date Change** window appears.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Reject Issue Due Date Change** window.
Update Issue	Select this option to provide your comments about the issue. When one of the approvers submits the updates, it is made available to the other approvers associated with the same issue. The **Update Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Once you submit the form, these comments will be displayed in the **Comments History** report. **Note:** This option is available when the parameter 'Enable role based assignments for approvers in issues' is set to Yes.

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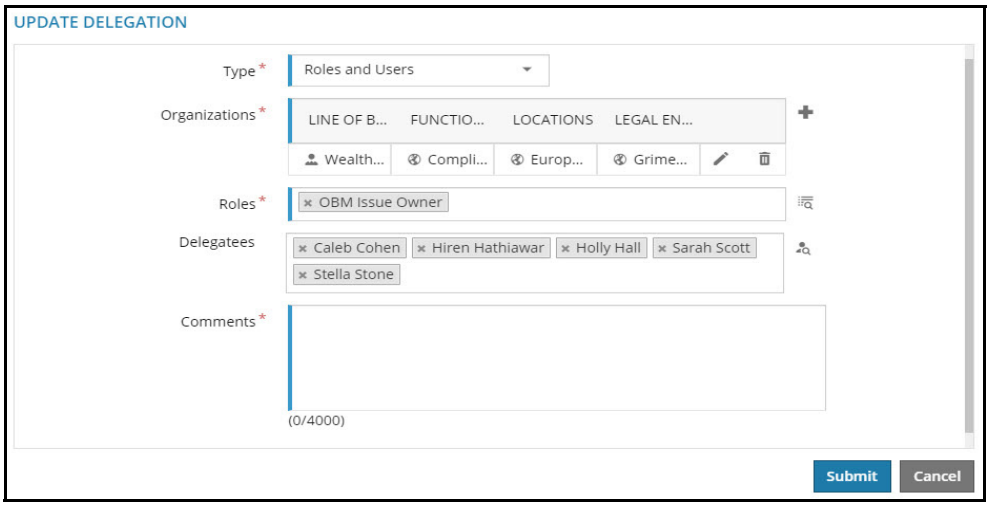
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Roles:** Displays the roles. • **Delegatee:** Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears. The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Roles:** Displays the roles. • **Delegatee**: Displays the name of the existing delegatee. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window. For more information on delegating issue, see Delegating Issues in Monitor Issue Stage.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Approve Issue Due Date Change	Not Applicable	Issue Owner CC: Delegatee
Reject Issue Due Date Change	Not Applicable	Issue Owner CC: Delegatee
Delegate Issue	Delegatee and the assignment remains with the initial approver	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee

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Action Selected	Assigned To	E-Mail Sent To

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- My Issues Report
- Open Issues Report
- Comments History Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Action Due Date Change Requests

The **Action Due Date Change** form is assigned to the issue owner when the action owner requests for a change in action due date by selecting the **Request Due Date Change** option from the **Submit** drop-down list of the **Action** form. By using the **Action Due Date Change** form, the issue owner can either approve the action due date change request or reject it. To approve action due date change requests, access the required assignment from My Tasks.

Header of Action Due Date Change Form

The header provides a quick overview about the action. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Action Due Date Change Form. For more information on the header, see Header.

Figure 44 Header of Action Due Date Change Form

General section of Action Due Date Change Form

Use the **General** section to view the basic details of the action, its due date and other issue-related information.

Figure 45 General section of Action Due Date Change Form

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Field/List Name	Description
Action Details	
Title	Displays the title of the action.
Status	By default, displays the status as **Open**. For more information, see Actions and Statuses Available in Forms.
Start Date	Displays the start date of the action.
Due Date	Displays the current and the original due dates in the following fields: • **Due Date**: Displays the date by which the action is due. • **Original Due Date**: Displays the original date by which the action was expected to be completed. • **Date Extensions**: Displays the number of approved action due date extensions. **Note:** The **Date Extensions** field appears only if action due date extension request has been made in the past.
Requested Due Date	Displays the new due date that is requested.
Issue Title	Displays the name of the issue.
Issue Due Date	Displays the date on which the issue is due.
Approval By	Displays who approves the issue.
Description	Displays the description of the action.
Action Owner	Displays the name of the action owner.
Approver *(appears only if the approver is defined)*	Displays the name of the action approver.
Priority	Displays the priority of the action

Actions in Action Due Date Change Form

The following table describes the actions that you can perform after entering all the details in the form.

Field/List Name	Description
Actions Click **Submit** to view the actions that are available at this stage.	

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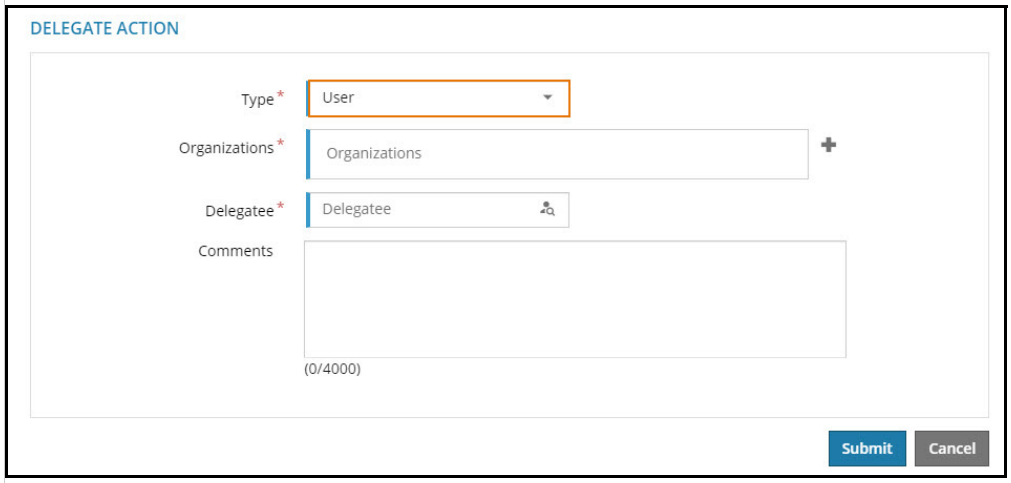
Field/List Name	Description
Delegate Action	Select this option to delegate the action. The **Delegate Action** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Delegate Issue** window.

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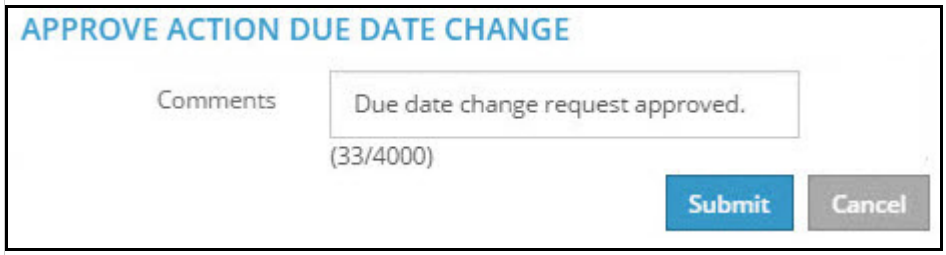
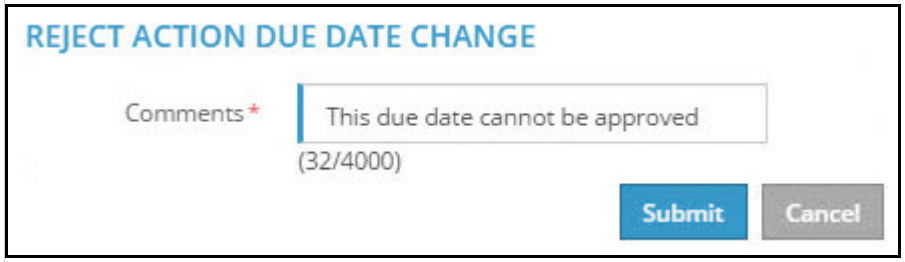
Field/List Name	Description
Approve Action Due Date Change	Select this option to approve the action due date change request. The **Approve Action Due Date Change** window appears.  The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Approve Action Due Date Change** window. - You cannot approve the due change request if the requested action due date is greater than issue due date.
Reject Action Due Date Change	Select this option to reject the action due date change request. The **Reject Action Due Date Change** window appears.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Reject Action Due Date Change** window.

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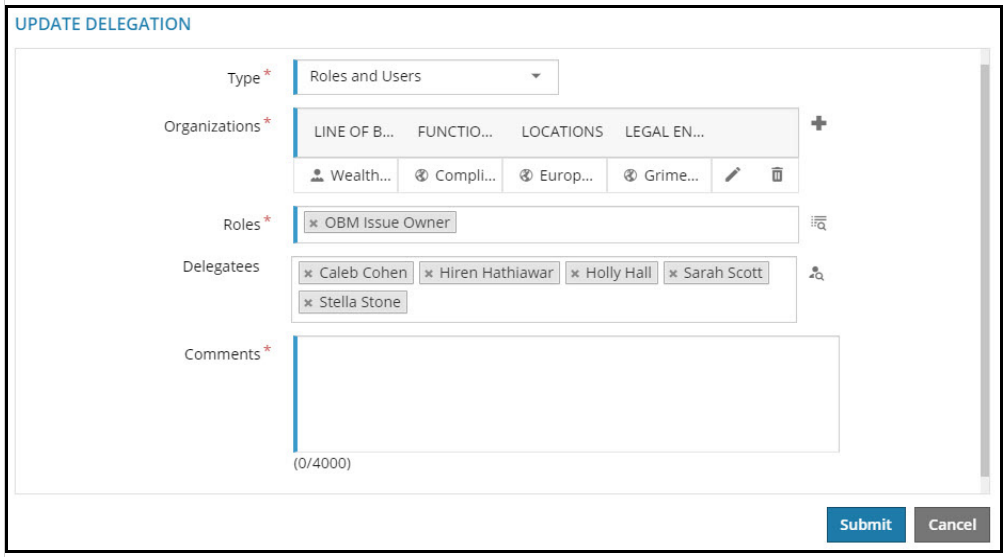
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Roles:** Displays the roles. • **Delegatee: Select the user to whom you want to delegate the current issue to.** • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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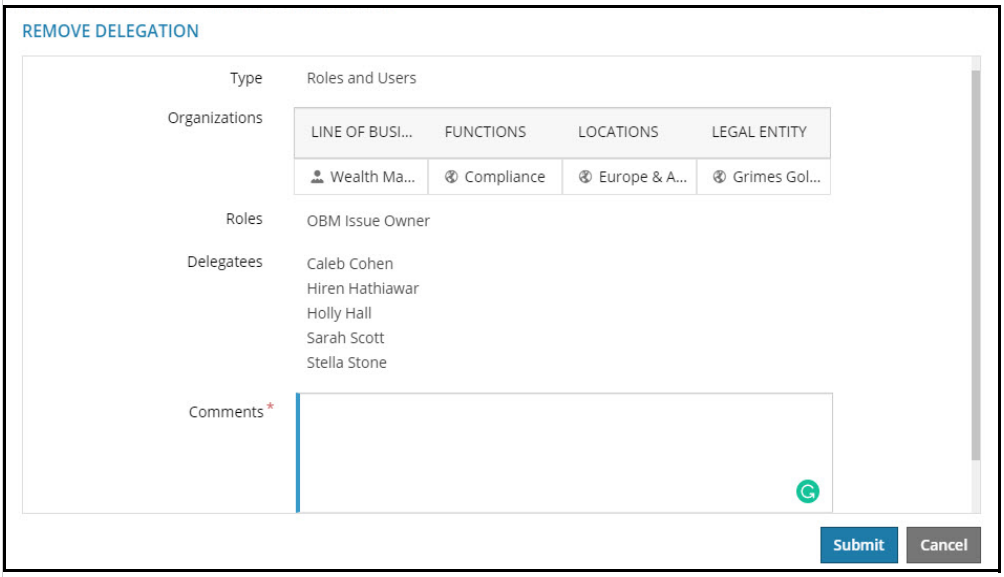
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Roles:** Displays the roles. • **Delegatee**: Displays the name of the existing delegatee. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Approve Action Due Date Change	Not Applicable	Action Owner CC: Delegatee
Reject Action Due Date Change	Not Applicable	Action Owner CC: Delegatee
Delegate Action	Delegatee and the assignment remains with the issue owner	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Open Issues Report
- Detailed Issues and Actions Report
- My Issues Report
- Actions Report
- Detailed Actions Report
- My Actions Report
- Comments History Report
-

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Risk Acceptance

The **Approving Risk Acceptance** form is assigned to the initial approver when the issue owner accepts a risk. By using the **Approving Risk Acceptance** form, the initial approver can either approve the request or send it for clarification or delegate it. If the initial approver is disabled, this form is sent to the action plan approver. if the action plan approver is disabled then it is sent to the final approver.

To approve risk acceptance, access the required assignment from My Tasks.

Note: When the risk is accepted during this stage, the actions on the issue will be withdrawn.

Header of Approving Risk Acceptance Form

The header provides a quick overview about the issue. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Approving Risk Acceptance Form.

Figure 46 Header of Approving Risk Acceptance Form

General section of Approving Risk Acceptance Form

Use the **General** section to view issue details, classification, and source details.

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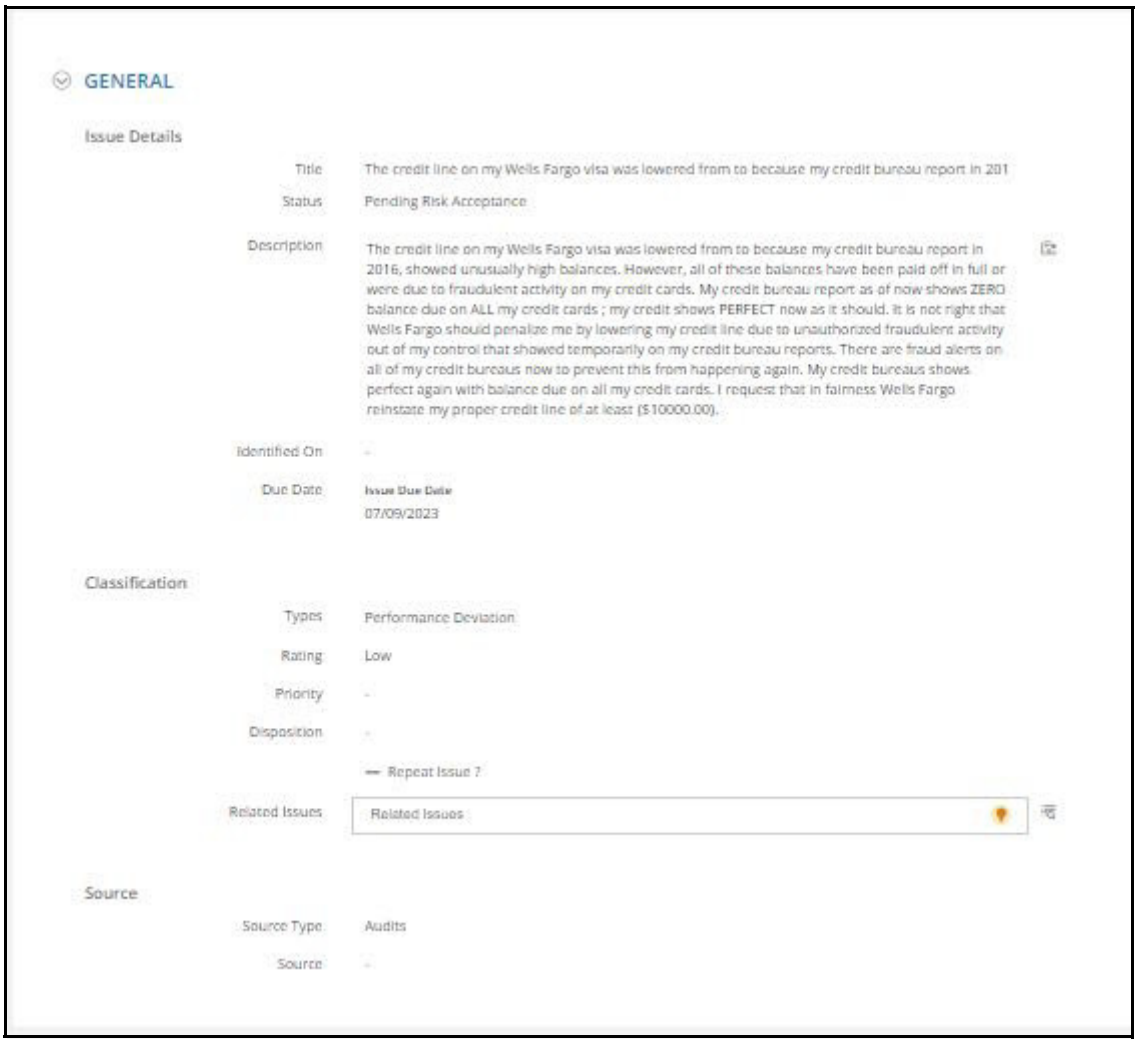

Figure 47 General section of Approving Risk Acceptance Form

Field/List Name	Description
Issue Details	
Title	Displays the name of the issue.
Status	By default, displays the status as **Pending Risk Acceptance**.
Description	Displays the description of the issue.
Identified On	Displays the date on which the issue was identified.
Due Date	Displays the issue due date.
Classification	
Types	Displays the issue type.
Rating	Displays the rating of the issue.
Priority	Displays the priority of the issue as high, medium, or low.
Disposition	Displays either of the options if any; reportable, non-reportable, or reportable (already addressed)
Related Issues	Displays related issues if any.
Source	

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Field/List Name	Description
Source	Displays the details of the source of the issue in the following fields: • **Source Type**: Displays the relevant source type of the issue. • **Source**: Displays the source of the issue.

Ownership and Security Section of Approving Risk Acceptance Form

Use the **Ownership and Security** section to view the appropriate owners and approvers for the issue.

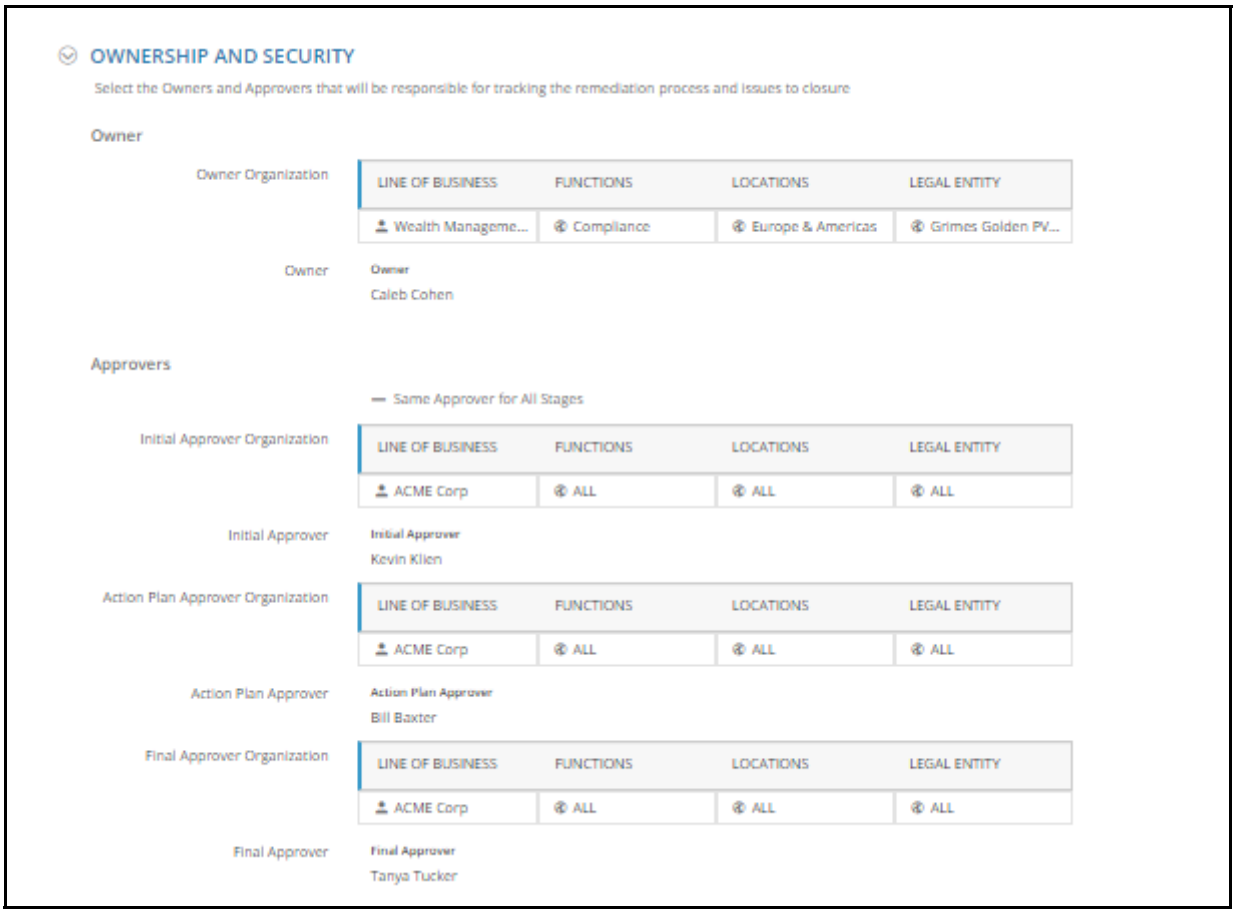

Figure 48 Ownership and Security section

Field/List Name	Description
Owner	Displays the owner and owner organization of the issue. • **Owner Organization**: Displays the owner organization responsible for maintaining the issue. This field displays the various levels of organizations available to the current user. • **Owner**: Displays the owner of the issue. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are displayed.
Initial Approver	Displays the initial approver responsible for approving risk acceptance for the issue. • **Initial Approver Organization**: Organization to which the initial approver of the issue belongs. • **Initial Approver**: Initial approver to approve the risk acceptance pertaining to the issue.

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Field/List Name	Description
Action Plan Approver	Displays the action plan approver responsible for approving the risk acceptance for the issue. • **Action Plan Approver Organization**: Organization to which the action plan approver of the issue belongs. • **Action Plan Approver**: Action plan approver to approve the risk acceptance pertaining to the issue.
Final Approver	Displays the final approver details in the following fields: • **Final Approver Organization**: Organization to which the final approver of the issue belongs. • **Final Approver**: Final approver to approve the risk acceptance for the issue.

Relationships section of Approving Risk Acceptance Form

Use the **Relationships** section to associate current issue with the relationship framework options such as organizations, areas of compliance, risks and so on.

Note: The 'Organization' and 'GRC library content' together are known as relationship framework options.

If a user is assigned to **View issues by related to org** activity, then only the issues related to the organizations associated in this section are displayed in the respective reports. However, based on a configuration parameter, parent organizations can view issues associated with their child organizations.

For more information on the report security, see Privileges to View Data in Reports.

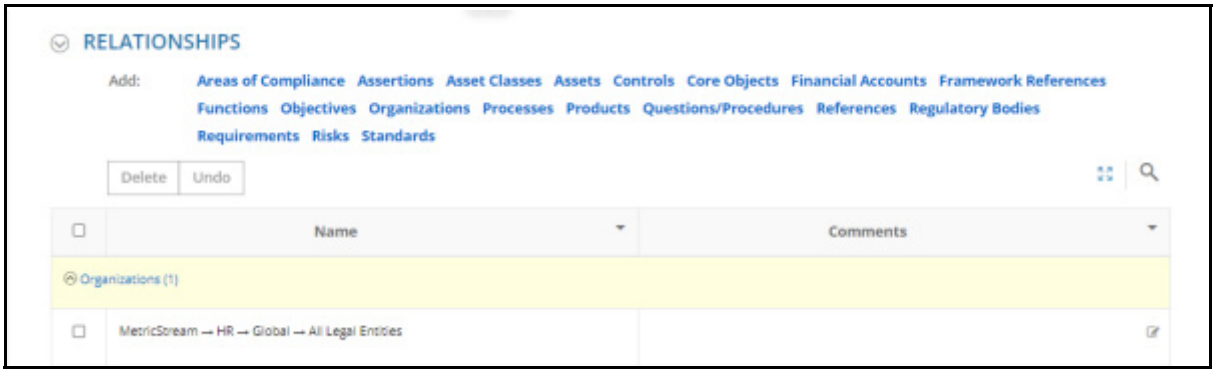

Figure 49 Relationships section of the form

Field/Column Name	Description
Displays the related organization, core objects, and other GRC library content associated with the issue. **Notes:** - The name of the report varies based on the selected link. - If the GRC library item is associated with levels, then the levels are also displayed in the window. You can expand the parent item to select the child item. The selected items appear in the tabular format:	

Field/Column Name	Description
Tabular format details:	
Name	Displays the name of selected object.
Comments	Displays the comments, if any, regarding the added object.

Action Plan section of Approving Risk Acceptance Form

Use the **Action Plan** section to view action plan, action owner and other details of the action.

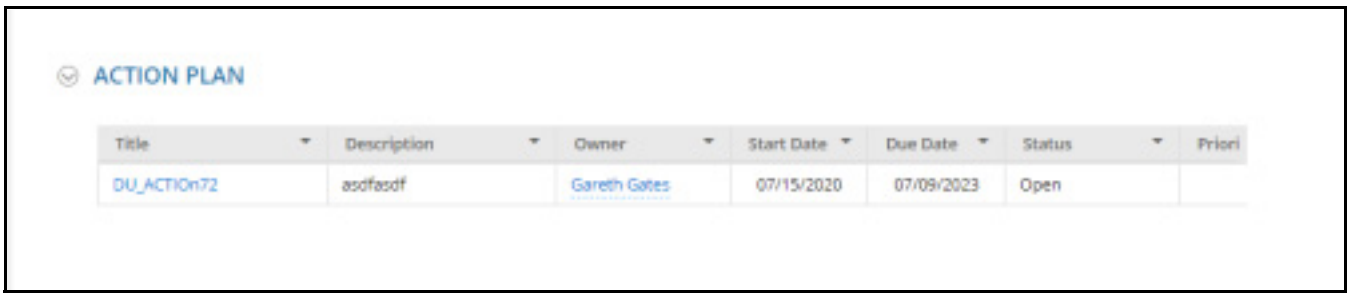

Figure 50 Action Plan section of the Form

Field/Column Name	Description
Title	Displays the action title for the initiated issue. **Note:** Click the link to view the action form.
Description	Displays the detailed description of the action.
Owner	Displays the user from the selected action owner business. **Note:** On form submission, the selected action owner gets an assignment to work on the action plan.
Start Date	Displays the start date of the action.
Due Date	Displays the date by when the action should be completed.
Status	Displays the status of the issue.
Priority	Displays the priority of the action as high, medium, or low.
% Completion	Displays the value of completion of the action
Approver	Displays the name of the approver for risk acceptance of the issue.
Final Approver	Displays the name of the final approver.
Comments	Displays additional remarks on the issue.
Reopen Action	Displays the comments on reopening an action.

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Additional Details in Approving Risk Acceptance Form

Use the **Additional Details** section to view additional details about the issue.

Figure 51 Additional Details section

Field/List Name	Description
Exception Type	Displays a relevant issue exception type is any.
Impact and Likelihood	Displays the impact and likelihood of the issue on the organization as high, medium or low.
Loss/Gain	Displays whether the current issue is a loss or gain to the organization.
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Attachments	You can attach relevant files by clicking the Folder icon or view if a file is already available. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

Resolution Summary in Approving Risk Acceptance Form

Use this section to view or provide a resolution summary:

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Field/List Name	Description
Issue Resolution Summary	View or provide a detailed resolution summary. You can also attach documents and images, if required. Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears.

Actions in Approving Risk Acceptance Form

The following table describes the actions that you can perform after entering all the details in the form.

Field/List Name	Description
Actions Click **Submit** to view the actions that are available at this stage.	
Request Clarification	Select this option to request clarification about accepting the risk of the issue. The window **Request Clarification** appears. The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.

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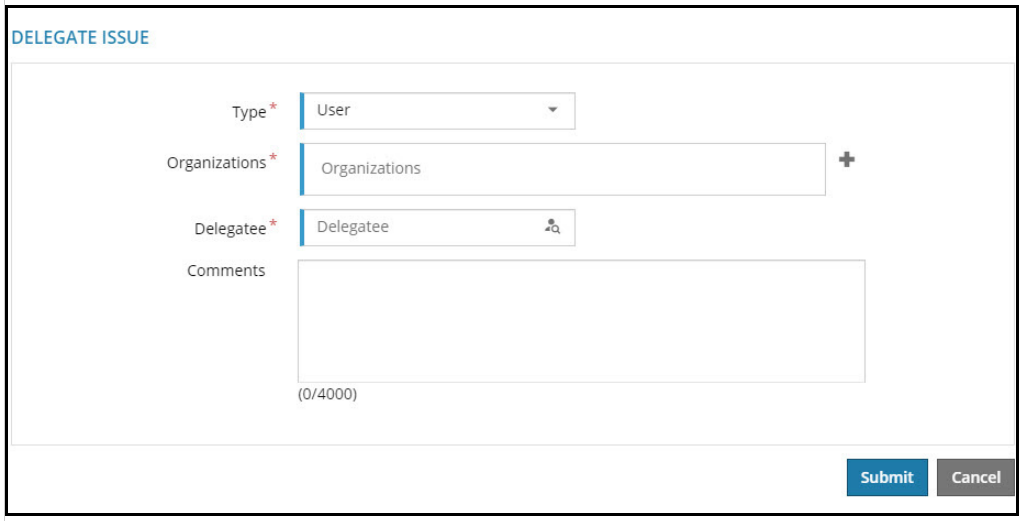
Field/List Name	Description
Delegate Issue	Select this option to delegate the issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization.ser: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Delegate Issue** window.

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Field/List Name	Description
Approve Risk Acceptance	Select this option to approve risk acceptance. The **Approve Risk Acceptance** window appears. The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Approve Risk Acceptance** window.

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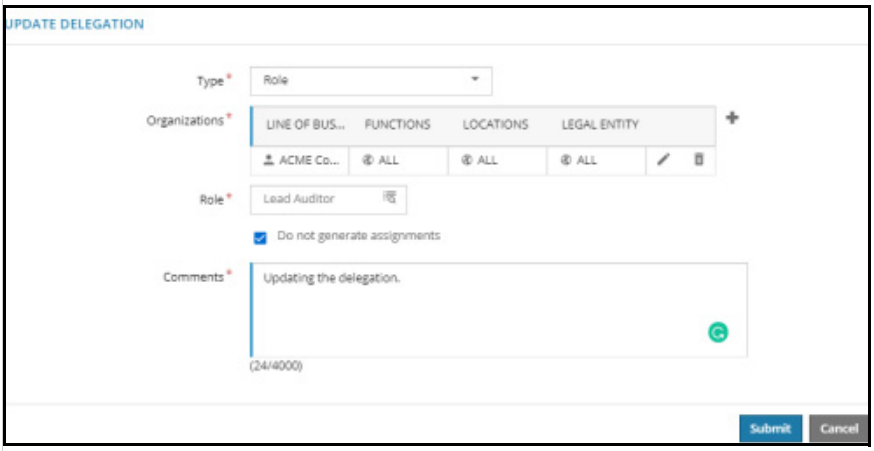
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Roles:** Select the role for the delegatee associated with the organization. • **Delegatees:** Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through **Issues** report. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears. The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Role**: Displays the name of the existing role or delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Approve Risk Acceptance for Issues	Issue Approver	Issue Approver
Issue Risk Acceptance Approved	Issue owner	Issue owner
	Delegatee	Delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Reviewing Risk-Accepted Issues

Before the specified review date:

When the risk acceptance criteria for an issue is approved by the approver, the issue owner or delegatee can review the risk accepted issues using the Risk-Accepted Issues Report.

In the **Actions** column, click **Review Risk** and the issue form opens.

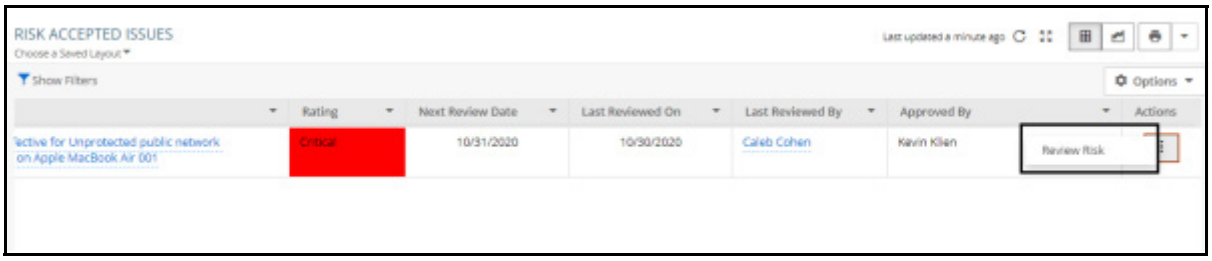

Figure 52 Risk Accepted Issues Report

Header of Reviewing Risk Acceptance Form

The header provides a quick overview about the issue. The Header Toolbar allows you to view the form-related reports, if any, and provides action buttons to take action on the form. For more information on the actions that you can perform, see Actions in Approving Risk Acceptance Form.

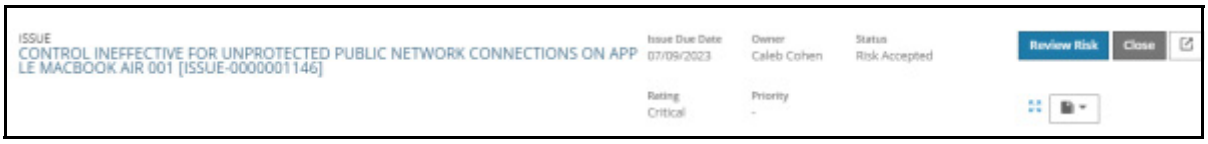

Figure 53 Header of Reviewing Risk Acceptance Form

General section of Reviewing Risk Acceptance Form

Use the **General** section to view issue details, classification, and source details.

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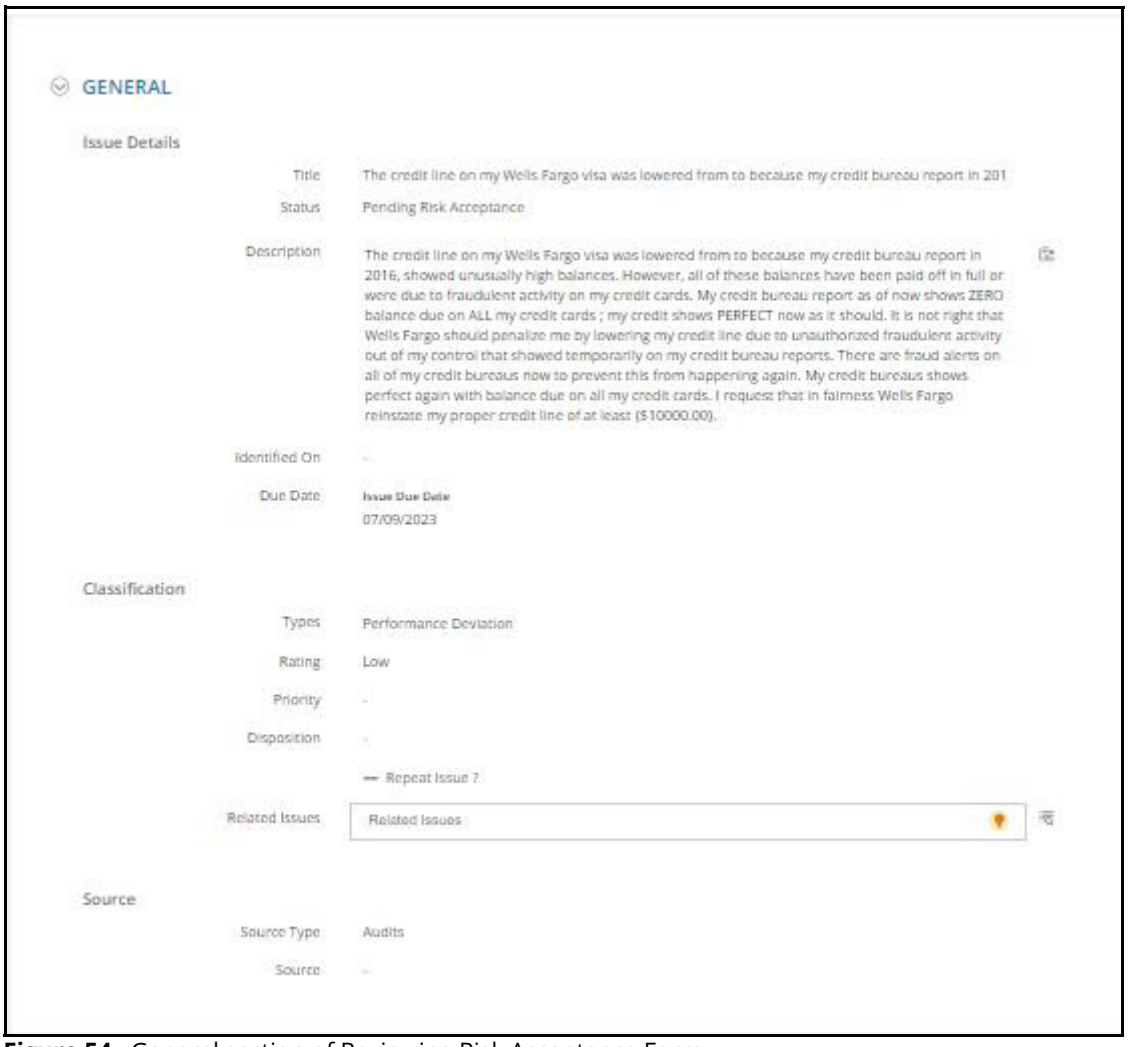

Figure 54 General section of Reviewing Risk Acceptance Form

Field/List Name	Description
Issue Details	
Title	Displays the name of the issue.
Status	By default, displays the status as **Pending Risk Acceptance**.
Description	Displays the description of the issue.
Identified On	Displays the date on which the issue was identified.
Due Date	Displays the issue due date.
Classification	
Types	Displays the issue type.
Rating	Displays the rating of the issue.
Priority	Displays the priority of the issue as high, medium, or low.
Disposition	Displays either of the options if any; reportable, non-reportable, or reportable (already addressed)
Related Issues	Displays related issues if any.
Source	

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Field/List Name	Description
Source	Displays the details of the source of the issue in the following fields: • **Source Type**: Displays the relevant source type of the issue. • **Source**: Displays the source of the issue.

Ownership and Security Section of Reviewing Risk Acceptance Form

Use the **Ownership and Security** section to view the appropriate owners and approvers for the issue.

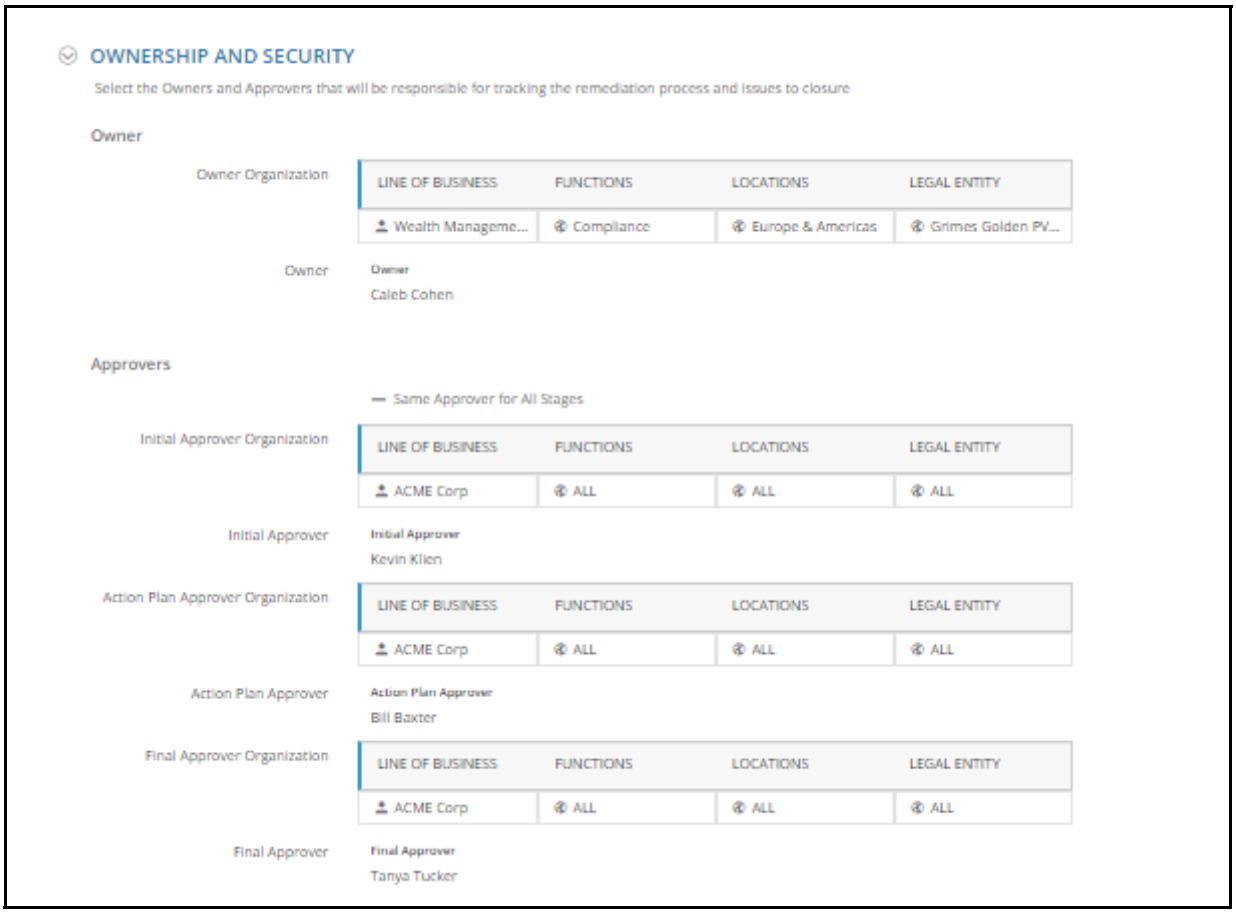

Figure 55 Ownership and Security section

Field/List Name	Description
Owner	Displays the owner and owner organization of the issue. • **Owner Organization**: Displays the owner organization responsible for maintaining the issue. This field displays the various levels of organizations available to the current user. • **Owner**: Displays the owner of the issue. The users associated with the selected owner organization as well as the parent organization with the activity **ISM Issue Owner** are displayed.
Initial Approver	Displays the initial approver responsible for approving risk acceptance for the issue. • **Initial Approver Organization**: Organization to which the initial approver of the issue belongs. • **Initial Approver**: Initial approver to approve the risk acceptance pertaining to the issue.

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Field/List Name	Description
Action Plan Approver	Displays the action plan approver responsible for approving the risk acceptance for the issue. • **Action Plan Approver Organization**: Organization to which the action plan approver of the issue belongs. • **Action Plan Approver**: Action plan approver to approve the risk acceptance pertaining to the issue.
Final Approver	Displays the final approver details in the following fields: • **Final Approver Organization**: Organization to which the final approver of the issue belongs. • **Final Approver**: Final approver to approve the risk acceptance for the issue.

Relationships section of Reviewing Risk Acceptance Form

Use the **Relationships** section to associate current issue with the relationship framework options such as organizations, areas of compliance, risks and so on.

Note: The 'Organization' and 'GRC library content' together are known as relationship framework options.

If a user is assigned to **View issues by related to org** activity, then only the issues related to the organizations associated in this section are displayed in the respective reports. However, based on a configuration parameter, parent organizations can view issues associated with their child organizations.

For more information on the report security, see Privileges to View Data in Reports.

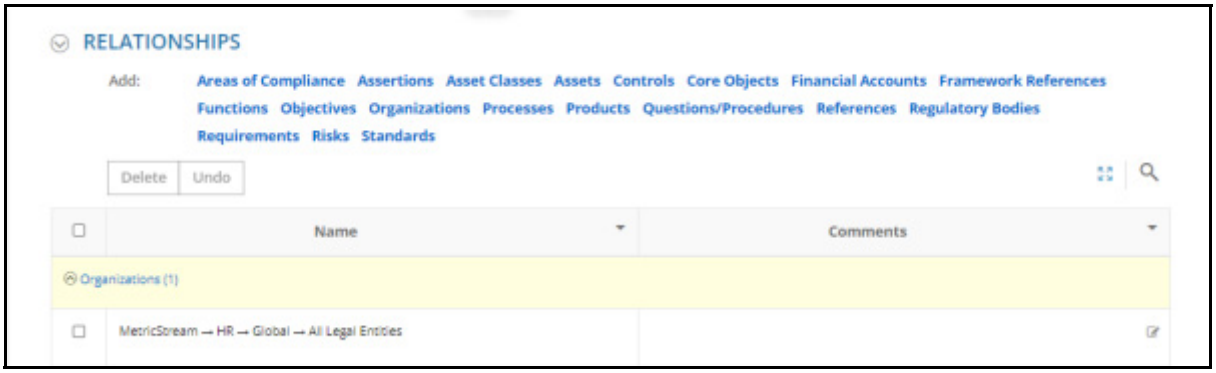

Figure 56 Relationships section of the form

Field/Column Name	Description
Displays the related organization, core objects, and other GRC library content associated with the issue. **Notes:** - The name of the report varies based on the selected link. - If the GRC library item is associated with levels, then the levels are also displayed in the window. You can expand the parent item to select the child item. The selected items appear in the tabular format:	

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Field/Column Name	Description
Tabular format details:	
Name	Displays the name of selected object.
Comments	Displays the comments, if any, regarding the added object.

Action Plan section of Reviewing Risk Acceptance Form

Use the **Action Plan** section to view action plan, action owner and other details of the action.

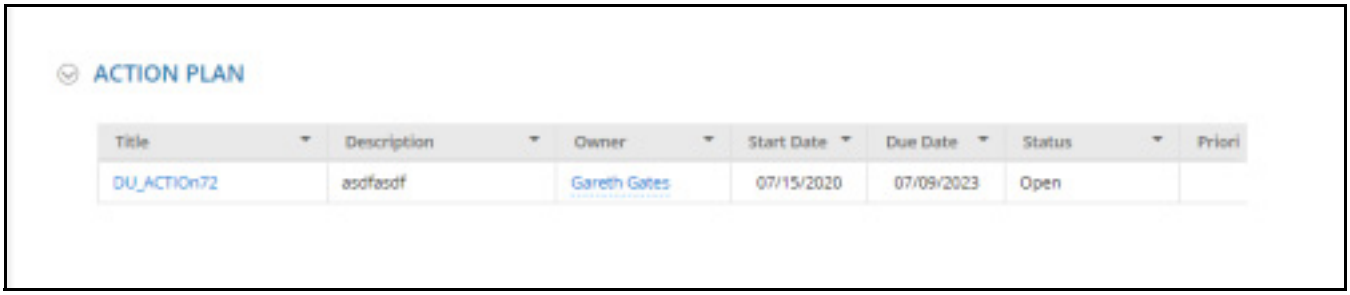

Figure 57 Action Plan section of the Form

Field/Column Name	Description
Title	Displays the action title for the initiated issue. **Note:** Click the link to view the action form.
Description	Displays the detailed description of the action.
Owner	Displays the user from the selected action owner business. **Note:** On form submission, the selected action owner gets an assignment to work on the action plan.
Start Date	Displays the start date of the action.
Due Date	Displays the date by when the action should be completed.
Status	Displays the status of the issue.
Priority	Displays the priority of the action as high, medium, or low.
% Completion	Displays the value of completion of the action
Approver	Displays the name of the approver for risk acceptance of the issue.
Final Approver	Displays the name of the final approver.
Comments	Displays additional remarks on the issue.
Reopen Action	Displays the comments on reopening an action.

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Additional Details in Reviewing Risk Acceptance Form

Use the **Additional Details** section to view additional details about the issue.

Figure 58 Additional Details section

Field/List Name	Description
Exception Type	Displays a relevant issue exception type is any.
Impact and Likelihood	Displays the impact and likelihood of the issue on the organization as high, medium or low.
Loss/Gain	Displays whether the current issue is a loss or gain to the organization.
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Attachments	You can attach relevant files by clicking the Folder icon or view if a file is already available. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Delete icon to delete the attachment. **Note:** You may attach one or more files, as required.

Resolution Summary in Reviewing Risk Acceptance Form

Use this section to view or provide a resolution summary:

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Figure 59 Resolution Summary

Field/List Name	Description
Issue Resolution Summary	View or provide a detailed resolution summary. You can also attach documents and images, if required. Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears.

Actions in Reviewing Risk Acceptance Form

Click **Review Risk** to provide comments after reviewing the risk acceptance form.

Note: The next review date is non editable as the review is done before the specified review date.

Figure 60 Review Risk Comments

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Reopening Actions

At the monitor issue stage, the issue owner can reopen closed actions using the **Issue** form.

To reopen a closed action:

- Click the icon under the **Reopen Action** column in the **Action Plan** section of **Issue** form, as shown in the following figure.

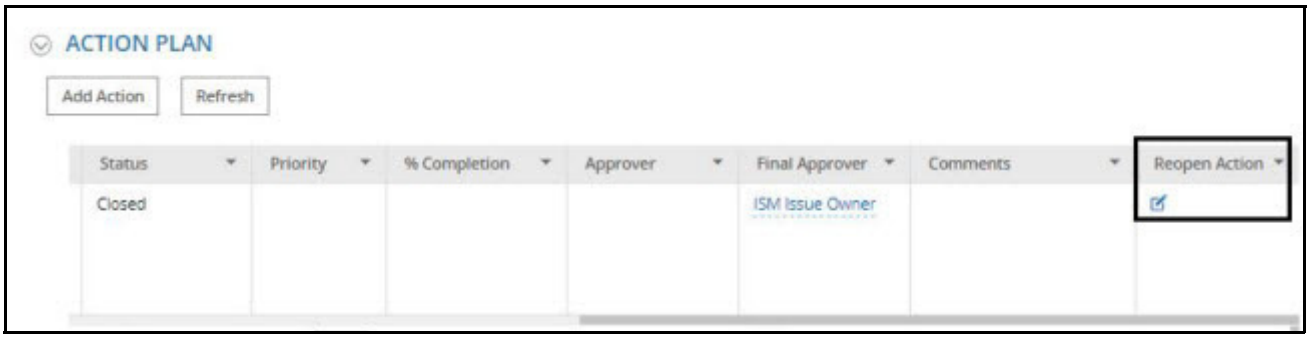

Figure 61 Reopening Closed Actions of Issue Form

The **Action** form appears.

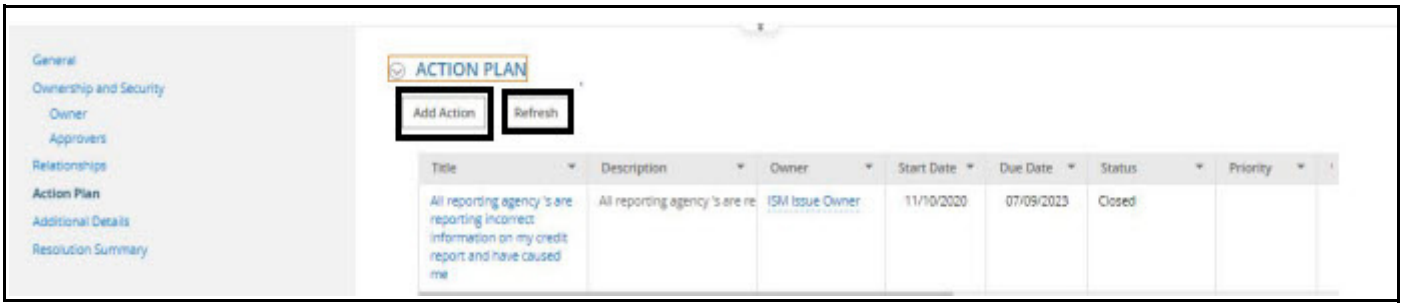

Figure 62

Click **Add Action** button to open the Action form to add the action plan.

Click **Refresh** button to refresh the data in the reports when new actions are added at the Monitor stage.

Workflow Changes

At the closed action stage, most of the sections of the **Action** form are the same as the implement action stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Implementing Action Items.

Field/List Name	Description
Header	
Status	By default, displays the status as **Closed**. **Notes:** - The status of the form changes to **Reopened** when the action is assigned to the action owner. - The reopened action follows the regular action workflow.

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Field/List Name	Description
General	
Action Details	
Due Date	Enter the date by which the action should be completed. **Notes:** - If the action due date is greater than issue due date, an error message "Action Due Date should not be greater than Issue Due Date" appears. - If the action due date is less than the current date, an error message "Action Due date should not be less than Current Date" appears. - The action can be reopened multiple times. The number of times the action is reopened is displayed in the **No. of Reopen** field of the reopened **Action** form.
Owner	Select the action owner. You can choose a different action owner from any organization with the activity **ISM Implement Action**. The reopened action is assigned to the action owner that you select in this field.
Actions	
Reopen Action button	By default, the **Reopen Action** button is available. Click this button to reopen an action. The **Reopen Action** window appears. The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Reopen Action** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Reopen Action	Action owner	Action owner

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Open Issues Report
- My Issues Report
- Actions Report
- Detailed Actions Report
- My Actions Report
- Reopen and Update Change History Report
- Change History Detailed Report
- Comments History Report
- Change History Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Actions

In the approve action stage, the **Action** form is assigned to the issue owner when the action owner sends the form for approval by selecting the **Send for Approval** option from the **Submit** drop-down list of the **Action** form.

The issue owner can either approve and close the action or send it back to the action owner for clarifications. If auto close is enabled, after the approval of the last action completion, the **Issue** form, in the monitor issue stage is automatically submitted for final approval.

To approve closure of actions, access the required assignment from My Tasks.

Workflow Changes

At the action approval stage, most of the sections of the **Action** form are the same as the implement action stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Implementing Action Items.

Field/List Name	Description
Header	
Status	Displays the status as **Pending Approval**.
Actions Click **Submit** to view the actions that are available at this stage.	

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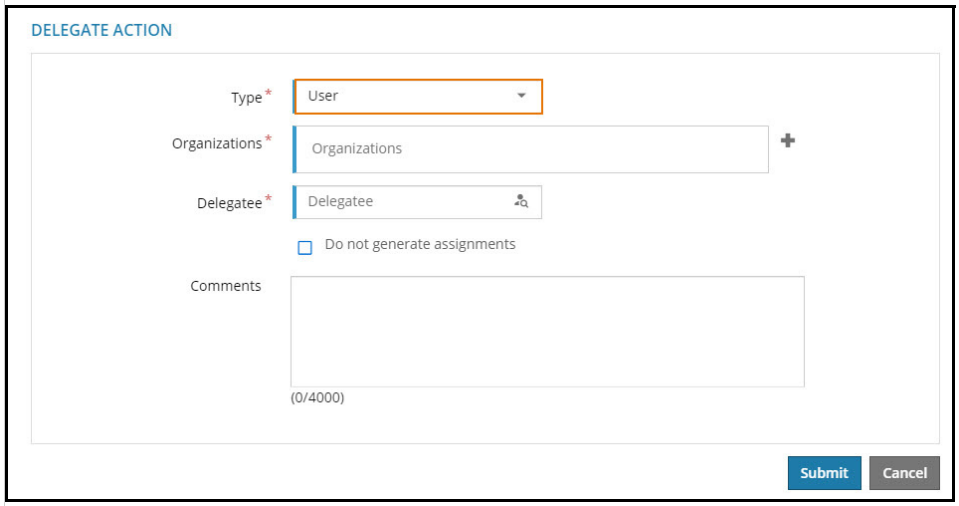
Field/List Name	Description
Delegate Action	Select this option to delegate the current action plan. The **Delegate Action** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **Detailed Actions** report. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Delegate Action** window.

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Field/List Name	Description
Approve Action	Select this option to approve the actions that have been implemented by the action owner. The **Approve Action** window appears. The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Approve Action** window.
Request Clarification	Select this option to request action owner for additional details. The **Request Clarification** window appears. The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.

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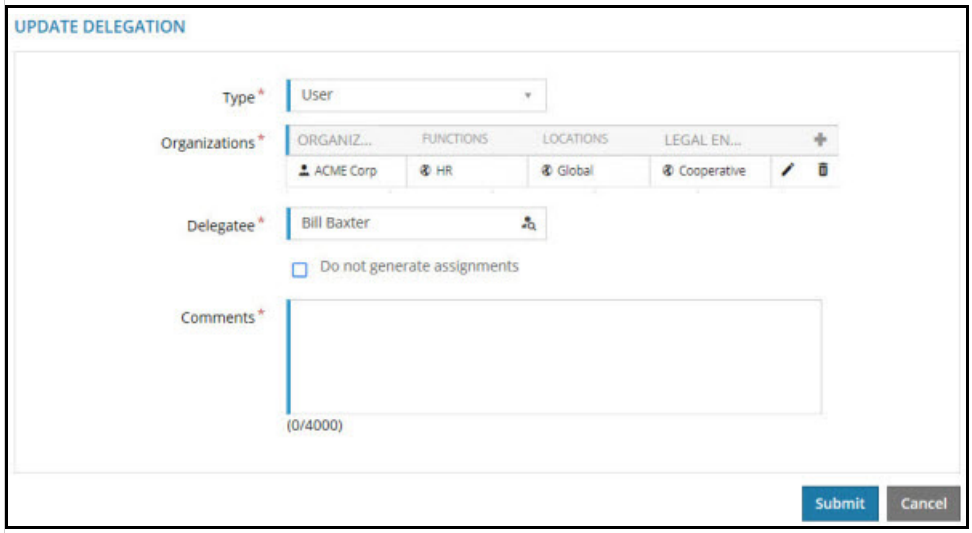
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee: Select the user to whom you want to delegate the current issue to.** • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **Detailed Actions** report. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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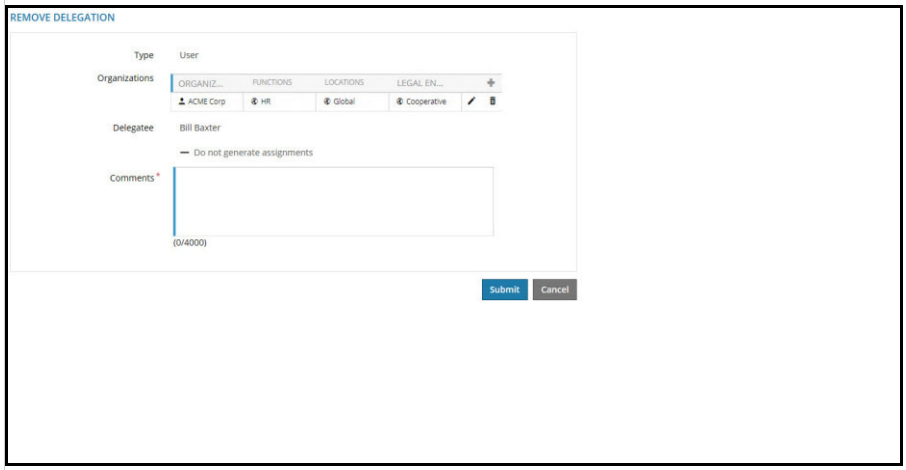
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Delegatee**: Displays the name of the existing delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Approve Action	Not Applicable, when only one level of approval is defined.	Action owner CC: Delegatee
	Action approver, if second level of approval is defined	Action approver
Request Clarification	Action owner	Action owner
Delegate Action	Delegatee and the assignment remains with the action owner	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Open Issues Report
- My Issues Report
- Actions Report
- Detailed Actions Report
- My Actions Report
- Comments History Report
- Change History Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Initiating Ad-Hoc Actions

In the monitor issue stage, the issue owner can initiate additional actions to the existing issues using the **Action** form. The newly added actions appear in the monitor issue stage when the **Issue** form is resumed or refreshed.

If an issue is created when a certain parameter is disabled, then the issue title will not be available for selection in the **Action** form and also the **Add Action** link will not be available in the **Issue** form in the monitor issue stage. Contact your system administrator to manage parameters.

Note: When you initiate ad hoc actions in the monitor issue stage, the actions are directly triggered to the action owner without the action plan approval.

Accessing Action Form

1. In the **Issue Management** tab, click **Issues** and then click **Forms**.
2. In the **Initiate** menu, click **Action** link.
   The **Action** Form appears.

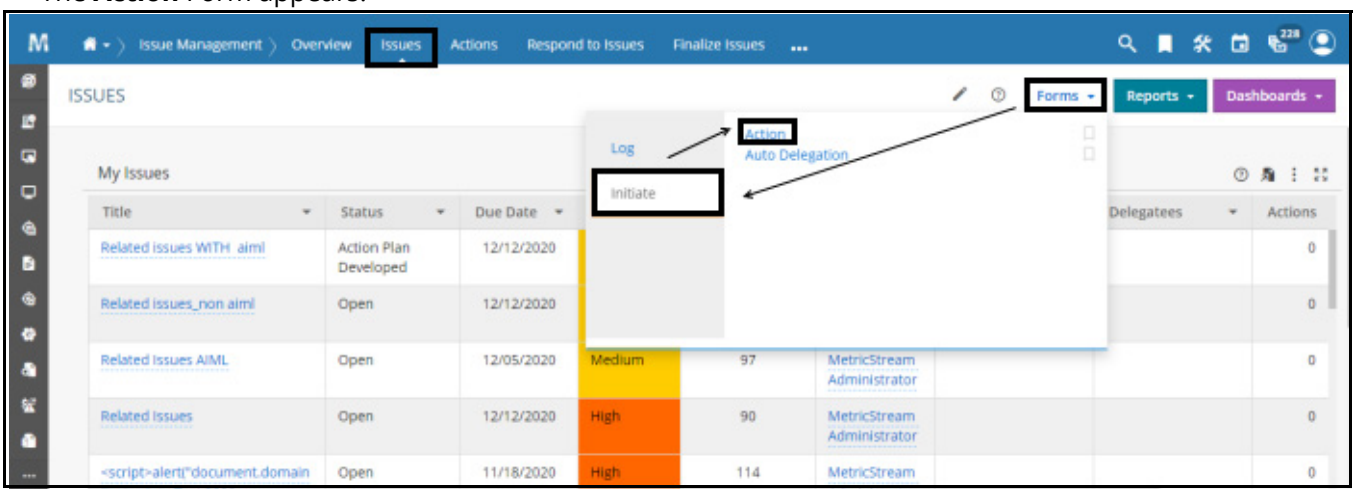

Figure 63 Accessing Action Form.

General section of Action Form

Use the **General** section to view the basic details of the issue.

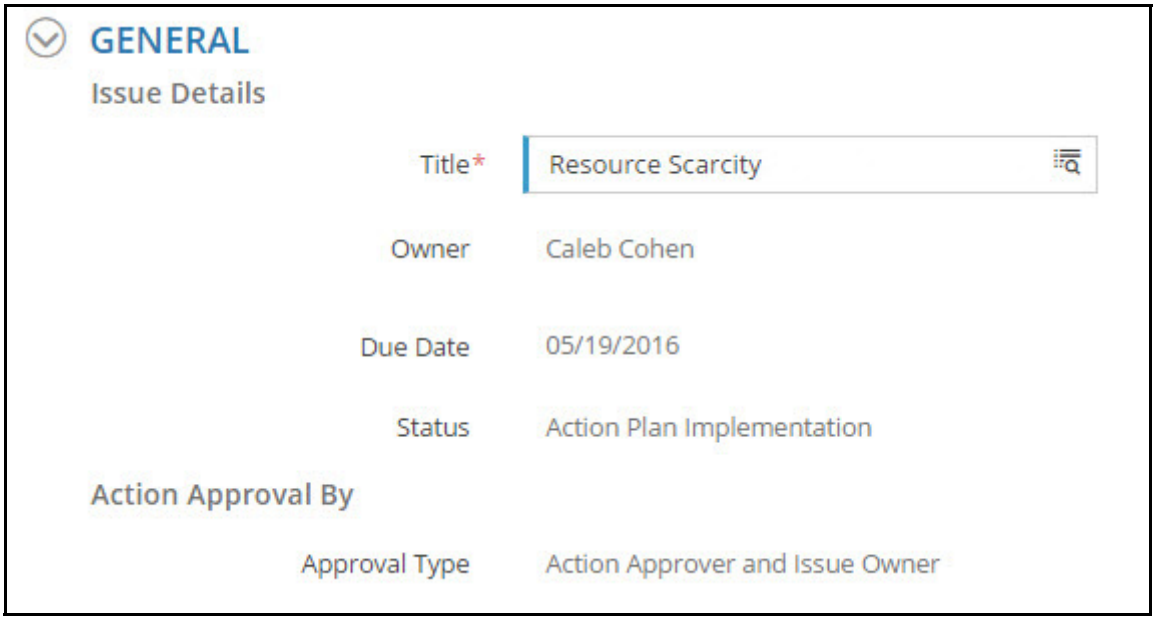

Figure 64 General section of Action Form

Field/List Name	Description
Issue Details	
Title	Select the issue for which you would want to add an action.
Owner	Displays the name of the issue owner.
Due Date	Displays the issue due date.
Status	Displays the status of the issue.
Action Approval By	
Approval Type	Displays who approves the issue.

Action Plan section of Action Form

Use the **Action Plan** section to add new actions.

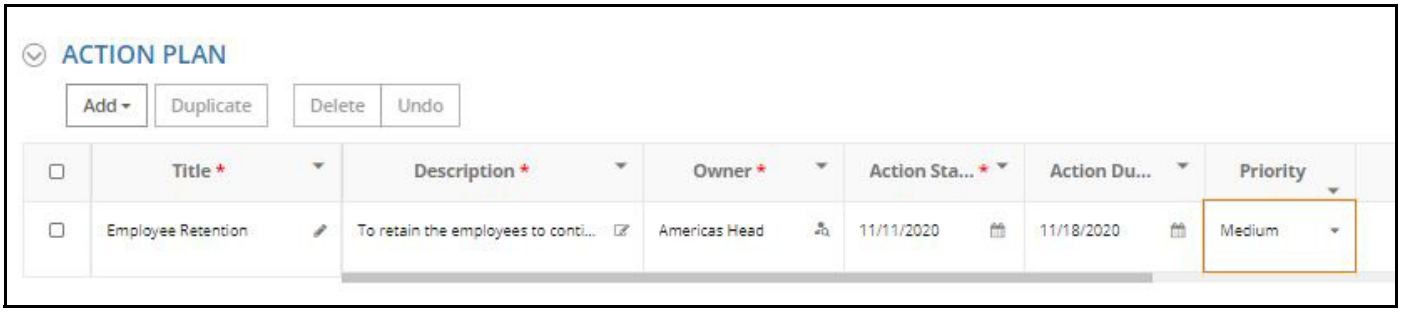

Figure 65 Action Plan section of Action Form

Field/Column Name	Description
Add Action button	Click this button to open the Action form to add the action plan.

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Field/Column Name	Description
Add drop-down list	Click this button to add rows to the tabular format. When you click this button the following options are displayed: • Beginning: Adds rows at the beginning of the tabular format. • End: Adds rows at the end of the tabular format.
Duplicate button	Click this button to duplicate the added row. Perform the following steps to duplicate a row: **1.** Select the row that you want to duplicate. **2.** Click the **Duplicate** button. The selected row is duplicated.
Delete button	Click this button to delete the selected row.
Undo button	Click this button to undo the deleted row.
Title	Provide an action title for the initiated issue.
Description	Provide a detailed description of the action.
Action Owner Organization *(appears when the parameter 'Enable Action Owner Organization when selecting the Action Owner' is set to Yes)*	Click the Add icon to select the action owner organization responsible for the action. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select.
Owner	Select the action owner. This field displays users from the selected action owner organization. If no owner organization is defined, then the users from any organization with the activity **ISM Implement Action** can be selected as the action owner. **Note:** On form submission, the selected action owner gets an assignment to work on the action plan.
Approver *(appears if you select the options such as Action Approver, Action Approver and Issue Owner, Issue Owner and Action Approver, or Action Approver (Optional) and Issue Owner, in the **Action Approval By** field.)*	Select the approver for the action. This field displays only the users with the **ISM Approve Action** activity. **Note:** This field becomes mandatory when you select options such as Action Approver, Action Approver and Issue Owner, Issue Owner and Action Approver in the **Action Approval By** field.
Start Date	Enter the start date of the action. The start date should be lesser than the action due date. **Note:** The date entered in the **Action Start Date** field should not be lesser than the date entered in the **Identified On** field.
Due Date	Enter the date by which the action should be completed. If the form is submitted without a due date, then the module defaults this field with the current issue due date value once the actions are triggered. **Note:** The date entered in the **Action Due Date** field should not be greater than the date entered in the issue **Due Date** field. The module validates this in the manage issue stage.

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Field/Column Name	Description
Priority	Select the priority of the action. The available options are: • High • Medium • Low **Note:** The values in this field can be configured based on your requirement. Contact your system administrator to manage LOV configurations.
Impacted Organizations	Select the organizations that are impacted by the issue. This field displays all the organizations and defines if the suggested action and steps have an impact on any other organization in the system. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select.

Actions in Action Form

After entering all the required details, Click **Submit** to submit the form.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Submit	Action owner	Action owner

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Open Issues Report
- My Issues Report
- Actions Report
- Detailed Actions Report
- My Actions Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Issues by Source Chart

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- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Close Issues

After appropriate actions have been taken to resolve the issue and the associated actions have been completed, the issue can be closed. The issue has to go through an approval process before it is closed.

Sections:

- Workflow
- Remediating Issues
- Approving Issue Closure

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Workflow

The following figure illustrates the workflow process involved in issue remediation and closing. For more information on the overall workflow, see Issues Workflow.

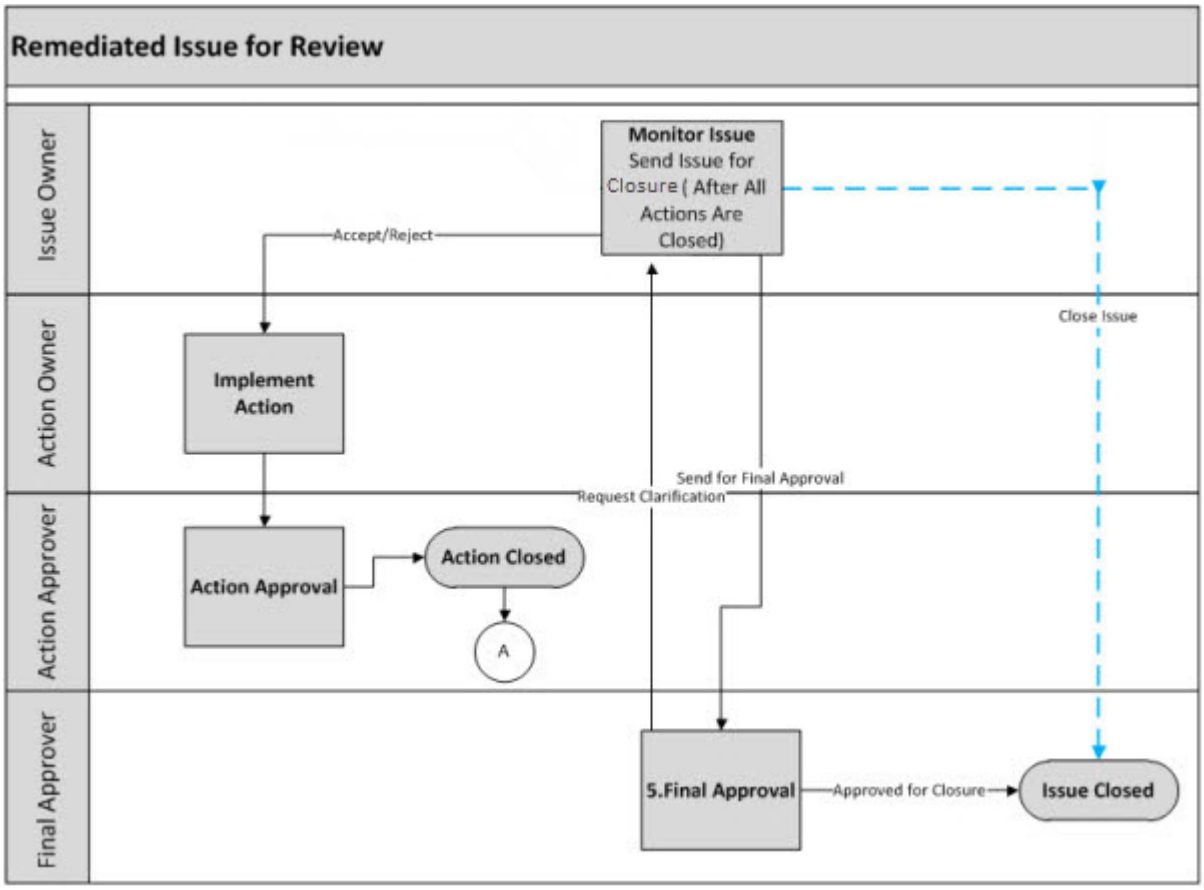

Figure 66 Workflow of Issue Remediation and Closing

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Remediating Issues

The issue is said to be in the **Remediated** status if all the actions associated with the issue have been completed. You can close the issue in the manage or monitor issue stage, by selecting the **Close Issue** option from the **Submit** drop-down list of the **Issue** form, only when all the actions associated with a particular issue have been closed. Once the associated actions are closed, the status of the issue is updated as **Remediated**, as shown in the following figure.

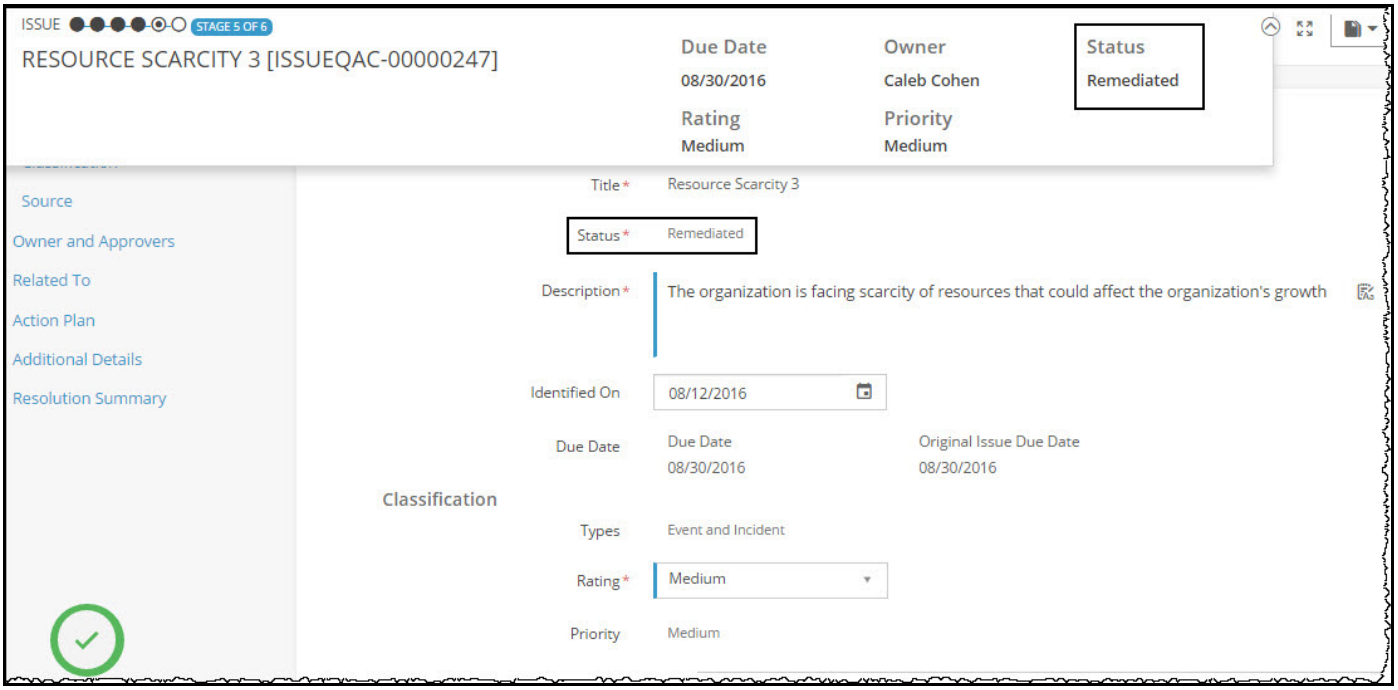

Figure 67 Remediated Status of Issue Form

Workflow Changes

At this stage, most of the sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Remediated**.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Action Plan	
Add Action link	Click this link to initiate ad hoc actions from this stage. For more information, see Action Plan section of Action Form.
Additional Details	

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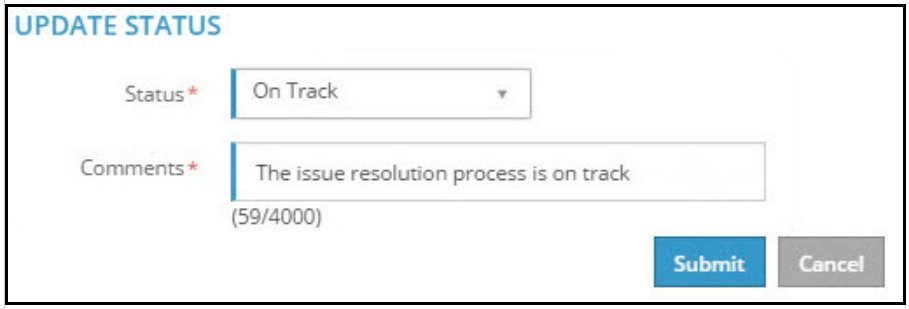
Field/List Name	Description
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary (mandatory when you select the **Close Issue** option from the **Submit** drop-down list)	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed description of the resolution summary. You can also attach documents and images, if required.
Actions Click **Submit** to view the actions that are available at this stage.	
Update Status	Select this option to update the status of the progress made in resolving the issue. The **Update Status** window appears.  The available fields are: • **Status**: Select the status of the issue. The available options are: o Delayed o Likely Delayed o On Track **Note:** The values in the **Status** field can be configured based on your requirement. Contact your system administrator to manage LOV configurations. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Update Status** window. - The status updated in the **Issue** form in the monitor issue stage is also updated in the **Issues** report. Once the issue is closed, this status is withdrawn from the report.

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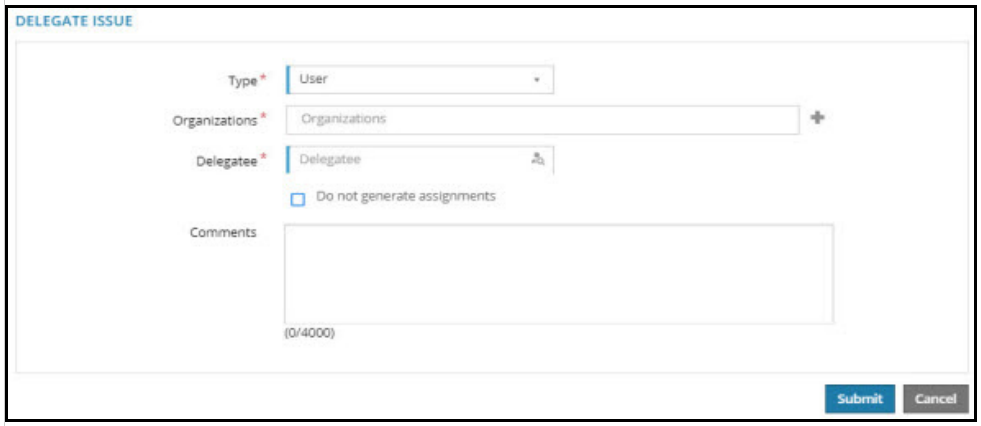
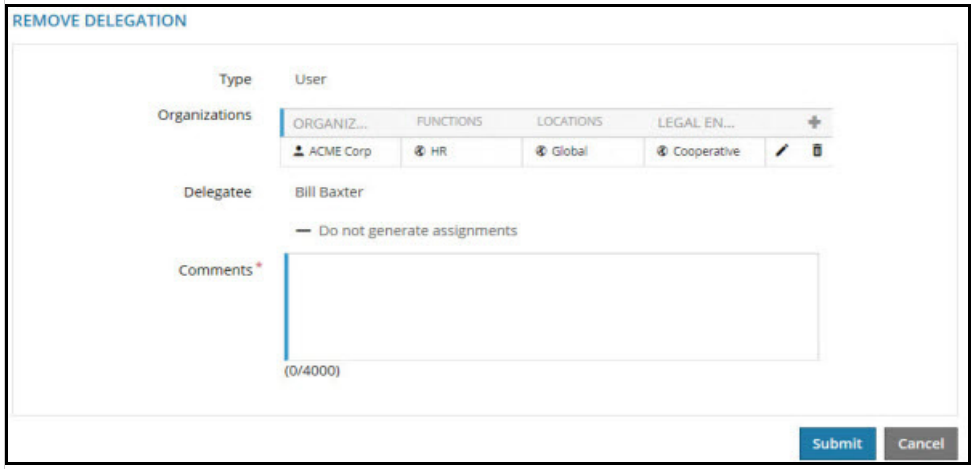
Field/List Name	Description
Delegate Issue	Select this option to delegate the current issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Delegate Issue** window. - This option is not available if the form is already delegated. For more information, see Delegating Issues in Monitor Issue Stage.
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Delegatee**: Displays the name of the existing delegatee. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Remove Delegation** window.

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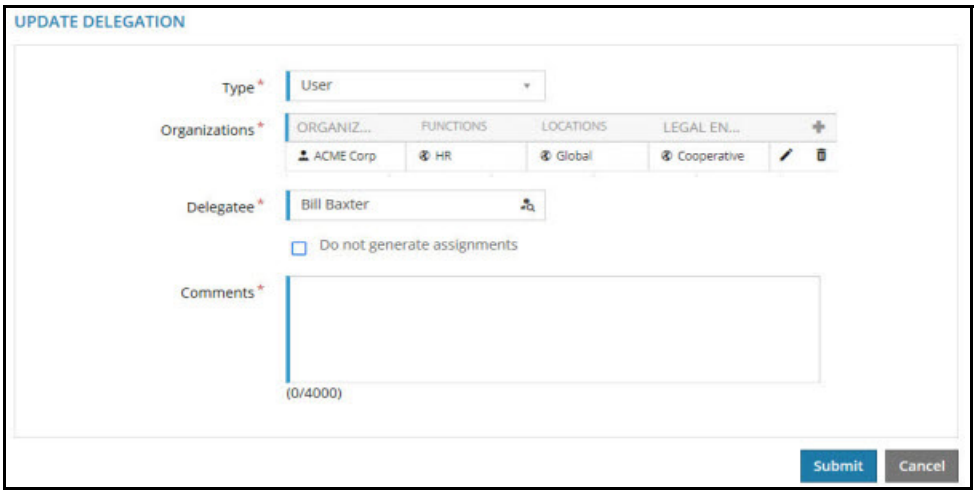
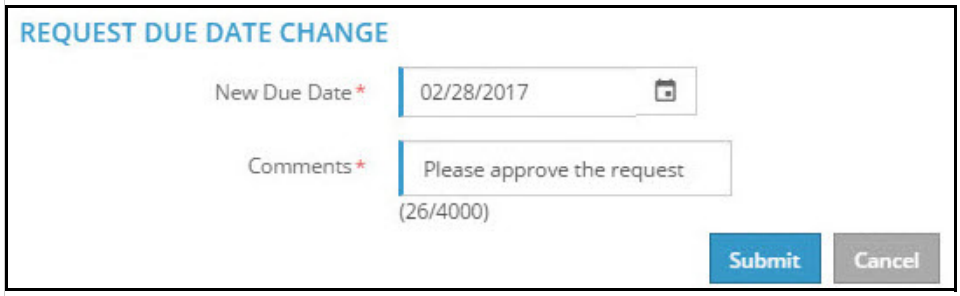
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** pop-up window appears.  Provide the required information in the following fields: • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Delegation** window.
Request Due Date Change	Select this option to request the initial approver for additional time. If the initial approver is disabled, this request is sent to the issue initiator. When you select this option, the **Request Due Date Change** pop-up window appears.  The available fields are: • **New Due Date**: Enter the new due date. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Due Date Change** window.

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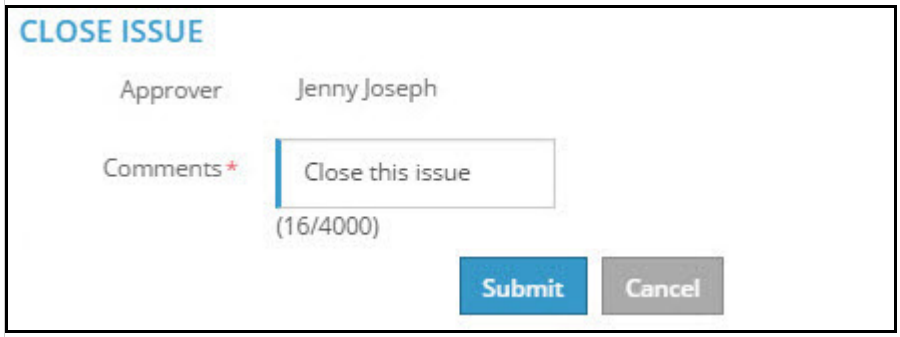
Field/List Name	Description
Close Issue	Select this option to close the current issue. The **Close Issue** pop-up window appears.  The available fields are: • **Approver**: Displays the name of the approver. • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Close Issue** window. - You can close the issue only when all the actions associated with a particular issue are closed.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action Selected	Assigned To	E-Mail Sent To
Update Status	Not Applicable	Not Applicable
Delegate Issue	Delegatee and the assignment remains with the issue owner	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee
Request Due Date Change	Initial approver/ Issue initiator, if the initial approver stage is not enabled	Initial approver/ Issue initiator, if the initial approver stage is not enabled
Close Issue	Final approver	Final approver

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Issue Aging Report
- Audit Trail Report
- Open Issues Report
- My Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report
- Detailed Issues and Actions Report

Charts

- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Approving Issue Closure

When the **Issue** form is closed from the manage issue or monitor issue stage, and if the final approver is defined, then, the **Issue** form is assigned to the final approver. The final approver can either approve the issue closure or send the **Issue** form back to the issue owner requesting for clarifications.

Note: Based on a configuration parameter setting, the **Issue** form is automatically closed from the monitor issue stage once all the actions associated with the issue are closed. Contact your system administrator to manage parameters.

To approve closure of issue, access the required assignment from My Tasks.

Workflow Changes

At the final approval stage, most of the sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Pending Final Approval**.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed description of the resolution summary. You can also attach documents and images, if required. **Note:** This is an optional field.
Actions Click **Submit** to view the actions that are available at this stage.	

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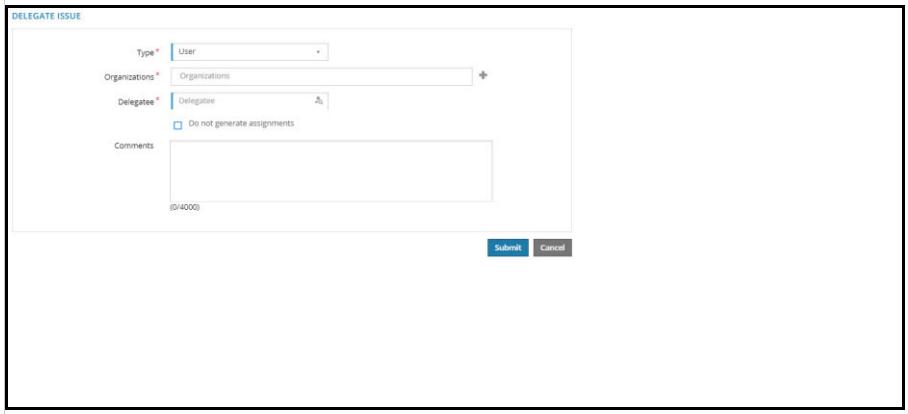
Field/List Name	Description
Delegate Issue	Select this option to delegate the current issue. The **Delegate Issue** window appears.  Provide the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization.ser: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee**: Select the user to whom you want to delegate the current issue to. • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **Detailed Actions** report. • **Comments**: Type relevant comments, if any. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Delegate Issue** window.**Delegate Issuse**

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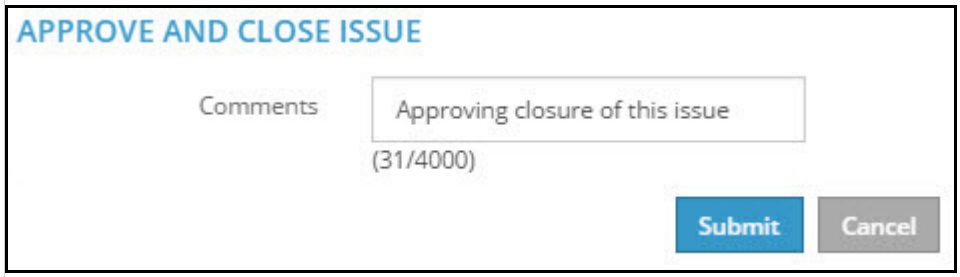
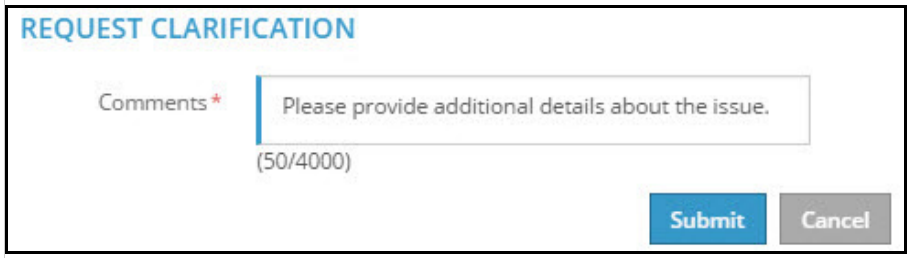
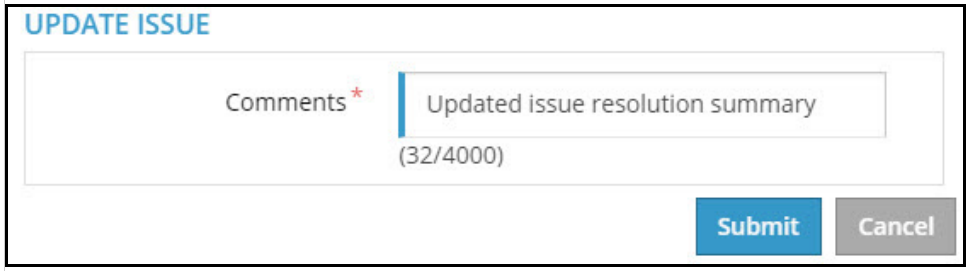
Field/List Name	Description
Approve and Close Issue	Select this option to approve and close the current issue. The **Approve and Close Issue** window appears.  The following field is available: • **Comments**: Type relevant comments, if any. Click **Submit** to save the details and submit the form. The issue is closed once you submit the form. **Note:** Click **Cancel** to discard changes and close the **Approve and Close Issue** window.
Request Clarification	Select this option to request the issue owner for additional details. The **Request Clarification** window appears.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Request Clarification** window.
Update Issue	Select this option to provide your comments about the issue. When one of the approvers submits the updates, it is made available to the other approvers associated with the same issue. The **Update Issue** window appears.  Provide the required information in the following field: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. Once you submit the form, these comments will be displayed in the **Comments History** report. **Note:** This option is available when the parameter 'Enable role based assignments for approvers in issues' is set to Yes.

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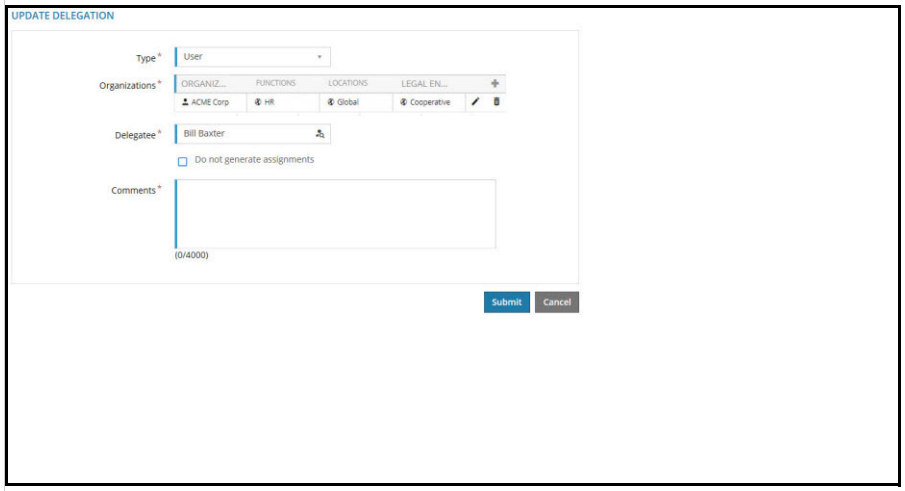
Field/List Name	Description
Update Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to choose a new delegatee. The **Update Delegation** window appears.  Update the required information in the following fields: • **Type:** Select the type for delegation. The available options are: o Role: Select this to delegate issues to a role associated with the selected organization. o User: Select this to delegate issues to a delegatee associated with the selected organization. o Roles and Users: Select this to delegate issues to a role associated with the selected organization. You can also delegate the issues to a delegatee associated with the selected role and organization. • **Organizations**: Click the Add icon to select the required organization. **Notes:** - Selecting the ALL option is equal to selecting all the values in a dimension. - Turn on the NA option, if any dimension is not applicable for the organization structure that you want to select. • **Delegatee: Select the user to whom you want to delegate the current issue to.** • **Do not generate assignments:** Select the check box if you do not want to generate assignments to Delegatees. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. Click the **Cancel** button to discard changes and close the **Update Delegation** window.

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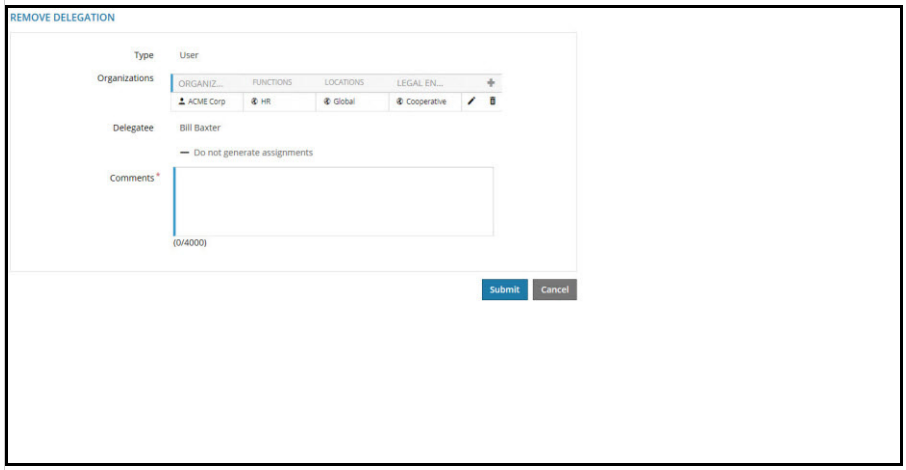
Field/List Name	Description
Remove Delegation *(appears only when the form is already delegated to a delegatee)*	Select this option to remove the existing delegatee. The **Remove Delegation** window appears.  The available fields are: • **Type:** Displays the type of delegation. • **Organizations:** Displays the selected organization for delegation. • **Delegatee**: Displays the name of the existing delegatee. • **Do not generate assignments:** Displays whether the assignments are generated or not. • **Comments**: Type relevant comments. Click the **Submit** button to save the details and submit the form. **Note:** Click the **Cancel** button to discard changes and close the **Remove Delegation** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Approve and Close Issue	Not Applicable	Issue owner, issue initiator CC: Delegatee
Request Clarification	Issue owner	Issue owner CC: Delegatee
Delegate Issue	Delegatee and the assignment remains with the initial approver	Delegatee
Remove Delegation	Not Applicable	Delegatee
Update Delegation	New delegatee	New delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

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Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports

- Issues Report
- Detailed Issues Report
- Audit Trail Report
- Reopen Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report
- Detailed Issues and Actions Report

Charts

- Closed Issues by Source and Priority Chart

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Auto-Delegation of Issues and Actions

The issue/action owner can delegate the issues/actions to any user within the same organization, using the **Auto Delegation** form. The new issues/actions that are assigned to the issue/action owner after the delegation is set, is assigned to the selected delegatee. However, the issue/action owner retains a copy of the assignment.

Both the issue/action owner and the delegatee will have an assignment each, but as soon as one of them works on the assignment and submits the form, the assignment is withdrawn from the other user. For example, if the delegatee works on the assignment and submits the **Issue** or **Action** form first, then the assignment assigned to the issue/action owner is withdrawn.

Note: Issue/action owners and Issue/action approvers can auto-delegate confidential issues.

The issues/actions can be auto delegated in the following stages:

- Initial approver
- Manage issue
- Action plan approver
- Monitor issue
- Issue due date change
- Final approver
- Implement action
- Action due date change
- Action approver
- Final action approver

When the auto-delegation is set, if the issue/action owner or issue/action approver is re-assigned, the following functional modifications are reflected in the assignments:

- The assignment is withdrawn from the current delegatee
- An assignment is generated to the newly assigned issue/action owner
- A copy of the assignment is sent to the delegatee who is set as default by the newly assigned issue/action owner

Note: An issue/action owner or issue/action approver who is an auto-delegatee cannot re-delegate the issues/actions to another user.

The issue/action owner or issue/action approver can delegate the issue/action to a user, role, or both users and roles.

- Role: If the delegation type is role, the issue/action is delegated to a role associated with the selected organization.
- User: If the delegation type is user, the issue/action is delegated to a delegatee associated with the selected organization.
- Roles and Users: If the delegation type is both Roles and Users, the issue/action is delegated to a role associated with the selected organization. You can also select a delegatee associated with the selected role and organization.

The issue/action owner can select to generate non-assignment based access to the Delegatees by selecting the **Do not Generate** check box, while delegating the issue/action. When the check box is selected, the Delegatee cannot access the assignments from **My Tasks.** However, the Delegatee can access these assignments through the **My Issues** report.

Assignments such as issue approval, action Approval, action plan approval, and due-date extension approval can be approved by the respective delegatees of the primary users.

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Note: The delegatees receive an email notification when an assignment is assigned to them.

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Accessing Auto Delegation Form

You can access the **Auto Delegation** form in the following ways:

- In the **Issue Management** tab, click **Issues** and then click **Forms**. In the **Initiate** menu, click **Auto Delegation** link.

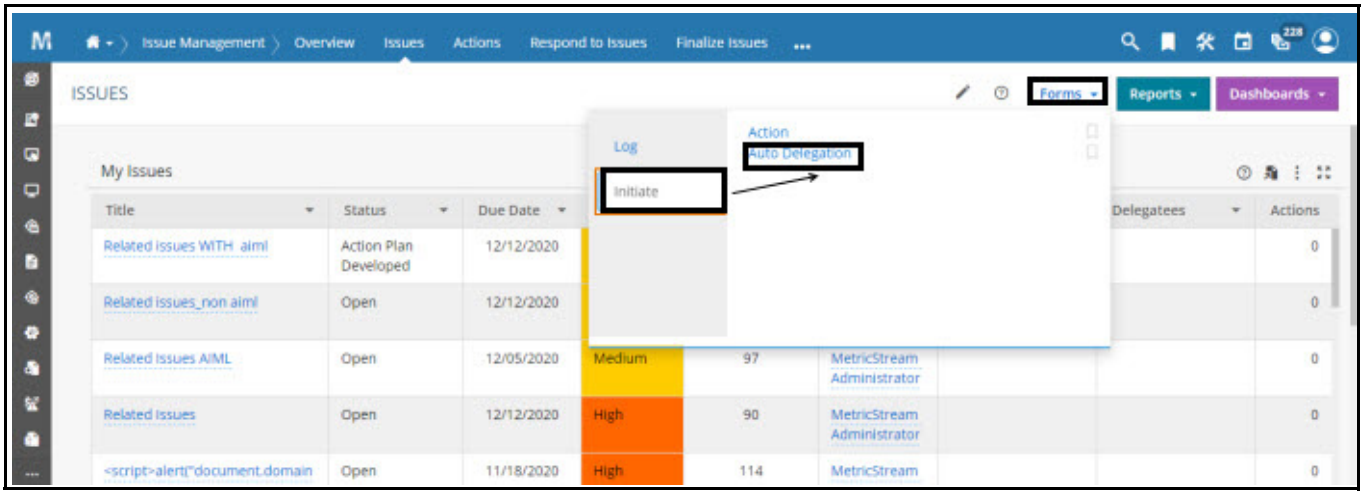

Figure 68 Accessing Auto Delegation Form Through Issues Page

Or

- In the **Issue Management** tab, click **Actions** and then click **Forms.** In the initiate menu, click **Auto Delegation** link. The **Auto Delegation** form appears.

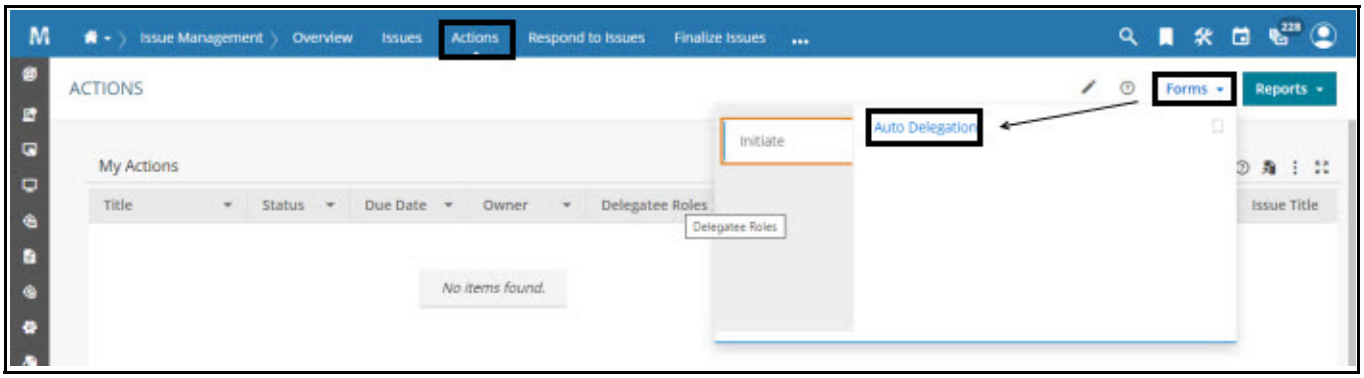

Figure 69 Accessing Auto Delegation Form Through Actions Page

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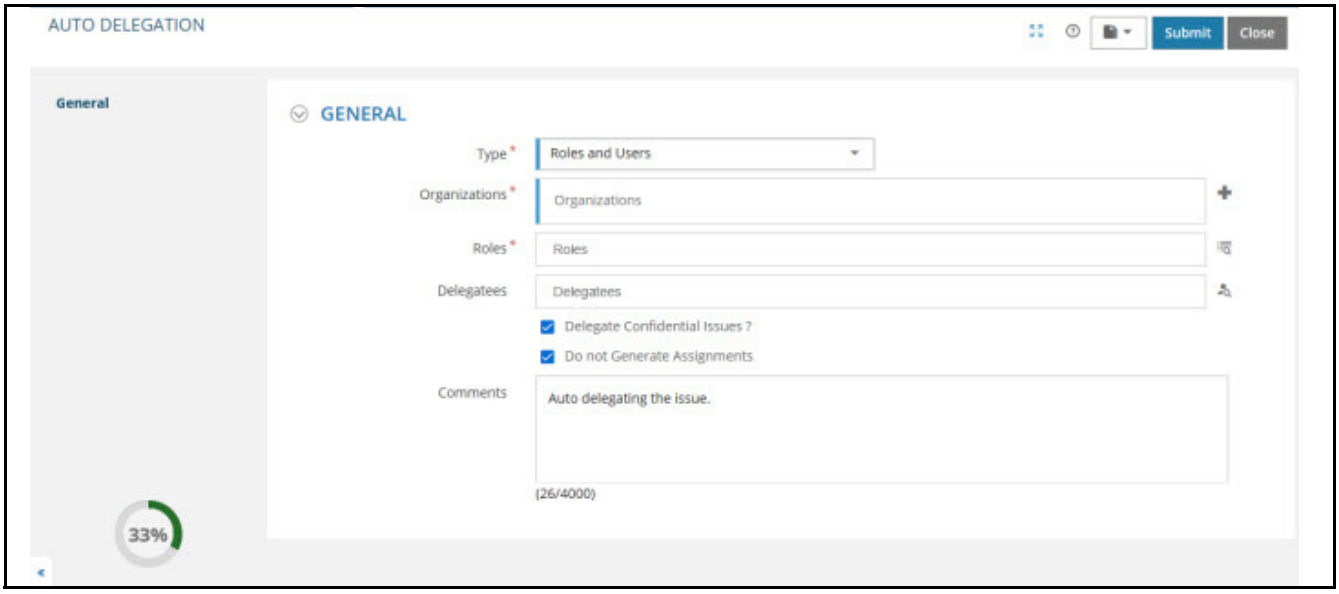

Figure 70 Auto Delegation Form

Field/List Name	Description
General	
Type	Select the type for delegation. The available options are: • Role: Select this to delegate issues/actions to a role associated with the selected organization. • User: Select this to delegate issues/actions to a delegatee associated with the selected organization. • Roles and Users: Select this to delegate issues/actions to a role associated with the selected organization. You can also delegate the issues/action to a delegatee associated with the selected role and organization.
Organizations	Click the Add icon to select the required organization. For details, see Multidimensional Organization Structure. **Notes:** - Selecting the **ALL** option is equal to selecting all the values in a dimension. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select.
Role *(This field appears when the option selected in the Type field is Role)*	Click the Advance Search icon to select the required role to delegate the issues/actions.
Delegatee *(This field appears when the option selected in the Type field is User)*	Click the Search User icon to select a user to whom you want to auto delegate the issues/actions. If you had previously auto delegated issues/actions to a user, then this field displays the name of the user to whom you had previously auto delegated the issues/actions.
Roles *(This field appears when the option selected in the Type field is Roles and Users)*	Click the Advance Search icon to select the required roles to delegate the issues/actions.

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Field/List Name	Description
Delegatees *(This field appears when the option selected in the Type field is Roles and Users)*	Click the Search User icon to select users associated with the selected roles of the organization to delegate the issues/actions.
Delegate Confidential Users	Select the check box if you want to delegate the confidential issue. When the check box is selected, even the confidential issues will be delegated.
Do not Generate Assignments	Select the check box if you do not want to generate assignments. When the check box is selected, you cannot access the assignments from **My Tasks.** However, you can access these assignments through the **My Issues** report.
Remove Delegation check box *(appears if the form is already auto delegated)*	Select this check box to remove the automatic delegation of issues/actions to the current user. On form submission, the auto-delegation setup is withdrawn.
Comments	Provide your comments on the auto delegation.

After entering all the required details, click **Submit** to submit the form.

Related Reports and Charts

The following reports are updated after you submit the current form:

Reports

- Delegation History Report
- Comments History Report

Charts

After you submit the current form, no charts are updated.

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Update Comments for Ongoing Issues

You can provide comments on the ongoing issues. These comments are available to the users who have access to the issue based on whether the issue commenter marks the comment as **Private** or **Public** in the **Mark As** field of the **Issue** form.

- Comments marked as **Public** are displayed in the **Issue Comment History** report and is visible to all the users who have access to the issue.
- Comments marked as **Private** are only visible to the users who enter the comments and to the issue owner in the **Issue Comment History** report.

Users mapped to the **ISM Approver Comments** activity have access to the **Open Issues** report. The comments on the ongoing issues can be updated by accessing the Issue form from the **Open Issues** report.

To provide your comments on the on-going issues:

- Click the Comments icon corresponding to the required issue title in the **Open Issues** report, as shown in the following figure. For more information on the **Open Issues** report, see Open Issues Report.

Figure 71 Open Issues Report to Update Comments

The **Issue** form appears.

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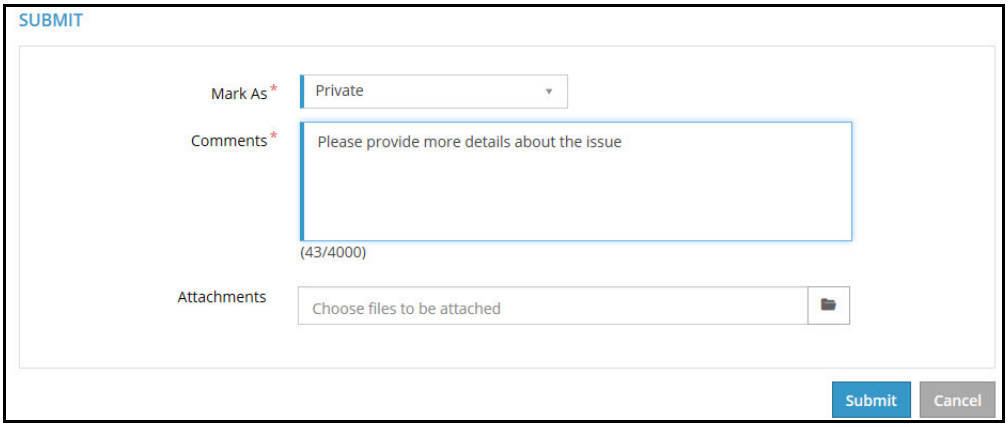
Workflow Changes

At this stage, all the other sections of the **Issue** form are the same as initiating stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Actions	
Submit button	Click this button to provide your comments on the issue and to determine the availability of the comments to the users. The **Submit** pop-up window appears.  The available fields are: • **Mark As**: Select if you want to mark the comments as private or public. The available options are: o Public: Comments marked as **Public** are available to all the users who have access to the issue. These comments are displayed in the **Comments History** report. o Private: Comments marked as **Private** are available only to the issue owner and the user who logged the comment. The private comments entered are marked with an asterisk in the **Issue Comments** field of the **Comments History** report. • **Comments**: Type relevant comments. • **Attachments**: Attach relevant files by clicking the Folder icon. Once you attach the file, you can: o View the file: Click the file name to view the attachment. o Delete the file: Click the Delete icon to delete the attachment. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Submit** window.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Public/Private	Not Applicable	Issue owner CC: Delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports are updated after you submit the current form:

Reports

- Comments History Report
- Change History Report
- Issue Audit Trail Details Report

Charts

After you submit the current form, no charts are updated.

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Administrative Activities

Issue administrators have the privilege to reopen closed issues or update issues or actions belonging to their respective organizations only.

the issue administrators can also re-assign ownership in bulk to the users mapped to their organization only.

Sections:

- Updating Issues
- Reopening Issues
- Updating Actions
- Bulk Re-assigning of Issues/Actions
- MS Excel Upload Template
- Importing Data
- Setting up Issues

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Updating Issues

The issue administrator can update open and closed issues using the **Update Issues** report. The users with the appropriate access rights can edit or update the issue title and description in the closed **Issue** form. Once you update these fields and submit the form, the **Issue** form in the closed issue stage will be updated but the issue remains closed.

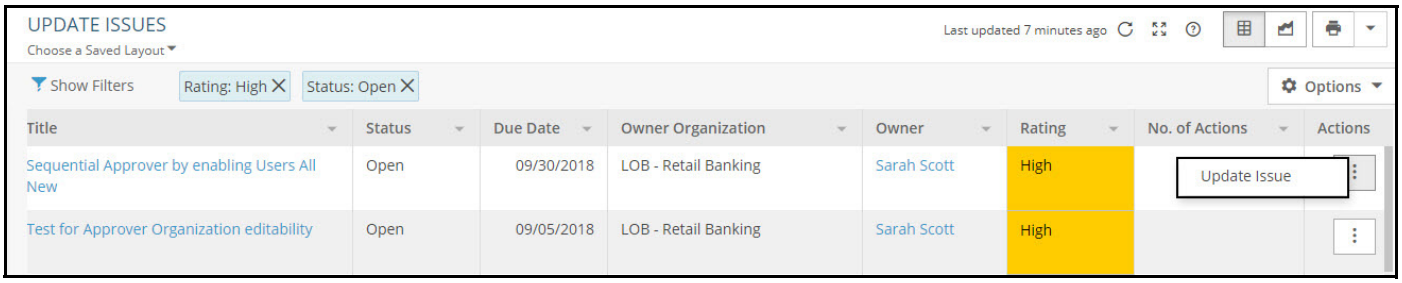
Note: The changes updated in the **Issue** form are also updated in the **Issues** report.

To update closed issues:

1. Navigate to **Issues Administration** and then click **Update Issues**.
2. Click the More Actions icon in the **Actions** column and select the **Update Issue** option, in the **Update Issues** report, as shown in the following figure.

Note: The administrators can view and update the issues mapped to their organization only if they have the following activities assigned to them:

- ISM Update Issues by Owner Organization
- ISM Update Issues by Approver Organization
- ISM Update Issues by Related Organization



The **Issue** form appears.

Workflow Changes

- The following table illustrates the impact when the form is updated for the Issue Owner Organization, Issue Owner, Approver Organization, Approver, and Due Date fields.

Status	Fields Updated	Impact
Manage Stage		
Open Status	Issue Owner Organization and Issue Owner	When the Issue is with the Issue Owner, Issue is revoked from the old Issue Owner and is assigned to the new Issue Owner.
Open Status	Initial Issue Approver Organization and Initial Issue Approver	When the Issue is with the Issue Owner • Issues that are not locked are updated with the new Issue Approver. When the form is submitted for approval, issue is assigned to the new Approver. • Issues that are locked are updated with the new Issue Approver when the form is submitted for approval. Issue will be assigned to the new Approver.

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Status	Fields Updated	Impact
Action Plan Developed Status	Action Plan Approver Organization & Issue Approver	When the Issue is with the Action Plan Approver, the Issues that are not locked are revoked from the old Action Plan Approver and are assigned to the new Action Plan Approver. **Note:** The changes are not applicable for the already approved issues.
Monitor Stage		
Action Implementation Status	Issue Owner Organization and Issue Owner	When the Issue is with the Issue Owner • Issue is revoked from the old Issue Owner and is assigned to the new Issue Owner. • If the 'Action Approval By' has Issue Owner selected, then: o All the actions that are not locked is updated with the new Issue Owner (action approver). o All the actions that are locked is updated with the new Issue Owner (action approver), once you submit the form. o Actions with the old Issue Owner that are pending for approval, is revoked from the old Issue owner and is assigned to the new Issue Owner. **Note:** The changes are not applicable for the already approved actions.
Any Stage		
Any Status	Issue Due Date	The new due date is reflected in the Issues. The open due date extension requests, if any are revoked when the due date is updated. Admin is notified through an alert. **Note:** The due date validations are applicable.

- At the update closed issue stage, all the sections of the **Issue** form are the same as manage or monitor issue stage based on the stage from which the issue was closed. There are a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.
  - The following are the changes if the issue is closed from manage issue stage.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Closed**. **Note:** There is no change in the status of the issue when an issue is updated.
General	
Issue Details	
Title	Type the title of the issue.
Description	Provide a relevant description of the issue.
Source	

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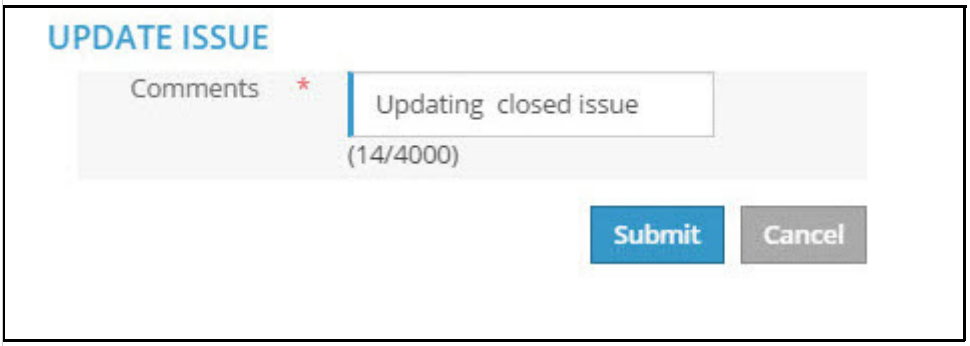
Field/List Name	Description
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed resolution summary. You can also attach documents and images, if required.
Actions	
Update Issue button	By default, the **Update Issue** button is available. When you click this button, the **Update Issue** pop-up window appears.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Issue** window.

- The following are the changes if the issue is closed from monitor issue stage.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Closed**. **Note:** There is no change in the status of the issue when an issue is updated.
General	
Issue Details	
Title	Type the title of the issue.

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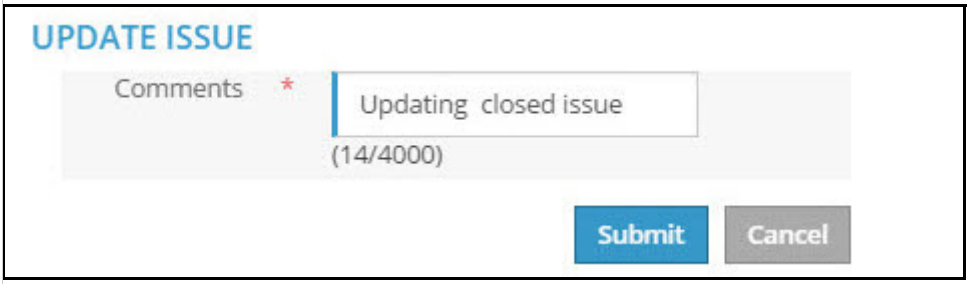
Field/List Name	Description
Description	Provide a relevant description of the issue.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed resolution summary. You can also attach documents and images, if required.
Actions	
Update Issue button	By default, the **Update Issue** button is available. When you click this button, the **Update Issue** window appears.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Note:** Click **Cancel** to discard changes and close the **Update Issue** window.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Update Issue	Issue owner	Issue owner, issue initiator, issue approver

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Action	Assigned To	E-Mail Sent To

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports	
• Issues Report	• Change History Detailed Report
• Detailed Issues Report	• Comments History Report
• Audit Trail Report	• Change History Report
• Reopen Issues Report	• Issue Audit Trail Details Report
• Reopen and Update Change History Report	• Detailed Issues and Actions Report
Charts	
• Closed Issues by Source and Priority Chart	

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Reopening Issues

The users with **ISM Reopen Closed Issues** activity can reopen closed issues using the **Reopen Issues** report.

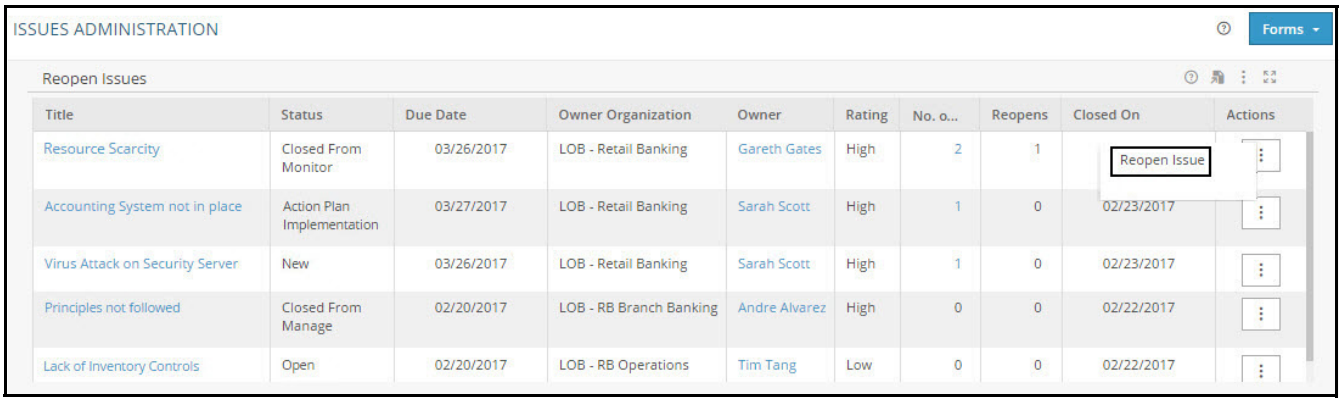
You can reopen issues that were closed from manage issue stage or monitor issue stage. The reopened issue is assigned to manage or monitor issue stage based on the stage from which it is closed. For example, if the issue owner closes the issue from the monitor issue stage, then the reopened issue will be assigned to the issue owner at the monitor issue stage. Similarly, if the issue owner closes the issue from the manage issue stage, then the reopened issue will be assigned to issue owner at the manage issue stage. While reopening issues, you can change the owner and the due date of the issue.

To reopen closed issues:

1. Navigate to **Issues Administration** and click **Reopen Issues**.
2. Click the More Actions icon in the **Actions** column and select the **Reopen Issue** option, in the **Reopen Issues** report, as shown in the following figure.

Note: Administrators can view and reopen issues when they are assigned with the activity, "ISM - Reopen Issues" along with the combination of following activities:

- ISM - View Issue by Issue Owner Org
- ISM - View Issue by Issue Approver Org
- ISM - View Issue by Related To Org



Title	Status	Due Date	Owner Organization	Owner	Rating	No. o...	Reopens	Closed On	Actions
Resource Scarcity	Closed From Monitor	03/26/2017	LOB - Retail Banking	Gareth Gates	High	2	1		
Accounting System not in place	Action Plan Implementation	03/27/2017	LOB - Retail Banking	Sarah Scott	High	1	0	02/23/2017	
Virus Attack on Security Server	New	03/26/2017	LOB - Retail Banking	Sarah Scott	High	1	0	02/23/2017	
Principles not followed	Closed From Manage	02/20/2017	LOB - RB Branch Banking	Andre Alvarez	High	0	0	02/22/2017	
Lack of Inventory Controls	Open	02/20/2017	LOB - RB Operations	Tim Tang	Low	0	0	02/22/2017	

Figure 72 Reopen Issue option in the Reopen Issues Report

The **Issue** form appears.

Workflow Changes

At the reopen closed issue stage, all the sections of the **Issue** form are the same as manage or monitor issue stage based on the stage from which the issue was closed. There are a few field-level changes which are captured in the following table. For detailed description of each field, see Initiating or Logging Issues.

Field/List Name	Description
Header	
Status	Displays the status of the issue as **Closed**. **Note:** When the issue reopened and is assigned to the issue owner in the manage issue or monitor issue stage, the status of issue changes to **Reopened**.
General	

Field/List Name	Description
Issue Details	
Due Date	Enter the date by which the issue should be resolved. **Notes:** - If you submit the form with the issue due date less than the current date, then a message "Issue Due Date should be greater than or equal to the Current Date" is displayed. - When the issue administrator changes the issue due date and submits the form, the issue is assigned to the **issue owner** without the need for approval.
Reopens *(appears only if the issue is reopened)*	Displays the number of times the issue has been reopened.
Source	
Recommendation *(appears if the issue is triggered from MetricStream **Audit Planning and Execution**)*	Displays the recommendation that is provided to solve an issue.
Ownership and Security	
Owner	You can select a different owner for the issue. The users associated with the selected issue owner organization as well as the parent organization with the activity **ISM Issue Owner** are available for selection.
Additional Details	
Creation	Displays the details of the issue in the following fields: • **Created On**: Displays the date on which the issue is created. • **Created By**: Displays the name of the issue initiator.
Modification	Displays the modification details of the issue in the following fields: • **Last Modified On**: Displays the date on which the issue is modified. • **Last Modified By**: Displays the name of the user who modified the issue.
Resolution Summary	
Issue Resolution Summary	Click the RTF icon or anywhere within the text box to type the details of the solution for the issue. The Rich Text Format window appears. Provide a detailed resolution summary. You can also attach documents and images, if required.
Actions	

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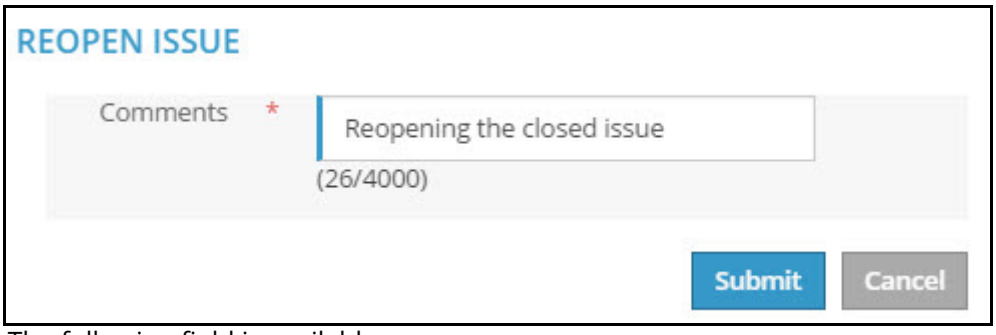
Field/List Name	Description
Reopen Issue button	By default, the **Reopen Issue** button is available. When you click this button, the **Reopen Issue** window appears.  The following field is available: • **Comments**: Type relevant comments. Click **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Reopen Issue** window. - The comments that you enter in the **Reopen Issue** window are displayed in the **Comments History** report in the manage issue or monitor issue stages in the **Issue** form. - Once the issue is assigned to the **issue owner** in the manage issue or monitor issue stage, the issue follows the regular issue workflow from that particular stage. - At the manage issue stage, the **Request for Clarification** option is restricted so that the reopened issue is not sent back to the **issue initiator** or **initial approver**.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Reopen Issue	Issue owner	Issue owner, reassigned issue owner, issue initiator CC: issue approver

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports	
• Issues Report	• Reopen Issues Report
• Detailed Issues Report	• Reopen and Update Change History Report
• Issue Aging Report	• Change History Detailed Report

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• Audit Trail Report	• Comments History Report
• Open Issues Report	• Change History Report
• My Issues Report	• Issue Audit Trail Details Report
• Detailed Issues and Actions Report	• Detailed Issues and Actions Report
Charts	
• Overdue Issues by Source and Priority Chart	• Issues by Source Chart
• Open Issues by Rating and Organization Chart	• Issues by Status Chart
• Issues by Area of Compliance Chart	• Issues by Issue Type Chart
• Issues by Priority Chart	• Issue Aging by Organization Chart
• Issues by Rating Chart	

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Updating Actions

The issue administrator can update closed actions using the **Reopen Issues** report. The users with the activity **ISM Update Closed Actions** can edit or update the action title, description, work done in resolving the issue and the results of the actions taken to resolve the issue in the closed **Action** form. Once you update the fields and submit the form, the **Action** form in the closed action stage will be updated but the action remains closed.

To update closed actions:

1. Navigate to **Issues Administration** and click **Reopen Issues**.
2. Click the action count in the **No. Of Actions** column of the **Reopen Issues** report, as shown in the following figure:

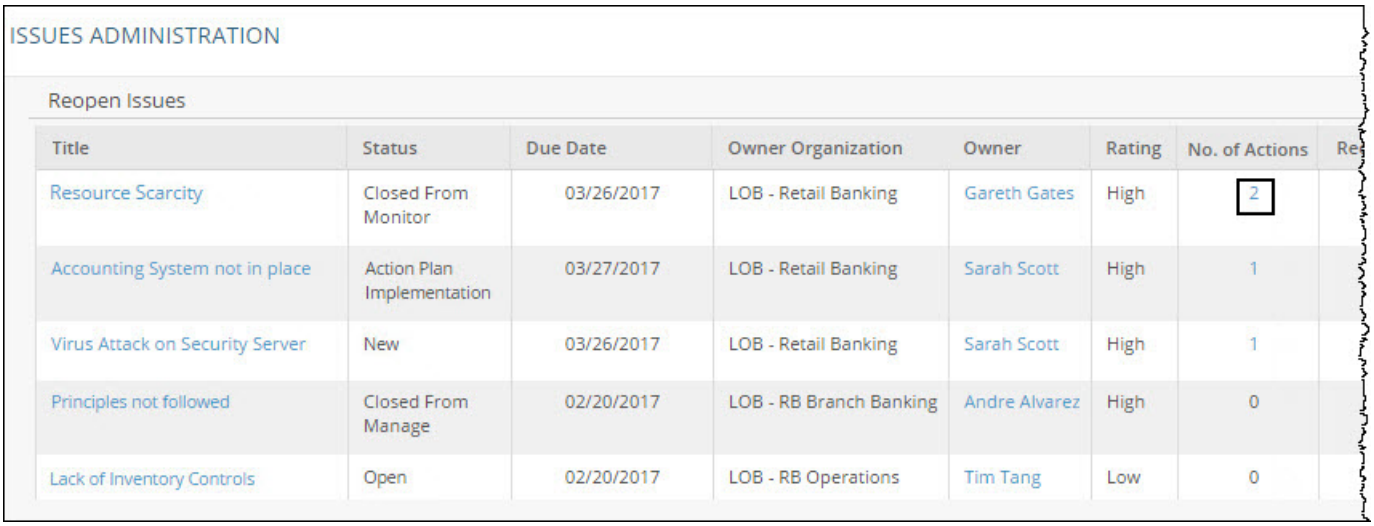


Figure 73 Accessing Action List Drill Down Report

The **Action List Drill Down Report** appears.

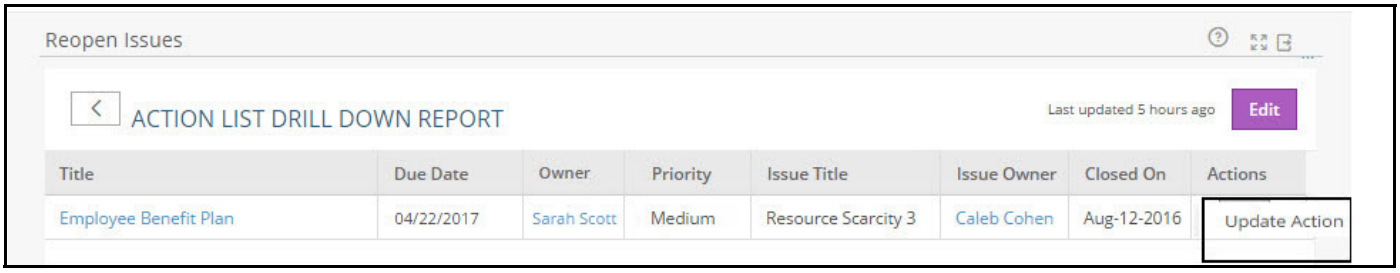


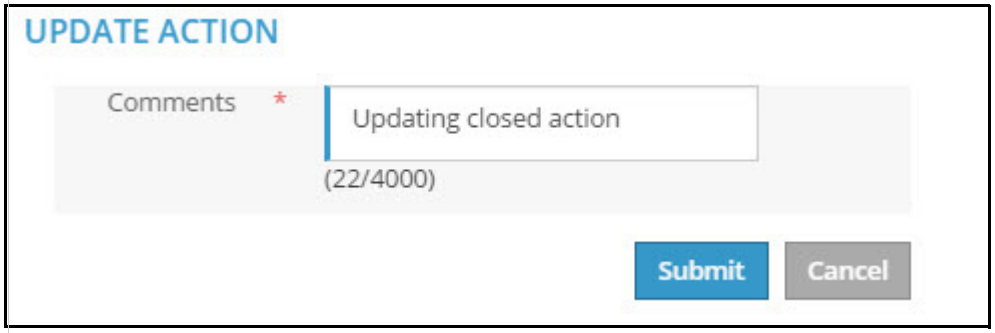
Figure 74 Update Action option in Action List Drill Down Report

3. Click the More Actions icon in the **Actions** column and select the **Update Action** option, in the **Action List Drill Down Report**.

The **Action** form appears.

Workflow Changes

At the update closed action stage, most of the sections of the **Action** form are the same as implement action stage except for a few field-level changes which are captured in the following table. For detailed description of each field, see Implementing Action Items.

Field/List Name	Description
Header	
Status	Displays the status of the action as **Closed**. **Note:** There is no change in the status of the action when the action is updated.
General	
Action Details	
Title	Type the title of the action.
Description	Provide a relevant description of the action.
Documentation	
Work Done	Click the RTF icon or anywhere within the text box to provide details about the work done to remediate the issue. The Rich Text Format window appears. Provide a detailed description of the work done. You can also attach documents and images, if required.
Results	Click the RTF icon or anywhere within the text box to provide details of the outcome of the implemented action. The Rich Text Format window appears. Provide a detailed description of the results. You can also attach documents and images, if required.
Actions	
Update Action button	By default, the **Update Action** button is available. When you click this button, the **Update Action** window appears.  The following field is available: • **Comments**: Type relevant comments. Click the **Submit** to save the details and submit the form. **Notes:** - Click **Cancel** to discard changes and close the **Update Action** window. - An action can be updated multiple times.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
Update Action	Not Applicable	Action owner, CC: Action approver, issue owner

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports	
• Issues Report	• Reopen and Update Change History Report
• Detailed Issues Report	• Change History Detailed Report
• Audit Trail Report	• Comments History Report
• Actions Report	• Change History Report
• Detailed Actions Report	• Detailed Issues and Actions Report
Charts	
• Closed Issues by Source and Priority Chart	

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Bulk Re-assigning of Issues/Actions

The issue administrator can re-assign issue owner, action owner, issue approver, action approver, issue initiator, issue reviewer or action reviewer individually or in group, using the **Bulk Re-assignment** form.

Use the **Bulk Re-assignment** form to:

- Change ownership
- Re-assign issues/actions in bulk

Note: Future assignments cannot be reassigned using the **Bulk Re-assignment** form.

Accessing Bulk Re-assignment Form

1. Navigate to **Issues Administration** and click **Forms**.
2. In the **Perform** menu, click **Bulk Re-assignment** link as shown in the following figure.

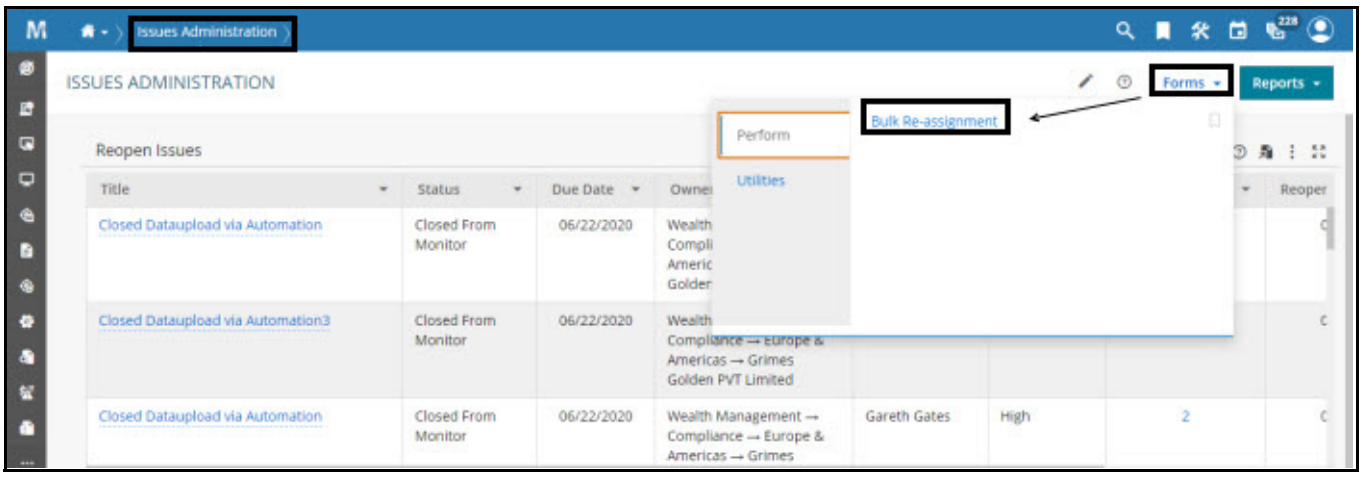

Figure 75 Accessing Bulk Re-assignment Form

The **Bulk Re-assignment** form appears.

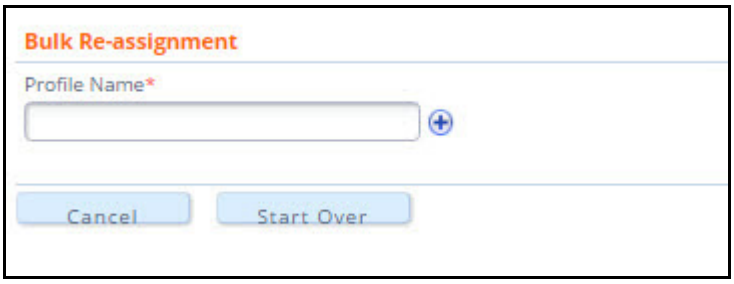

Figure 76 Bulk Re-assignment Form

Field/List Name	Description
Profile Name	Select the profile name given during the profile creation. You can select only one value at a time.

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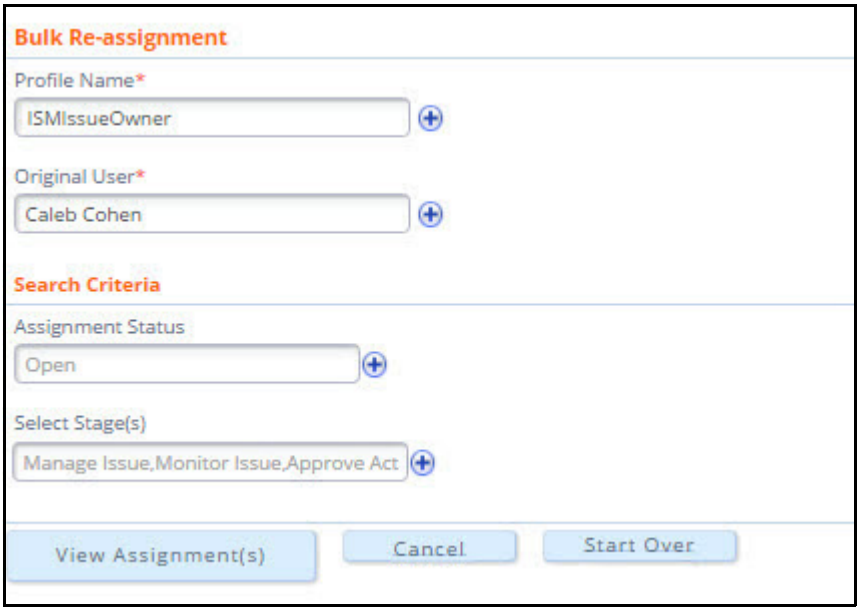
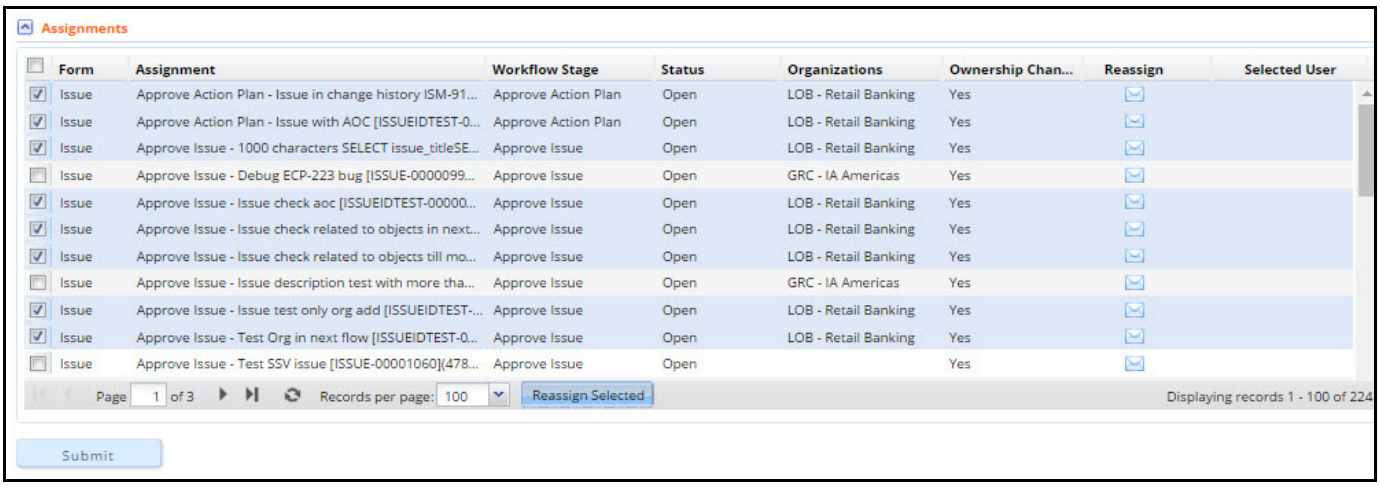
Field/List Name	Description
The following fields appear when you select the profile name in the **Profile Name** field.	



Original User	Select the original user whose assignments you want to reassign. When you select a user, the **View Assignment(s)** button is displayed. **Note:** The users are displayed based on the infolet-profile mapping.
Search Criteria	
Assignment Status	Select the statuses of the assignments that you want to reassign.
Select Stage(s)	Select the stages of the assignments that you want to reassign.
Buttons	
View Assignment(s)	Click this button to view the assignments related to the selected original user, as shown in the following figure. **Note:** If you have selected the search criteria, you can view the assignments based on the selected criteria, otherwise, the module displays all the assignments that are assigned to the selected original user.



Cancel	Click this button to close the **Bulk Reassignment** form.

Field/List Name	Description
Start Over	Click this button to reload the **Bulk Reassignment** form.
Assignments	
Form	Displays the name of the form.
Assignment	Displays the assignment text.
Workflow Stage	Displays the workflow stage of the action or issue.
Status	Displays the status of the action or issue.
Organizations	Displays the organizations to which the action or issue belongs. This column does not display any values when you select **ISMActionOwner** and **ISMActionApprover** in the **Profile Name** field. **Note:** All the assignments selected for reassignment should be from the same organization.
Ownership Change?	Select if you want to change the ownership of the issue or action. The available options are: • Yes • No **Note:** You can also select these options in the **Ownership Change?** field available in the **Reassign User** window. For more information, see Re-assigning Users.
Reassign	Click the icon in the field to reassign the action or issue to the selected user. The **Reassign Users** window appears. For more information on how to reassign users using the **Reassign Users** window, see Re-assigning Users.
Selected User	Displays the user that you select in the **Reassign Users** window. For more information on how to reassign users using the **Reassign Users** window, see Re-assigning Users.
Reassign Selected button	Click this button to reassign the actions or issues to the selected users. **Note:** If you click the **Reassign Selected** button without selecting any user, then the **Reassign Users** window appears. Provide the necessary details and submit the form.
Submit button	Click this button to submit the **Bulk Re-assignment** form.

The issue administrator can reassign issues or actions in the following ways:

- By changing the ownership of the issue or action
- By retaining the existing ownership

Changing Ownership of Issues/Actions

Based on the profile selected in the **Bulk Re-assignment** form, the issue administrator can reassign the issue/action to another user with similar activities as the original user, belonging to the same organization or parent organizations. You can do this by selecting **Yes** in the **Ownership Change?** column in the **Assignments** section.

The different profiles available are issue owner, action owner, issue approver, action approver, issue initiator, issue reviewer or action reviewer.

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For example, the administrator has the privilege to select a different user as an issue owner within the same issue owner organization as well as the parent organization, for changing the ownership of the issue. The issue can be re-assigned to users with the **ISM Issue Owner** activity.

Once a new user is selected, all the subsequent assignments will be triggered to the new user, and the previous user is no longer valid.

Retaining Existing Ownership

Based on the profile selected in the **Bulk Re-assignment** form, the issue administrator can select a different user with similar activity as the original user within the same organization as well as the parent organization, by retaining the original user. You can do this by selecting **No** in the **Ownership Change?** column in the **Assignments** section.

The different profiles available are issue owner, action owner, issue approver, action approver, issue initiator, issue reviewer or action reviewer.

For example, the administrator has the privilege to select a different user as an issue owner within the same issue owner organization as well as the parent organization, for changing the ownership of the issue. The issue can be re-assigned to users with the **ISM Issue Owner** activity.

Once a new user is selected, only the immediate assignment is triggered to the new user and all the subsequent assignments will be triggered to the original user.

Re-assigning Users

You can re-assign an assignment to a user by clicking the icon corresponding to the assignment that you want to reassign and selecting required details, in the **Assignments** section of the **Bulk Re-assignment** form. For more information, see Assignments.

Note: All the assignments selected for reassignment should be from the same organization.

If the same user is assigned to different roles as part of the issue workflow, and if the issue administrator reassigns the user in one of these roles, then the assignment assigned to the other role(s) will also be reassigned without the change of ownership. This happens due to the current design limitation.

For example, consider a scenario where the profile selected is **ISMActionPlanApprover**. The assignment that has to be reassigned is currently at the manage issue stage, where the same user is assigned to a different role such as **ISMIssueOwner**. Even though, the reassignment should happen only to the user selected in the **Action Plan Approver** field, currently, the **Issue** form, in the manage issue stage, also gets reassigned to the new user without an ownership change.

Perform the following steps to reassign multiple assignments to a user simultaneously (bulk re-assignment):

1. Select the check box or check boxes corresponding to the assignments that has to be reassigned in the **Assignments** section of the **Bulk Re-assignment** form. For more information, see Assignments.

   Note: All the assignments selected for reassignment should be from the same organization.

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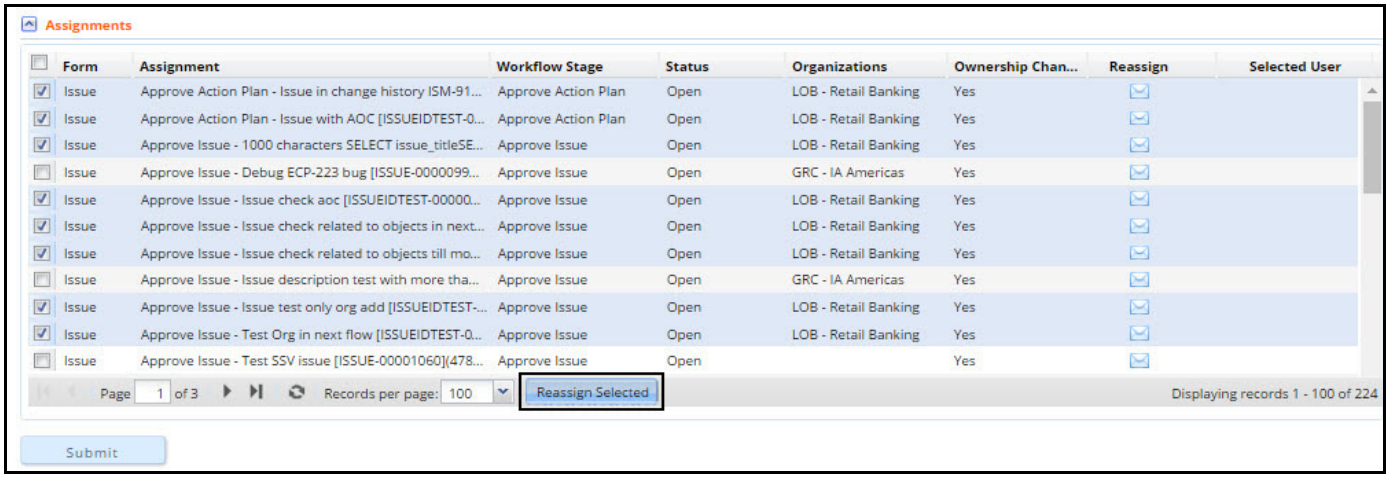
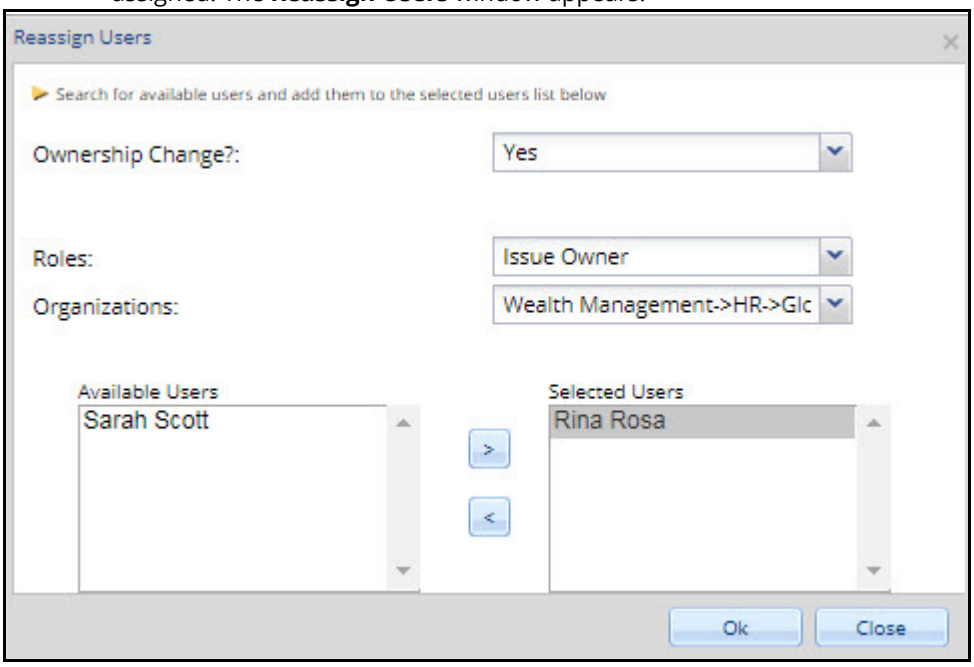


2. Click the **Reassign Selected** button.

   The **Reassign Users** window appears.

   Note: To reassign only a single user, click the icon in the Reassign field corresponding to the assignment that has to be re-assigned. The **Reassign Users** window appears.



3. Select **Yes** or **No** in the **Ownership Change?** field based on whether you want to change the ownership or not.

   Note: The issue administrator has the privilege to select a different user as an issue initiator within issue initiator organization as well as the parent organization, for changing the ownership of the initiator. The issue can be reassigned to users with the activity **ISM Create Issue**.

4. Select roles and organizations in the **Roles** and **Organizations** fields respectively.
5. Click the Right Arrow icon to move users from **Available Users** pane to the **Selected Users** pane.
6. Click **Ok**.

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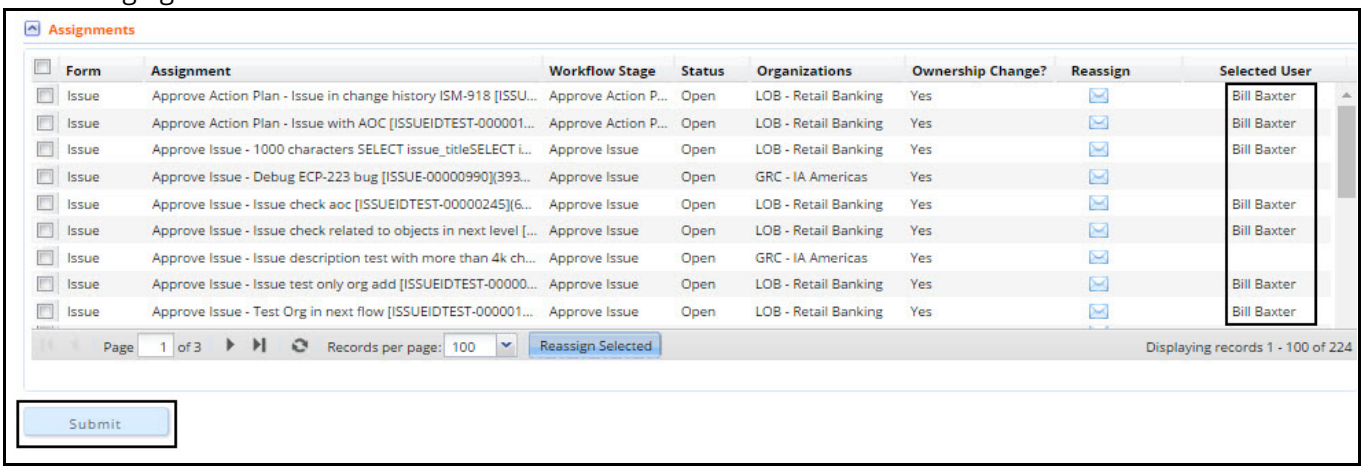
The selected user is displayed in the **Selected User** column in the **Assignments** section as shown in the following figure.



7. Click **Submit** to reassign the assignment to the selected user.

Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
If the profile chosen in the **Profile Name** field is **ISMIssueInitiator**, the assignments in the following stages can be reassigned: • Save and Continued Issue • Reviewed Issue • Clarify Issue • Approve Issue Due Date Change		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMIssueReviewer**, the assignments in the following stages can be reassigned: • Review Issue		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMInitialApprover**, the assignments in the following stages can be reassigned: • Approve Issue • Approve Issue Due Date Change • Cancel Issue		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMActionPlanApprover**, the assignments in the following stages can be reassigned: • Approve Action Plan		
Reassign Selected	New user	Reassigned user

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Action	Assigned To	E-Mail Sent To
If the profile chosen in the **Profile Name** field is **ISMIssueOwner**, the assignments in the following stages can be reassigned: • Manage Issue • Monitor Issue • Reopened Manage Issue • Reopen Monitor Issue • Redo/Clarify Issue • Approve Action Due Date Change • Clarify Cancellation • Confirm Action Approval		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMFinalApprover**, the assignments in the following stages can be reassigned: • Close With Approval		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMActionOwner**, the assignments in the following stages can be reassigned: • Implement Action • Reviewed Action • Clarify Action		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMActionReviewer**, the assignments in the following stages can be reassigned: • Review Action		
Reassign Selected	New user	Reassigned user
If the profile chosen in the **Profile Name** field is **ISMActionApprover**, the assignments in the following stages can be reassigned: • Approve Action		
Reassign Selected	New user	Reassigned user

Related Reports and Charts

The following reports and charts are updated after you submit the current form:

Reports	
• Issues Report	• Actions Report
• Detailed Issues Report	• Detailed Actions Report
• Issue Aging Report	• My Actions Report
• Audit Trail Report	• Reopen and Update Change History Report
• My Issues Report	• Change History Detailed Report
• Open Issues Report	• Detailed Issues and Actions Report

Charts

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• Overdue Issues by Source and Priority Chart	• Issues by Source Chart
• Open Issues by Rating and Organization Chart	• Issues by Status Chart
• Issues by Area of Compliance Chart	• Issues by Issue Type Chart
• Issues by Priority Chart	• Issue Aging by Organization Chart
• Issues by Rating Chart	

For consolidated information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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MS Excel Upload Template

Use the MS Excel upload template to select the stage at which the issues have to be uploaded to the system. You can select the stage in the **Upload Stage** column of the template. The available stages are approved, manage, monitor, and closed. The issues are automatically assigned to the approver or issue owner specified in the MS Excel upload template corresponding to the selected stage. You can also map the actions as well as the related objects to specific issues. To map the actions, navigate to the action worksheet in the MS Excel upload template and select the required action details. To map related objects, navigate to the Related To Objects worksheet and select the related objects.

Accessing MS Excel Upload Template

1. Login as issue administrator.
2. Navigate to **Issues Administration** and click **Reports**.
3. Click **Data Import Excel Template** report as shown in the following figure.

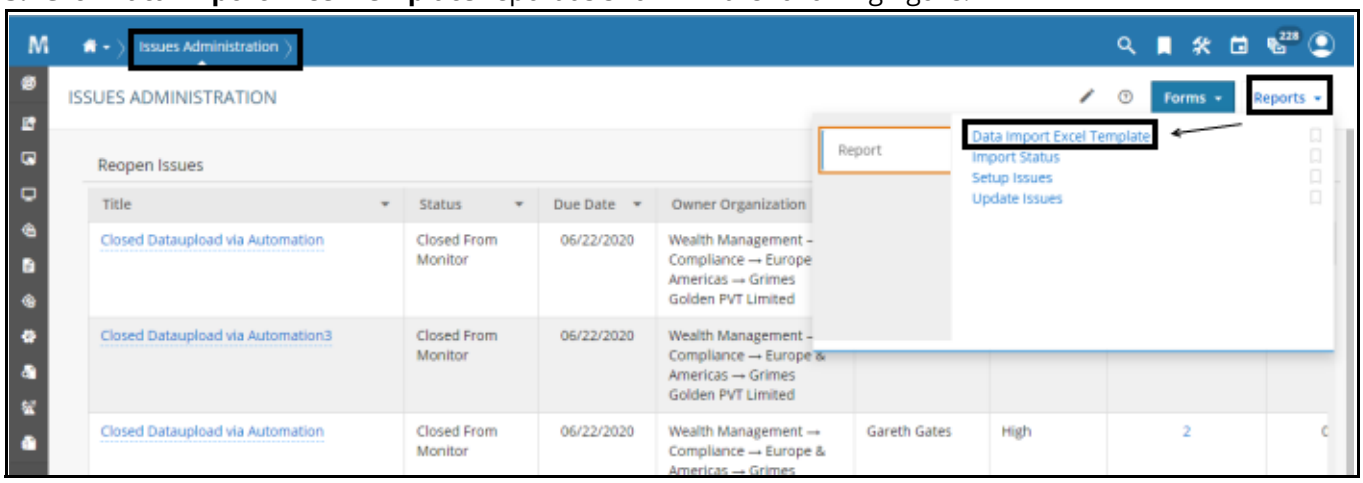

Figure 77 Accessing MS Excel Upload Template

4. In the **Download Import Excel** report, select **MS_ISM_ISSUE.xls** link in the Template File column.

The **MS_ISM_ISSUE.xls** appears.

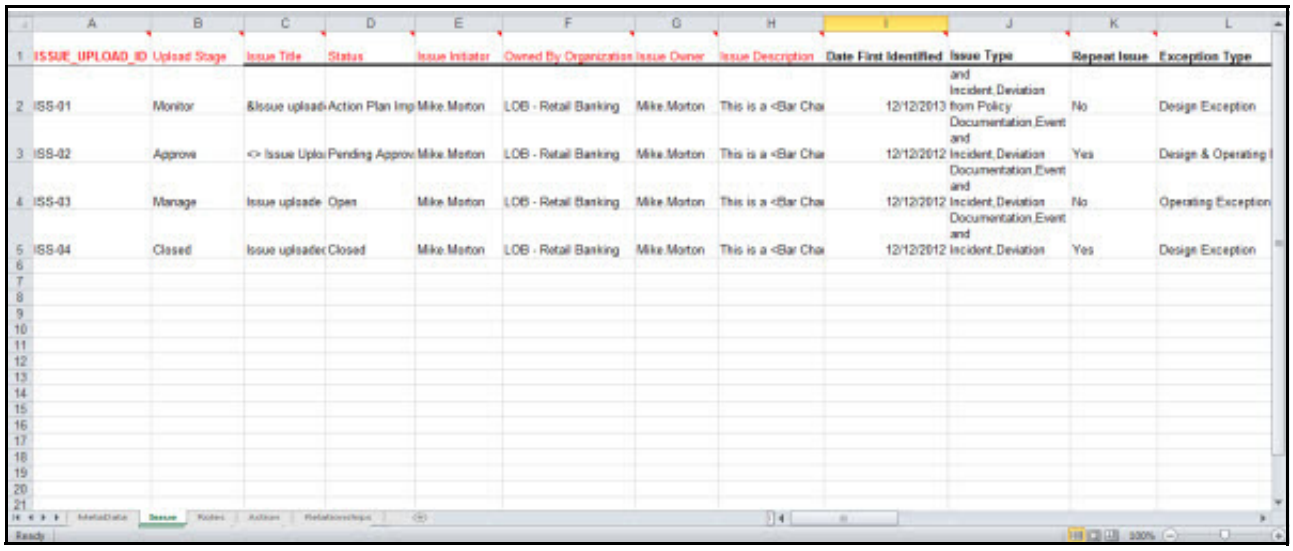

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Figure 78 Issue Upload Template

Label	Description
Issue	
ISSUE_UPLOAD_ID	The issue ID from the legacy module which has to be unique for the list of issues in the upload sheet.
Upload Stage	The following are the different stages at which the user would be able to upload the issues: • Approved • Manage • Monitor • Closed
Issue Title	The title of the issue. This title appears in the form once the issue is uploaded.
Status	The different statuses of the issue corresponding to the stage at which the issue is uploaded. • Pending Approval • Open • Action Plan Implementation • Closed
Issue Initiator	The user ID of the person defining the issue. This user can provide additional information on the issue.
Owned By Organization	Name of the organization as defined in the module, to which the issue is associated.
Issue Owner	User ID of the person as defined in the module, who is responsible to resolve the issue.
Issue Description	Detailed description of the issue.
Date First Identified	Date on which the issue was identified. This date has to be less than the current date.
Issue Type	Define the type of issue to which the current issue can be associated with. A single issue can be associated to multiple issue types by selecting different values from the drop-down values available.
Regulatory Finding Sub-Type	Select the relevant regulatory finding sub-type for the issue. The available options are: • Article (Consent Order Related) • Exception • Finding • Matter Requiring Attention (MRA) • Matter Requiring Immediate Attention (MRIA) • Memorandum of Understanding (MOU) **Note:** This column is applicable only when one of the Issue Type is selected as **Regulatory Finding.**
Repeat Issue	Select if this issue is a repeat issue or not.
Exception Type	Define the type of exception because of which the issue occurred. Select a value from the drop-down list available.
Source Type	Provide the type of source from which the issue was triggered. Select the source type from the available drop-down list.

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Label	Description
Source	Provide the source from which the issue was triggered. Select the source from the available drop-down list.
Recommendation	Provide your recommendation to solve the issue.
Ad-Hoc Source	If the **Source Type** selected is **Ad-Hoc**, the user can provide the source of the issue.
Ad-Hoc Source Details	If the **Source Type** selected is **Ad-Hoc**, the user can provide details regarding the source of the issue.
Priority	Define the priority of the issue. Select a value from the list.
Disposition	Select the required option. The available options are: • **Reportable**: Select the option to identify the issue as reportable. The reportable issues are available in the Finalize Issues report for further tracking. • **Non-Reportable**: Select the option to identify the issue as non-reportable. The non-reportable issues are closed. • **Reportable (Already Addressed)**: Select the option to identify the issue as reportable but already addressed issue. The Reportable (Already Addressed) issues are closed.
Issue Due Date	The date by which the issue is expected to be resolved. For all open issues, due date should be greater than or equal to the current date. For closed issues, issue due date can be lesser than the current date.
Issue Rating	Define the rating of the issue. Select a value from the list.
Impact	Select the impact of the issue from the options available in the list.
Likelihood	Select the likelihood of the issue occurrence from the options available in the list.
Loss/ Gain	Mention if there is a loss or gain because of the issue. Select a value from the list.
Loss/ Gain Amount	Type the amount of loss or gain incurred due to the issue.
Initial Approver Organization	Name of the organization as defined in the module, from which the **initial plan approver** is selected.
Initial Approver	User ID of the person as defined in the module, who is responsible to approve the defined initial plan.
Action Plan Approver Organization	Name of the organization as defined in the module, from which the **action plan approver** is selected.
Action Plan Approver	User ID of the person as defined in the module, who is responsible to approve the defined action plan.
Final Approver Organization	Name of the organization as defined in the module, from which the **final approver** is selected.
Final Approver	User ID of the person as defined in the module, who is responsible to approve the final issue closure.

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Label	Description
Action Approval By	Select who has to approve the issue. The available options are: • Action Approver • Action Approver (optional) and Issue Owner • Action Approver and Issue Owner • Issue Owner • Issue Owner and Action Approver • No Approver
Issue Resolution Summary	Type the details of the solution for the issue or the mitigation plan. You can provide this summary only for the closed issues.
Issue Legacy ID	The issue ID from the legacy module.
Roles	
ISSUE_UPLOAD_ID	Type the Issue ID to which this role based approvers are linked in the issue tab.
Approval Stage	Select the approval stage defined for the role base approvers.
Level	Type the approval level defined at the approval stage.
Approver Organizations	Type the name of the approver organizations defined at the approval stage.
Roles	Based on the approver organizations selected, specify the roles defined at the approval stage.
Users	Based on the selected approver organizations and roles, specify users defined at the approval stage.
Approvals?	• All: Select when approvals are required by all the specified users. • Any: Select when approvals can be done by any one of the specified user.
Action	
ISSUE_UPLOAD_ID	Type the issue ID given in the Issues worksheet.
ACTION_UPLOAD_ID	Unique value to define the list of actions.
Action Title	Title of the action that has to be taken towards resolving the issue.
Action Type	By default, the type of action is set to **Normal**.
Action State	Indicate the status of the action for: • The issues in pending approval and manage issue stages, you can upload only open actions. • Issues in monitor issue stage, you can upload open and closed actions. • Closed issues, you can upload only closed actions.
Action Owner Organization	If the **Enable Action Owner Organization** is set to **Yes** for selected source, then specify the name of the action owner organization. For more information on setting up issues, see Setting up Issues.
Action Owner	User ID of the person as defined in the module, who is responsible for the action to be taken. **Note:** If an Action Owner Organization is specified, then the action owner must belong to the specified action owner organization.
Action Approver Organization	If **Enable Action Approver Organization** is set to **Yes** for the selected source, then specify the organization responsible for approving the action. For more information on setting up issues, see Setting up Issues.

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Label	Description
Action Approver	User ID of the person as defined in the module, who is responsible to approve the action taken by action owner.
Action Start Date	Date on which the action should start.
Action Due Date	Date on which the action is expected to be completed.
Priority	Define the priority of the actions. Select a value from the list.
Impacted Organizations	Enter the other organization impact details, when plans are added in multirow.
Action Description	Enter the details of the steps or instructions for the action to be taken.
Work Done	Action owner can provide the details of the work done for the action.
Results	Action owner can provide the results of the work done on the action.
Action Legacy ID	Action ID from legacy module
Related To Objects	
ISSUE_UPLOAD_ID	Type the issue ID given in the Issues worksheet.
Object Type	Select the type of GRC Object to which the issue is associated.
Object ID	The Object ID as defined in the GRC library.
Object Name	The object name as defined in the GRC library.
Comments	Provide any additional information, if any, regarding the GRC Object.

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Importing Data

An administrator can import issues and actions using the **Import Data** form. Issues can be imported at approval, manage, monitor, and closed issue stages. By importing issues at the closed stage, you can capture the legacy issues.

Importing Issues at Approval stage

When issues are imported at the approve issue stage, the issue approver specified in the MS excel sheet template receives the **Issue** form in the approve issue stage as an assignment. For more information on MS excel upload template, see MS Excel Upload Template.

As the issue approver defines the action plans for the specified issue in the approve issue stage, the action related fields are not mandatory. Only the issue related fields are mandatory. At this stage, the status of the issues that are imported is **Pending Approval**.

Importing Issues at Manage Stage

When issues are uploaded at manage issue stage, the issue owner specified in the MS excel template receives the **Issue** form in the manage issue stage as an assignment. For more information on MS excel upload template, see MS Excel Upload Template.

As the issue owner defines the action plans for the specified issue, the action related fields are not mandatory. Only, the issue related fields are mandatory. At this stage, the status of the issues that are imported is **Open**.

Importing Issues at Monitor Stage

When the issues are uploaded at the monitor issue stage, the issue owner specified in the MS excel template receives the **Issue** form in the monitor issue stage as an assignment. For more information on MS excel upload template, see MS Excel Upload Template.

As the action owner identified for the actions is assigned the **Action** form in the implement action stage, all the action related fields are mandatory except for the **Work Done** and **Results** fields. Also, the issue related fields are mandatory. The status of the issues that are imported is **Action Plan Implementation** and the status of the actions that are imported is **Open**.

Importing Issues that are Closed

You can import the issues that are in closed state to capture the legacy issues. In this stage, the **Legacy ID** field is enabled and is non-mandatory in both the issue as well as the action forms. At this stage, the status of the issues that are imported is **Closed**. The status of all the actions that are related to the issues are also **Closed**. Both the issues and actions related fields are mandatory at this stage.

Accessing Import Data Form

1. Login as issue administrator.
2. Navigate to **Issues Administration** and click **Forms**.
3. Click **Utilities** and then click **Import Data**.

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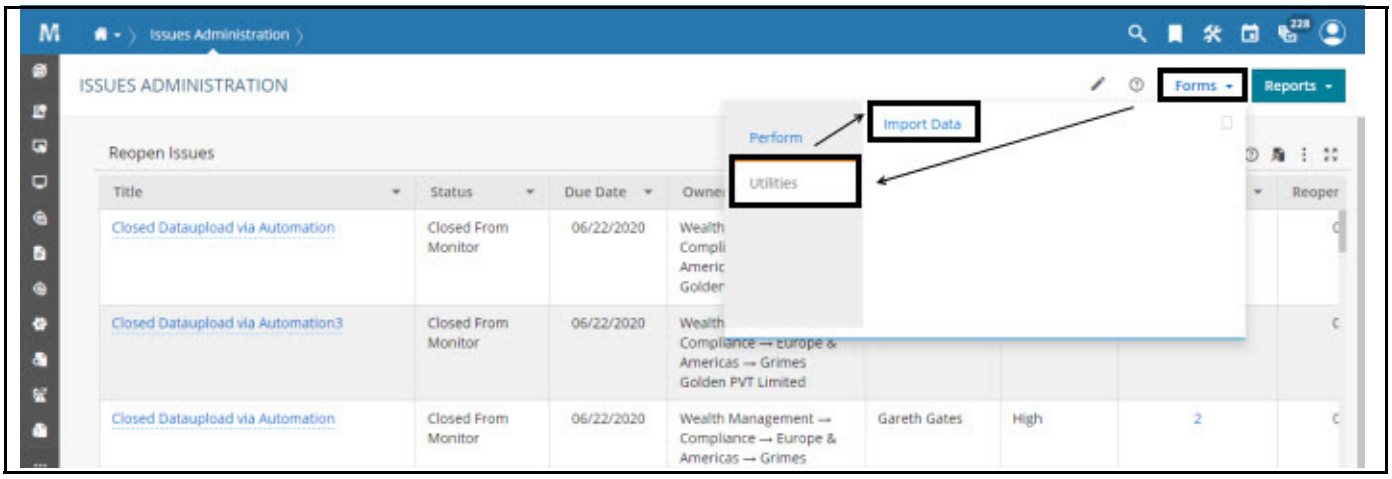

Figure 79 Accessing Import Data Form

The **Import Data** form appears.

4. Provide required details in the **General** section.

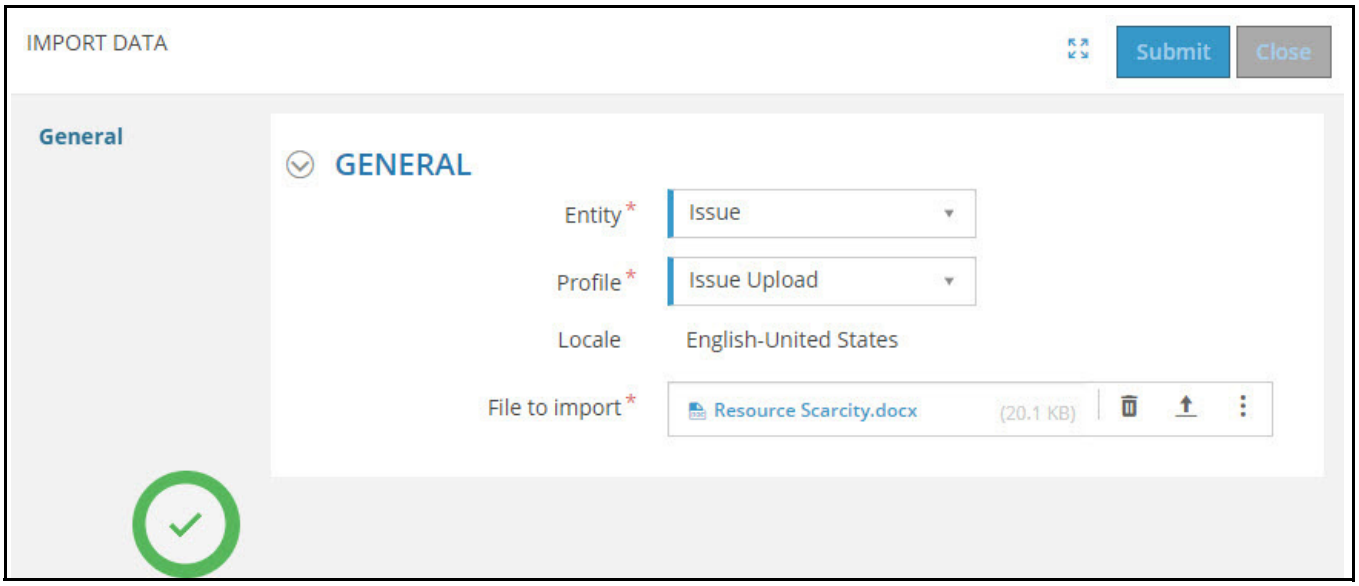

Figure 80 Import Data Form

Field/List Name	Description
Entity	Select the name of the entity as **Issue**.
Profile	Select the profile that you want to upload.
Select Locale	By default, displays the locale as English-United States.
File to import	Click the **Choose File** button to select the relevant file. Once you attach the file, you can: • View the file: Click the file name to view the attachment. • Delete the file: Click the Cancel icon to delete the attachment.

5. After you specify the required details, click **Submit**.

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Assignments and E-Mails

After you submit the current form, the following task assignments and e-mail notifications are generated.

Action	Assigned To	E-Mail Sent To
If the issue is uploaded to the approve issue stage, the following assignments are made.		
Submit	Issue approver	Issue approver
If the issue is uploaded to the manage issue stage, the following assignments are made.		
Submit	Issue owner	Issue owner CC: Delegatee
If the issue is uploaded to the monitor issue stage, the following assignments are made.		
Submit	Issue owner	Issue owner CC: Delegatee
If the issue is uploaded to the closed issue stage, the following assignments are made.		
Submit	Not Applicable	Issue initiator, issue owner, issue delegatee

Notes:

- For consolidated information on actions and statuses at different workflow stage, see Actions and Statuses Available in Forms.
- For detailed information on e-mails and notifications, see E-mail Notifications.

Related Reports and Charts

Different charts and reports are updated depending on the stage the issue is uploaded into. For information on reports and charts that are impacted at every stage, see Related Reports and Charts.

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Setting up Issues

Use the **Setup Issues** form to configure the Issue form to view the Action Owner Organization column and Action Approver Organization column in the **Action Plan** section. You can also configure to link other sources to the existing issues in the **Source** section of the Issue form.

1. Login as issue administrator.
2. Navigate to **Issues Administration** and click **Reports.**
3. Click **Setup Issues**.
   The **Setup Issues** form is displayed.

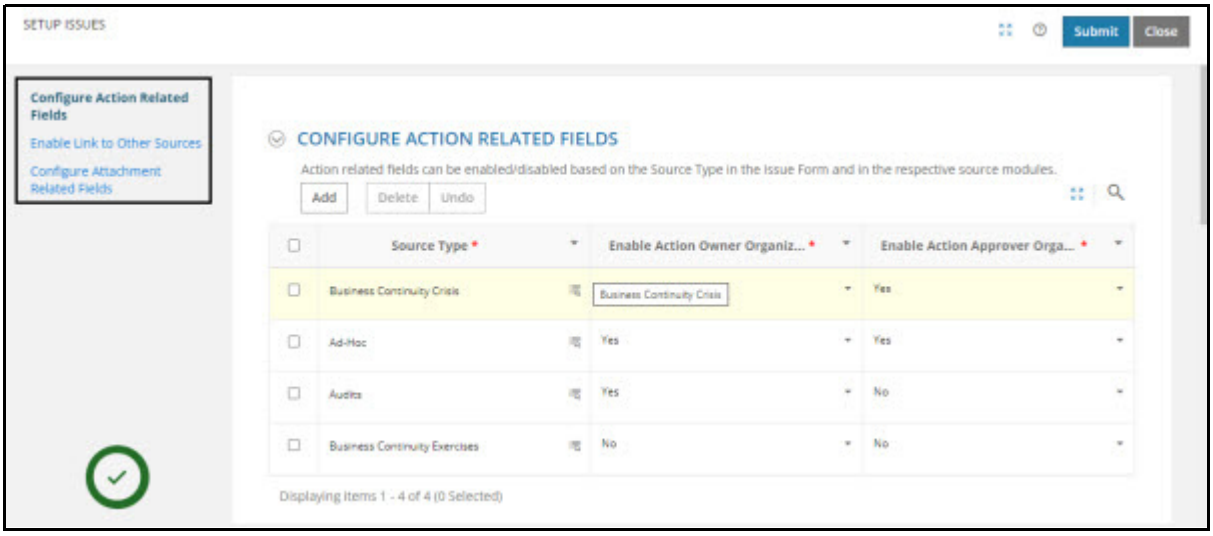

Figure 81 Setup Issues

4. In the **Configure Action Related Fields** section, click **Add**.
   A row appears in the table.

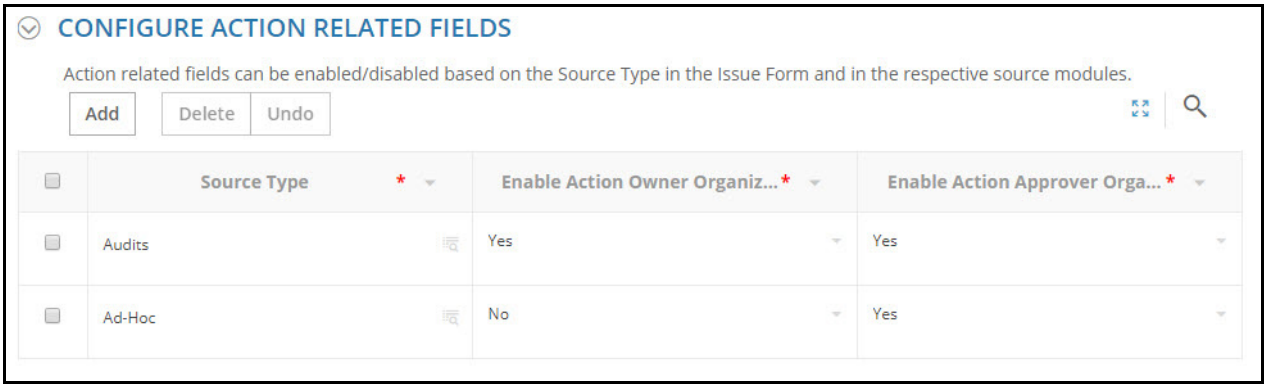

Figure 82 Configure Action Related Fields section

5. Provide information in the columns as described in the following table.

Column	Description
Source Type	Select the source type of the issue for which you want to configure the Action Owner Organization column and Action Approver Organization column.

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Column	Description
Enable Action Owner Organization	• Select **Yes** to make the Action Owner Organization column available for the selected source. The column is displayed in the **Action Plan** section of the **Issue** form. • Select **No** and the Action Owner Organization column is not available for the selected source.
Enable Action Approver Organization	• Select **Yes** to make the Action Approver Organization column available for the selected source. The column is displayed in the **Action Plan** section of the **Issue** form. • Select **No** and the Action Approver Organization column is not available for the selected source.

Notes:

- Click **Delete** to delete the selected row.
- Click **Undo** to retrieve the deleted row.

6. In the **Enable Link to Other Sources** section, click **Add**.
   A row appears in the table.

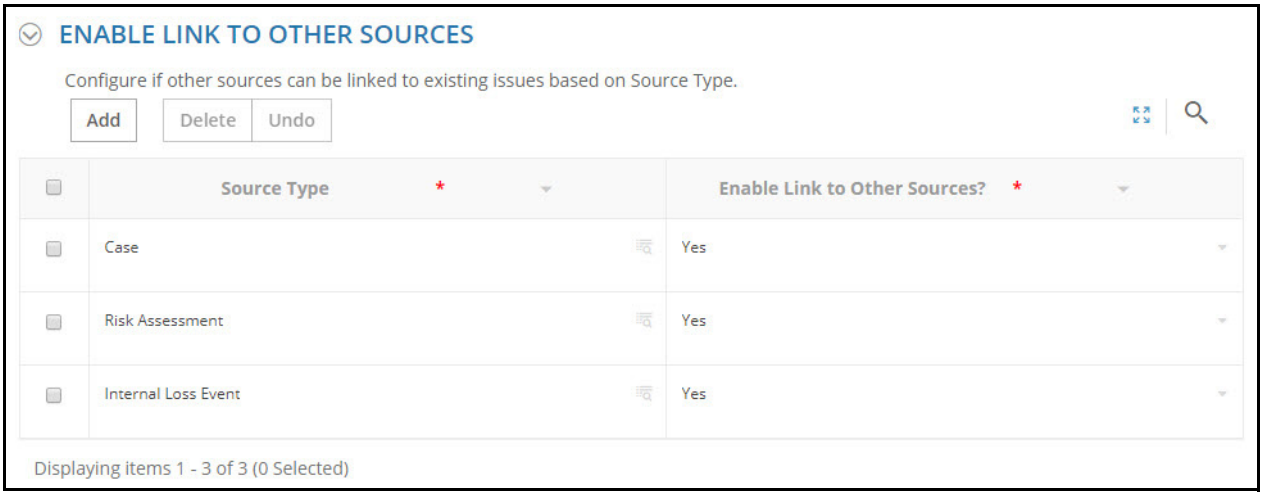

Figure 83 Enable Link to Other Sources section

7. Provide information in the columns as described in the following table.

Column	Description
Source Type	Select the source type of the issue for which you want to configure to enable link other sources with existing issues.
Enable Link to Other Sources?	• Select **Yes** to allow link other sources with existing issues for the source type. The **Other sources** check box is displayed in the **Source** section of the **Issue** form. • Select **No** and you cannot link other sources with existing issues for the source type.

8. In the **Configure Attachment Related Fields** section, click **Add**.
   A row appears in the table.

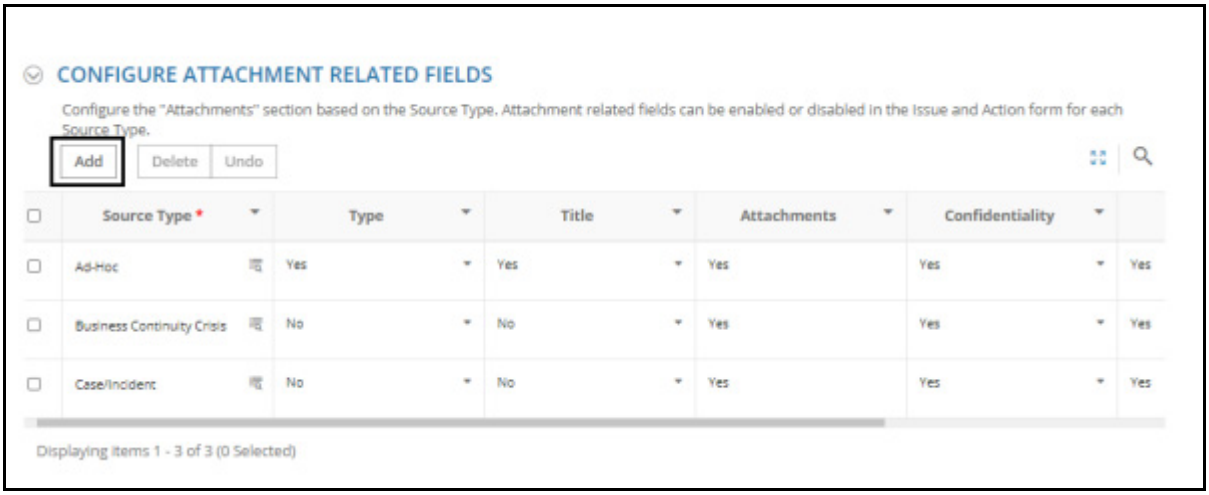

Figure 84 Configure Attachment Related Fields

9. Provide information in the columns as described in the following table.

Column	Description
Source Type	Select the source type of the issue for which you want to configure attachment related fields.
Type	Select the attributes or values based on the source type. **Note:** Based on the attributes selected, the Attachments section in the issue from displays the necessary fields.
Title	• Select **Yes** to make the respective column available for the selected source. The column is displayed in the **Attacments** section of the **Issue** form. • Select **No** and the respective column is not available for the selected source.
Attachments	• Select **Yes** to make the respective column available for the selected source. The column is displayed in the **Attacments** section of the **Issue** form. • Select **No** and the respective column is not available for the selected source.
Confidentiality	• Select **Yes** to make the respective column available for the selected source. The column is displayed in the **Attacments** section of the **Issue** form. • Select **No** and the respective column is not available for the selected source.
Users	• Select **Yes** to make the respective column available for the selected source. The column is displayed in the **Attacments** section of the **Issue** form. • Select **No** and the respective column is not available for the selected source.

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Column	Description
Comments	• Select **Yes** to make the respective column available for the selected source. The column is displayed in the **Attacments** section of the **Issue** form. • Select **No** and the respective column is not available for the selected source.

10. Click **Submit** to save the details.

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Reports

A report is a tabular representation of meaningful data that you can use to make informed decisions. Reports normally consist of multiple columns.

Most of the reports provide filters. By using the filters, you can search for specific content and view the report based on the search results. Some of the reports may have mandatory filters, that is, you can view a specific report only after you provide information in the mandatory filter fields. For more information on filters, see Filters.

You can also hide or display the columns of your choice in the reports. For more information, see Display/Hide Columns in Reports.

For information on reports, see About Reports.

Sections:

- Privileges to View Data in Reports
- Issues Report
- Reopen Issues Report
- Actions Report
- Detailed Actions Report
- Detailed Issues Report
- Detailed Issues and Actions Report
- Issue Aging Report
- Audit Trail Report
- Confidential Issues Report
- Reopen and Update Change History Report
- Change History Detailed Report
- Open Issues Report
- Update Issues Report
- Comments History Report
- Change History Report
- Issue Audit Trail Details Report
- My Issues Report
- My Actions Report
- Delegation History Report
- First Line Issues Report
- Finalize Issues Report
- Risk-Accepted Issues Report
- Self-Initiated Issues Report
- Self-Approved Issues Report

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Privileges to View Data in Reports

The users can view the data relevant to their owner organizations as well as the child organizations. They can also view organization-specific data in the reports. The display of data according to the owner, child and related organizations is controlled by a set of activities.

The following table describes the activities that have to be assigned to the users to view the required data.

Privilege/Activity	Users with This Activity Can...
View First Line Issues	View first line issues that have been created by the logged-in user organization and its child organizations.
View All First Line Issues	View all first line issues in the system.
View issue by issue owner org	View the issues/actions related to the owner organization and its child organizations.
View issue by issue approver org	View the issues/actions related to the approver organization and its child organizations.
View issues by related to org	View the issues/actions that belong to the organizations specified in the **Relationships** section of the **Issue** form. However, based on a configuration parameter, parent organizations can view issues associated with their child organizations.

Note: These activities do not control the data displayed in the **My Issues** and **My Actions** reports as the data in these reports are displayed based on the assignments.

The following scenario helps you understand the activities that control the display of data in reports:

- User name - Bill Baxter
- Owner/Approver organization to which Bill Baxter belongs - Payroll
- Organization selected in **Relationships** section of the **Issue** form - Payroll

If the following activities are assigned to Bill Baxter, then he can view the issues/actions in the reports as described below:

- View issue by issue owner org: Bill Baxter can view issues/actions where Payroll or any of its child organizations have been selected as the owner organization.
- View issue by issue approver org: Bill Baxter can view issues/actions where Payroll or any of its child organizations have been selected as the approver organization (initial, action plan and final approver organizations).
- View issues by related to org: Bill Baxter can view issues/actions where Payroll has been selected as a related-to organization (in the **Relationships** section of the **Issue** form) and the issues/actions related to the child organizations of Payroll.

For more information on user privileges, see E-mail Notifications.

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Issues Report

Use the **Issues** report to view the details of issues that are reported.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Status: Displays the status of the issue.
- Owner: Displays the name of the issue owner. Move the mouse pointer over this field to view the Hover Card.
- Due Date: Displays the date by which the issue is due.
- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Related Objects: Click the icon in the field to view the related GRC object details.

Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

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Reopen Issues Report

Use the **Reopen Issues** report to reopen closed issues across all organizations. Users with **ISM Reopen Closed Issues** activity can reopen closed issues. You can reopen issues that were closed from manage and monitor issue stages. For more information on user privileges, see E-mail Notifications.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Owner: Displays the name of the issue owner. Move the mouse pointer over this field to view the Hover Card.
- No. of Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Action List Drill Down Report
- Reopens: Displays the number of times the issue was reopened.
- Status: Displays the status of the issue. The status indicates whether the issue was closed from the monitor or the manage issue stage.
- Actions: Click the More Actions icon and select the **Reopen Issue** option to reopen the issue. For more information, refer Reopening Issues.

Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

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Update Issues Report

Use the **Update Issues** report to update both open and closed issues across all organizations.

By default, the report shows the records with **Open** status and **High** rating.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Status: Displays the status of issues. Indicates whether the issues are open issues or closed issues.
- Owner: Displays the name of the issue owner. Move the mouse pointer over this field to view the Hover Card.
- No. of Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Action List Drill Down Report.
- Actions: Click the More Actions icon and select the **Update Issue** option to update the issue. For more information on refer Updating Issues.

Action List Drill Down Report

The **Action List Drill Down Report** is a drill down report of the **Reopen Issues** report. Use this report to view the details of the action and update closed actions.

Key Columns:

- Title: Displays the title of the action.
- Closed On: Displays the date on which the action was closed.
- Actions: Click the More Actions icon and select the **Update Action** option to update closed action. For more information on updating actions, see Updating Actions.

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Actions Report

Use the **Actions** report to view the details of actions.

Key Columns:

- Title: Displays the title of the action.
  - Drill-Down: **Action** form. For more information, see Implementing Action Items.
- Owner: Displays the name of the action owner.
- Issue Title: Displays the title of the issue.
- % Complete: Displays the percentage of action completed.
- Closed Date: Displays the date on which the action was closed.

Note: In report filters, if the selected organization structure has **All** defined in any of the dimension, then all the issues mapped to that particular dimension is displayed based on the activity assigned to the logged in user.

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Detailed Actions Report

Use the **Detailed Actions** report to view the details about all the actions defined along with the issue associated with it.

Key Columns:

- Title: Displays the title of the action.
  - Drill-Down: **Action** form. For more information, see Implementing Action Items.
- Status: Displays the status of the action.
- Owner Organization: Displays the organization responsible for implementing the action.
- Owner: Displays the name of the action owner.
- Issue Title: Displays the title of the issue.

Note: In report filters, if the selected organization structure has **All** defined in any of the dimension, then all the issues mapped to that particular dimension is displayed based on the activity assigned to the logged in user.

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Detailed Issues Report

Use the **Detailed Issues** report to view the detailed information about all the issues that are reported.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Status: Displays the status of the issue.
- Rating: Displays the rating of the issue.
- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Related Objects: Click the icon in the field to view the related GRC object details.
- Approved By: The column is applicable only when role based approvals are associated with the issue. Displays the name of the approvers who have approved the issue.
  - When the **Approvals?** type is **All**, then for the first approver of the issue, no approver names are displayed in the column. For subsequent approvers, name of approvers who have already approved the issue is displayed in the column.
  - When the **Approvals?** type is **Any**, the column value is blank.

  Note: The values in the **Approved By** column is displayed in the report only at the Approval stage and is blank in all other workflow stages.

- Approval Pending With: The column is applicable only when role based approvals are associated with the issue. Displays name of the approvers who are yet to approve the issue.
  - When the **Approvals?** type is **All**, then for the first approver, name of all the approvers are displayed. For the subsequent approvers, name of only those approvers who are yet to approve the issue is displayed.
  - When the **Approvals?** type is **Any**, then the name of all the approvers who are yet to approve the issue is displayed.

  Note: The values in the **Approval Pending With** column is displayed in the report only at the Approval stage and is blank in all other workflow stages.

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Detailed Issues and Actions Report

Use the **Detailed Issues and Actions** report to track or view the summary of all issues and its related actions in a single report.

Note: This report, by default, is grouped by Issue Title. Click the **Issue ID** link to open the issue.

Key Columns:

- Issue ID: Displays the ID of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Status: Displays the status of the issue.
- Due Date: Displays the issue due date.
- Owner Organization: Displays the issue owner organization.
- Owner: Displays the issue owner.
- Rating: Displays the rating of the issue.
- Action Title: Title of the action that has to be taken towards resolving the issue.

  Note: If an issue has multiple actions, then the issue details will be repeated for each action.

- Action Status: Displays the current status of the action.
- Action Owner: Displays the current action owner.
- Action Due Date: Displays the action due date.

Note: Click **Generate** to obtain a report in an excel for the selected issue with all the attributes related to the issue and action.

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Issue Aging Report

Use the **Issue Aging** report to view the aggregated count of issues by the time period. This report displays the following:

- Issues that have become overdue in the last 1 month, 1-3 months, beyond 3 months and so on.
- Issues that will become overdue in the next 1 month, 1-3 months, and beyond 3 months.

This split by the time period helps the user to identify issues that need immediate attention (issues already overdue) and plan activities for issues that will become overdue soon.

Notes:

- The issue aging report is displayed based on a configuration parameter. You can view the report based on issue attributes such as Rating, Priority, and so on. By default, the report is displayed based on the Source attribute. For more information on configuration parameters, refer to MetricStream Arno Release Spring '21 - Issues - Administrator Guide.
- The number of months can be configured using a configuration parameter. Contact your system administrator to manage parameters.

Key Columns:

Note: All the columns except **Source** and **Total** drill down to the Issues Report.

- Source: Displays the title of the issue.
- Due This Month: Displays the number of issues that are due in the current month.
- Overdue Past 3 Months: Displays the number of issues that are overdue from past three months.
- Total: Displays the total count of issues initiated from a particular source.

Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

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Audit Trail Report

The **Audit Trail** report provides a complete history of the issue and the associated actions. When you click the **Audit Trail** link, the **Audit Trail** report filter appears. The report is generated only after you select a value in the mandatory report filter field.

Mandatory Filter:

- Issue Title: Select the title of the issue.

For more information on filters, see Filters.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: Issue Audit Trail Details Report
- Source Type: Displays the type of source from which the issue is initiated.

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Confidential Issues Report

Use the **Confidential Issue** report to view the detailed information about the issues that are marked as confidential.

Columns:

- Title: Displays the title of the issue
  - Drill-Down: **Issue** form.
- Status: Displays the status of the issue.
- Due Date: Displays the due date of the issue.
- Owner Organization: Displays the name of the organization that owns the issue.
- Owner: Displays the name of the user who owns the issue.
- Initiator: Displays the name of the user who initiated the issue.
- Rating: Displays the rating of the issue.
- Priority: Displays the priority of the issue.
- Created On: Displays the date when the issue was recorded.
- Description: Displays the detailed summary of the confidential issue.
- Types: Displays the type of confidential issue.
- Action: Displays the number of actions associated with the confidential issue.

The following users can view this report:

- Workflow Users (Except Issue Initiator, other users such as Issue/Action Owners, Issue/Action Approvers, and so on)
- Users belonging to Confidentiality User Group (Issue Initiators have to be explicitly added to this group)
- Users having View Confidential Issues activity
- Delegatees of the workflow users

Note: Confidential issues are restricted in other reports except Confidential issues report, Self identified issues report, and Risk Accepted issues report.

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Reopen and Update Change History Report

The issue administrator can view the list of all the changes made by a user on the issue using the **Change History Report**. You can access this report by clicking the Change History Report button in the upper-right corner of the **Reopen Issues** report.

Key Columns:

- Issue ID: Displays the issue ID grouped by the title of the issue. Click the issue title to view the respective **Issue** form.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Changed By: Displays the name of the user who made changes to the issue or action.
- Detail: Click the icon in the field to view the detailed report of the change history for issues and actions.
  - Drill-Down: Change History Detailed Report

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Change History Detailed Report

Use the **Change History Detailed Report** to view the detailed report of the change history for issues and actions.

Key Columns:

- Field Name: Displays the field that has undergone a change.
- Changed Form/Tab: Displays the form or tab in which there is a change.
- Changed From: Displays the content of the field before it was changed.
- Changed To: Displays the content of the field after the change.

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Open Issues Report

Use the **Open Issues** report to view the details of all the issues and to provide your comments on the ongoing issues. This report does not display the closed and canceled issues.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Ongoing Comments: Click the Comments icon to view the corresponding **Issue** form, where the business users can provide their comments.
  - Drill-Down: **Issue** form. For more information, see Update Comments for Ongoing Issues.

Note: You can view and download the attachments based on the **View All Approver Comments** activity.

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Comments History Report

Use the **Comments History** report to view the comments entered by the users who have worked on the issue/action. You can view the comments history by clicking the Related Reports icon and selecting the **Comments History** link available in the upper-right corner of the forms. The report also displays comments provided during the request for clarifications stage for the first line reported issues.

Key Columns:

- User Full Name: Displays the name of the user who provided the comments.
- Comments Date: Displays the date on which the comments were added.
- Issue Comments: Displays the added comments.
- Marked As: Displays whether the comments are marked as public or private. Based on the **View All Approver Comments** activity, you can view the private comments.

  Notes:

  - The users associated with the **View All Approver Comments** activity can view all the comments that are marked as private.
  - The users who are not associated with the activity can view only the comments that are marked as public.

- Attachments: Click the download icon to download the attached documents.

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Change History Report

Use the **Change History** report to view the detailed change history of the issue/action. You can access this report by clicking the Related Reports icon and selecting the **Change History** link available in the upper-right corner of the forms.

Key Columns:

- Section: Displays the section that is modified.
- Field Name: Displays the field that was modified.
- Workflow Stage: Displays the workflow stage in which the issue/action was modified.

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Issue Audit Trail Details Report

Use the **Issue Audit Trail Details** report to view the workflow-stage specific information about the issue. You can access this report by clicking the Related Reports and selecting the **Issue Audit Trail Details** link available in the upper-right corner of the forms. This report is also a drill-down of the **Audit Trail** report.

Key Columns:

- Workflow Stage: Displays the workflow stage of the issue. Click this link to view the **ISSUE** form in a specific stage.
  - Drill-Down: **Issue** form in the relevant workflow stage (the form is displayed in the non-editable mode). For more information on the field level details of the form, see Initiating or Logging Issues.
- Completed/Pending By: Displays the name of the user working on the issue.

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My Issues Report

Use the **My Issues** report to view the details of all the issues reported, where the logged-in user is the identified issue owner. The issues in the pending approval and pending review statuses appear in this report. The issues that are canceled or closed are not displayed in the report.

If the approval stage is not enabled, the issues sent to the issue owner by the issue initiator are also displayed in this report.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.

Note: The **Issue** form opens in editable mode only if the logged-in user has been assigned to the same task in the **My Tasks** menu. If the **Issue** form is in Pending Review, Pending Approval, Action Plan Developed and Pending Final Approval statuses, then the **Issue** form opens in the non-editable mode.

- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Days Past Due: Displays the number of days by which the issue is past due from the expected completion date.
- Date Extensions: Displays the number of approved issue due date extensions.

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My Actions Report

Use the **My Actions** report to view the details of all the actions, where the logged-in user is the identified action owner. The actions in the pending approval or pending review statuses appear in this report. The actions that are closed are not displayed in this report.

Key Columns:

- Title: Displays the title of the action.
  - Drill-Down: **Action** form. For more information, see Implementing Action Items.
- Date Extensions: Displays the number of approved action due date extensions.
- Impacted Organizations: Displays the names of the organizations that have been impacted by the issue.

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Delegation History Report

Use the **Delegation History** report to view the details of the delegations that have been done in the past in a reverse chronological order. You can access this report by clicking the Related Reports icon and selecting the **Delegation History** link in the **Auto Delegation** form.

Key Columns:

- Action: Displays if the delegatee was added, removed, or updated.
- Status: Displays the status of delegation.

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First Line Issues Report

Use the **First Line Issues** report to view the details of all the first line issues raised in the system. You can use the report to finalize the approved first line issues by recording complete issue details using the existing Issues form and managing these issues using the existing Issues workflow. You can also close the issues if it is not a valid issue.

Note: You can view the report based on assigned activities. For more information, refer to MetricStream Arno Release Spring '21 - Issues - Administration Guide.

Columns:

- Issue Title: Displays the title of the issue.
- Status: Displays the status of the issue whether new issue, pending for approval, closed invalid, and so on.
- Issue Types: Displays the type of issue. For example, Control Failure, Data Breach, and so on.
- Rating: Displays the rating of the issue.
- Priority: Displays the priority of th issue.
- Identified On: Displays the date when the issue was identified.
- Attachments: Click the Download icon in the column to download the documents attached to the issue.
- Issue Resolution Summary: Displays summary of the issue resolution.
- Created On: Displays the date when the issue was recorded.

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Finalize Issues Report

Use the **Finalize Issues** report to view the details of all the submitted issues and approved first line issues when the business approval is applicable. You can use the report to finalize the first line issues by recording complete issue details using the detailed Issues form and managing these issues using the Issues workflow. You can also close the issues if it is not a valid issue.

Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form.
- Identified On: Displays the date when the issue was identified.
- Created By: Displays the name of the user who reported the issue.
- Created On: Displays the date when the issue was recorded in the system.

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Issue Details Report

Use the **Issue Details** report to view detailed information about all the issues that are reported.

Columns:

- Title: Displays the title of the issue
  - Drill-Down: **Issue** form.
- Status: Displays the status of the issue.
- Owner Organization: Displays the name of the organization that owns the issue.
- Owner: Displays the name of the user who owns the issue.
- Rating: Displays the rating of the issue
- Due Date: Displays the due date of the issue
- Initiator: Displays the name of the user who initiated the issue
- Identified on: Displays the date on which the issue was identified
- Source Type: Displays the source from where the issue is originated.
- Number of Actions: Displays the source from where the issue is originated.
  - Drill Down: Actions Report
- Related Risks: Displays the name of the risk associated with the issue.
- Risk Hierarchy: Displays the level of the risk. The possible values are:
  - Level 1
  - Level 2
  - Level 3
  - Level 4
- Level 1 Risks: Displays the name of level 1 risk.

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Risk-Accepted Issues Report

Use the **Risk-Accepted Issues** report to view detailed information about all the reported issues for which the risk has been accepted and approved by the respective owners and approvers.

Columns:

- Title: Displays title of the issue.
  - Drill-Down: **Issue** form.
- Rating: Displays the rating of the issue.
- Next Review Date: Displays the date for the next review of the issue.
- Last Reviewed On: Displays the previous date when the issue was reviewed.
- Last Reviewed By: Displays the name of the user who reviewed the issue previously.
- Approved By: Displays the name of the approver who approved the risk acceptance for the issue reported.
- Actions: Displays the actions that will be taken towards risk acceptance for the issue. For more information, see Reviewing Risk-Accepted Issues

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Self-Initiated Issues Report

Use the **Self-Initiated Issues** report to view or track the issues initiated by you.

Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form.
- Status: Displays the current status of the issue.
- Owner: Displays the name of the issue owner.
- Due Date: Displays the due date of the issue.

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Self-Approved Issues Report

Use the **Self-Approved Issues** report to view the list of issues approved by you

Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form.
- Status: Displays the current status of the issue.
- Owner: Displays the name of the issue owner.
- Due Date: Displays the due date of the issue.

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Charts and Dashboards

A chart is a graphical representation of data that allows you to view the interpretation of data and predict current and future data. The charts are available in the form of bar, line, and pie. A dashboard is a page that displays one or more charts.

For more information on charts and dashboards, see About Charts and Dashboards.

Sections:

- Closed Issues by Source and Priority Chart
- Overdue Issues by Source and Priority Chart
- Open Issues by Rating and Organization Chart
- Issues by Area of Compliance Chart
- Issues by Priority Chart
- Issues by Rating Chart
- Issues by Source Chart
- Issues by Status Chart
- Issues by Issue Type Chart
- Issue Aging by Organization Chart

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Closed Issues by Source and Priority Chart

The **Closed Issues by Source and Priority** is a bar chart. This chart displays all the closed issues based on source and priority.

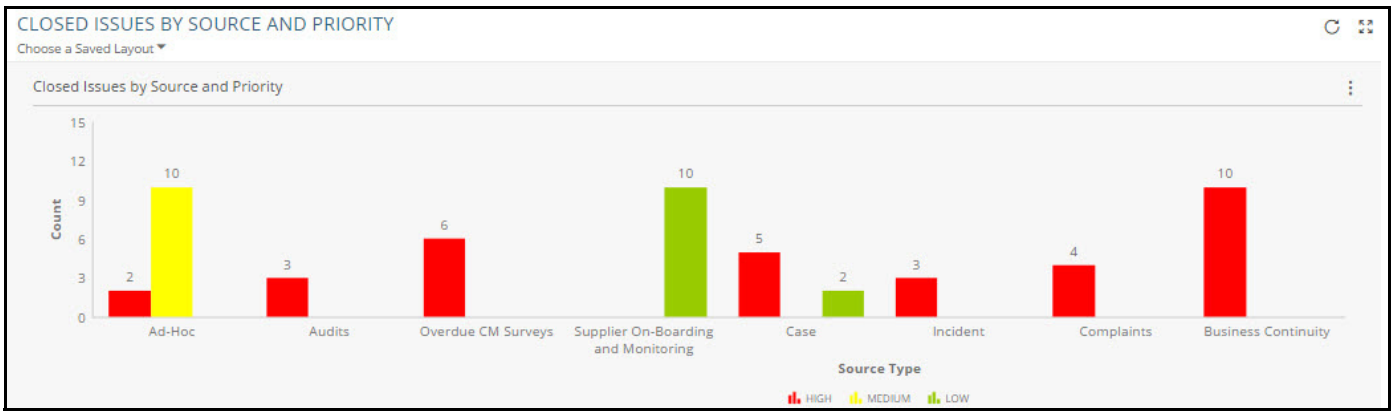

Figure 85 Closed Issues by Source and Priority Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the type of source • Y-axis: Represents the number of issues This chart displays all the issues that were closed from manage and monitor issue stages. Each data bar represents all the closed issues based on source and priority. The data bar details are: • High • Medium • Low **Notes:** - If the approval stage is not enabled, then the issues that were sent to the issue owner by the issue initiator are displayed in this chart. - The colors used to represent various data are configurable.	Closed Issues Report

Closed Issues Report

Use the **Closed Issues** report to view the details of the issues that are in the closed status. The details in this report are displayed based on the security access rights provided to the logged-in user.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Related Objects: Click the icon in the field to view the related GRC object details.

Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

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Overdue Issues by Source and Priority Chart

The **Overdue Issues by Source and Priority** is a bar chart. This chart displays all the overdue issues based on source and priority.

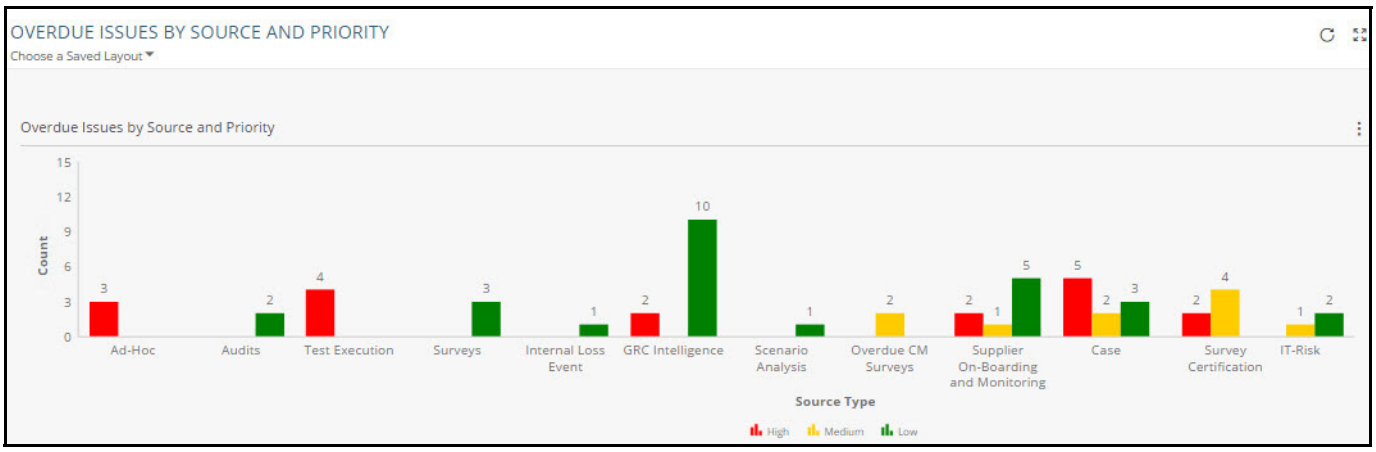

Figure 86 Overdue Issues by Source and Priority Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the type of source • Y-axis: Represents the number of issues This chart displays all the overdue issues that are approved by initial approver. Each data bar represents all the overdue issues based on source and priority. The data bar details are: • High • Medium • Low **Notes:** - This chart displays all the issues that have been approved by the initial approver. Closed or canceled issues are not displayed in this chart. - If the approval stage is not enabled, then the issues that were sent to the issue owner by the issue initiator are displayed in this chart. - The colors used to represent various data are configurable.	Open Issues Report

Open Issues Report

Use the **Open Issues** report to view the details of the issues that are in the open status. This report is a drill-down report of the **Overdue Issues by Source and Priority** and **Open Issues by Rating and Organization** charts.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Related Objects: Click the icon in the field to view the related GRC object details.

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Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

Open Issues by Rating and Organization Chart

The **Open Issues by Rating and Organization** is a stacked bar chart. This chart displays all the open issues based on rating and organization.

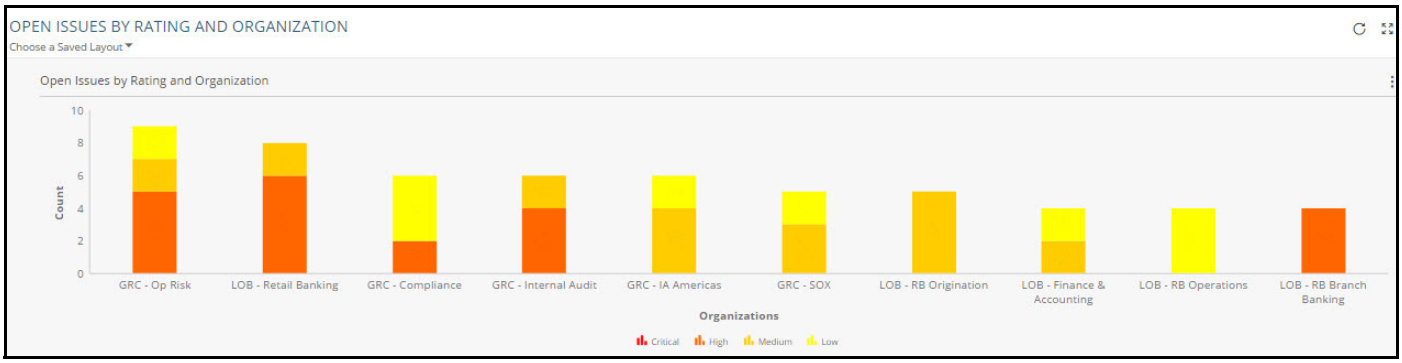

Figure 87 Open Issues by Rating and Organization Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the organization • Y-axis: Represents the number of issues This chart displays all the open issues that have been approved by the initial approver. Each stack bar represents the open issues based on rating and organization. The stack bar details are: • Critical • High • Medium • Low **Notes:** - If the approval stage is not enabled, then the issues that were sent to the issue owner by the issue initiator are displayed in this chart. - The colors used to represent various data are configurable.	Open Issues Report

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Issues by Area of Compliance Chart

The **Issues by Area of Compliance** is a stacked bar chart. This chart displays the aggregated count of issues by area of compliance, for a time period.

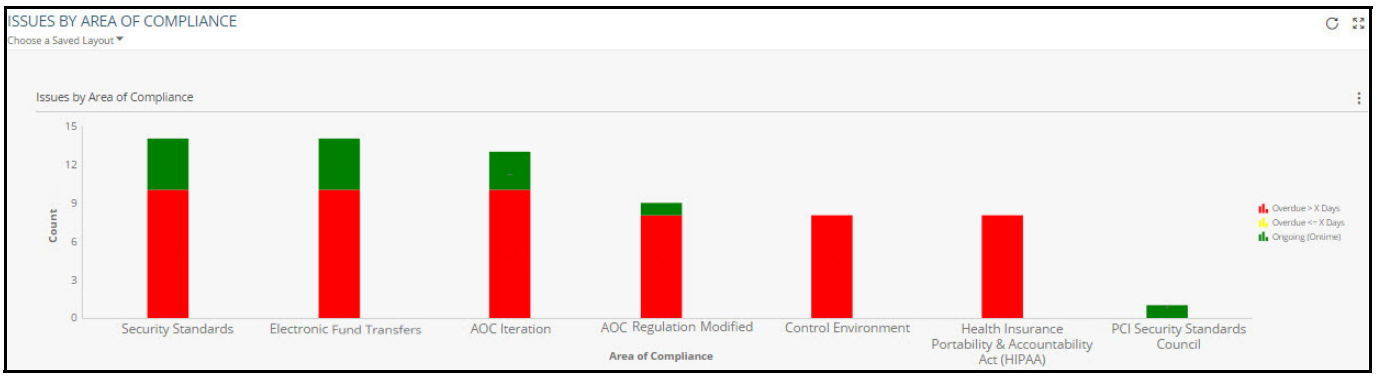

Figure 88 Issues by Area of Compliance Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the area of compliance • Y-axis: Represents the number of issues This chart displays all the issues that are approved by the initial approver. Each stack bar represents all the aging issues based on the area of compliance. The stack bar details are: • Overdue > X Days • Overdue <= X Days • Ongoing (Ontime) The number of days can be configured using a parameter. Contact your system administrator to manage parameters. **Notes:** – If the approval stage is not enabled, then the issues that were sent to the issue owner by the issue initiator are displayed in this chart. – The colors used to represent various data are configurable.	• Overdue Issues Report, when you click Overdue > X Days and Overdue <= X Days stack bars. • Ongoing Issues Report, when you click Ongoing (Ontime) stack bar.

Overdue Issues Report

Use the **Overdue Issues** report to view the details of the issues that are aging or are overdue. The details in this report are displayed based on the security access rights provided to the logged-in user. This report is a drill-down report of the **Issues by Area of Compliance** and **Issue Aging by Organization** charts.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Related Objects: Click the icon in the field to view the related GRC object details.

Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

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Ongoing Issues Report

Use the **Ongoing Issues** report to view the details of the issues that are ongoing. The details in this report are displayed based on the security access rights provided to the logged-in user. This report is a drill-down report of the **Issues by Area of Compliance** and **Issue Aging by Organization** charts.

Key Columns:

- Title: Displays the title of the issue.
  - Drill-Down: **Issue** form. For more information, see Initiating or Logging Issues.
- Actions: Displays the number of actions associated with the issue.
  - Drill-Down: Actions Report
- Related Objects: Click the icon in the field to view the related GRC object details.

Note: In report filters, if the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

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Issues by Priority Chart

The **Issues by Priority** is a pie chart. This chart displays the issues based on priority.

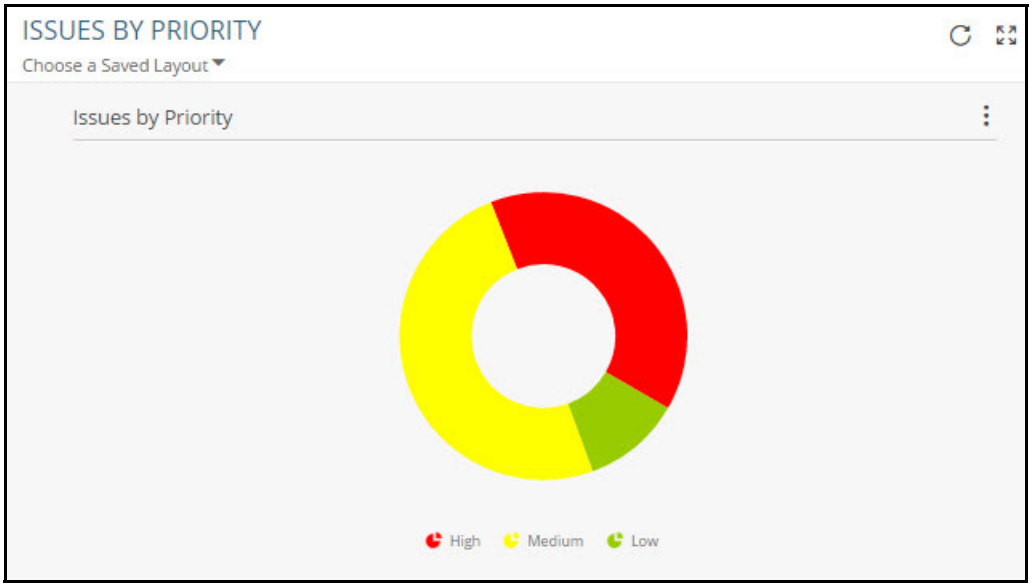

Figure 89 Issues by Priority Chart

Description	Drill Down
This chart displays the issues that have been approved by the issue approver. It displays the issues that are categorized into: • High • Medium • Low **Note:** The colors used to represent various data are configurable.	Issues Report

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Issues by Rating Chart

The **Issues by Rating** is a pie chart. This chart displays all the open issues based on their ratings.

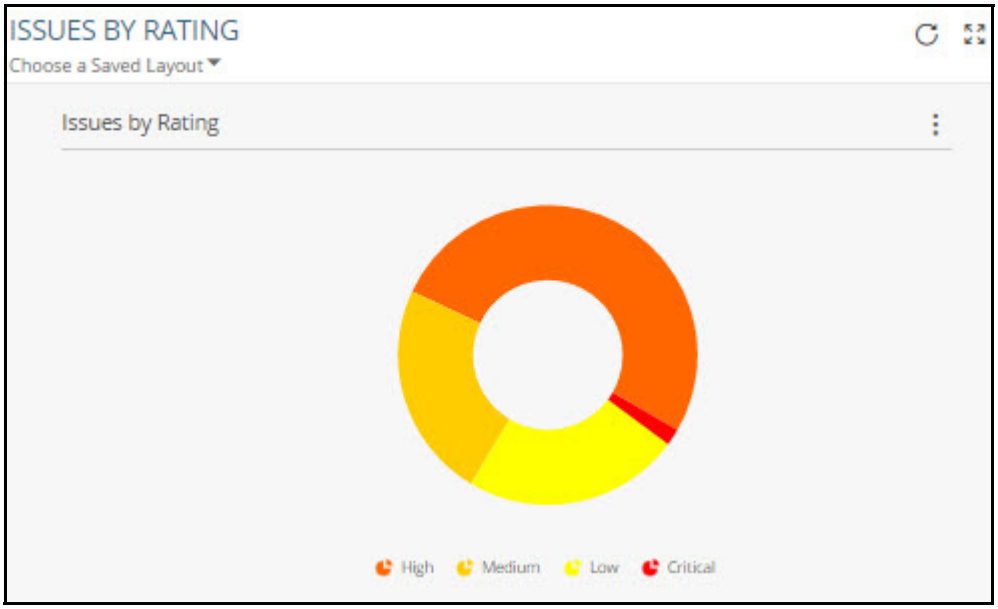

Figure 90 Issues by Rating Chart

Description	Drill Down
This chart displays all the issues that have been approved by the initial approver. It displays issues that are rated as: • High • Medium • Low • Critical **Notes:** - The rating is considered for issues that are in the **Open** status. - The colors used to represent various data are configurable.	Issues Report

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Issues by Source Chart

The **Issues by Source** is a bar chart. This chart displays all open issues based on their source type.

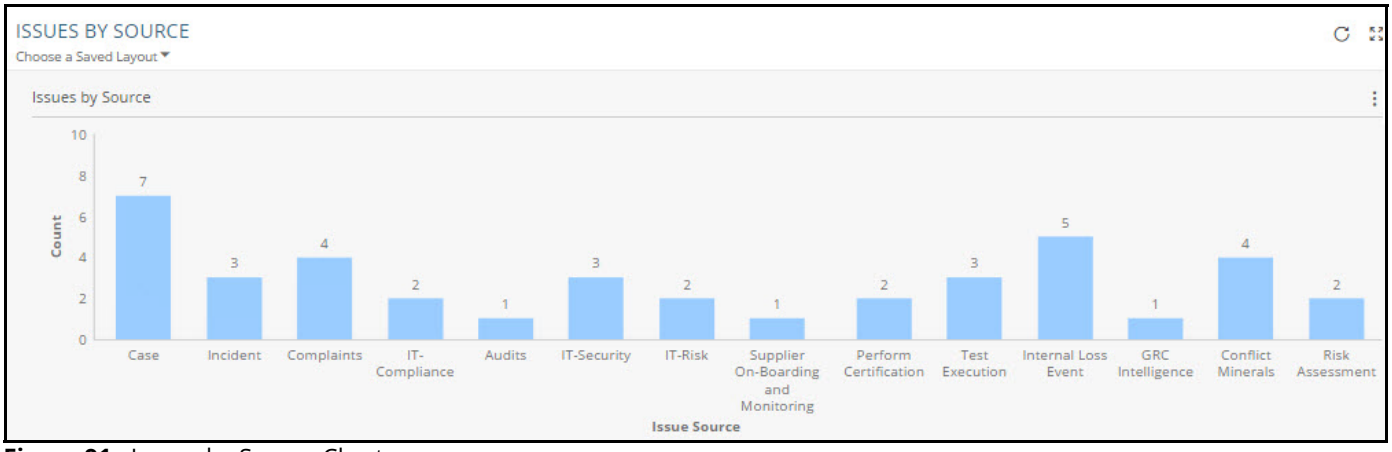

Figure 91 Issues by Source Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the type of source • Y-axis: Represents the number of issues This chart displays all the issues that have been approved by the initial approver. Each data bar represents the list of all open issues based on their source type.	Issues Report

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Issues by Status Chart

The **Issues by Status** is a bar chart. This chart displays all the issues based on status.

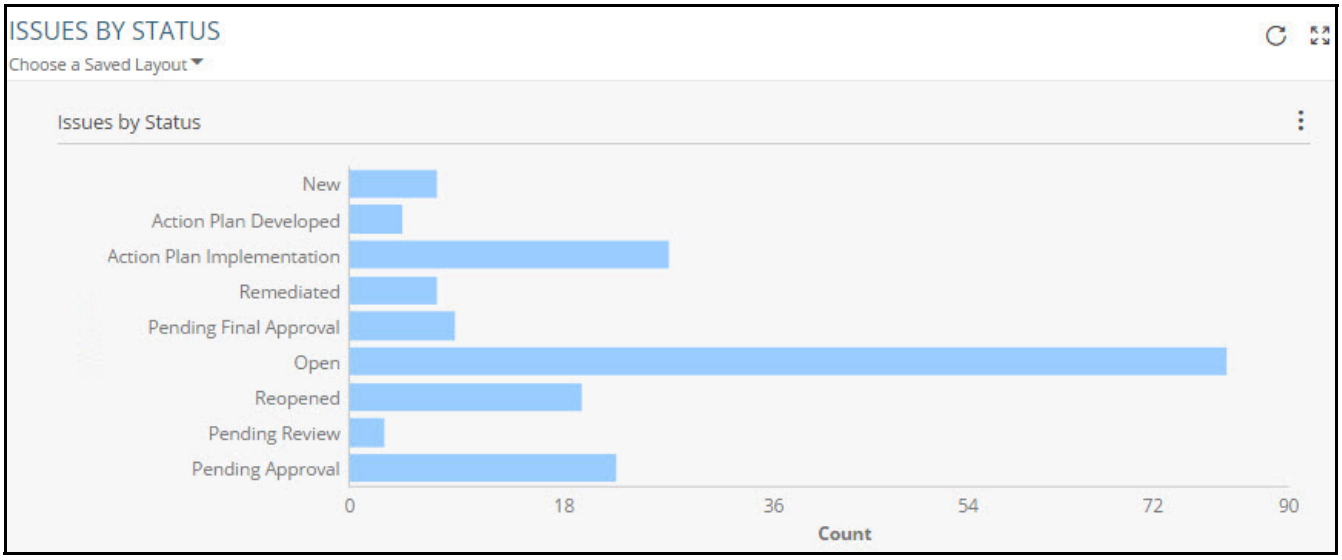

Figure 92 Issues by Status Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the number of issues • Y-axis: Represents the status of the issue Each data bar represents the list of issues based on their statuses. **Note:** This chart displays issues in all stages except the issues in the closed issue stage.	Issues Report

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Issues by Issue Type Chart

The **Issues by Issue Type** is a bar chart. This chart displays all the open issues based on their issue type.

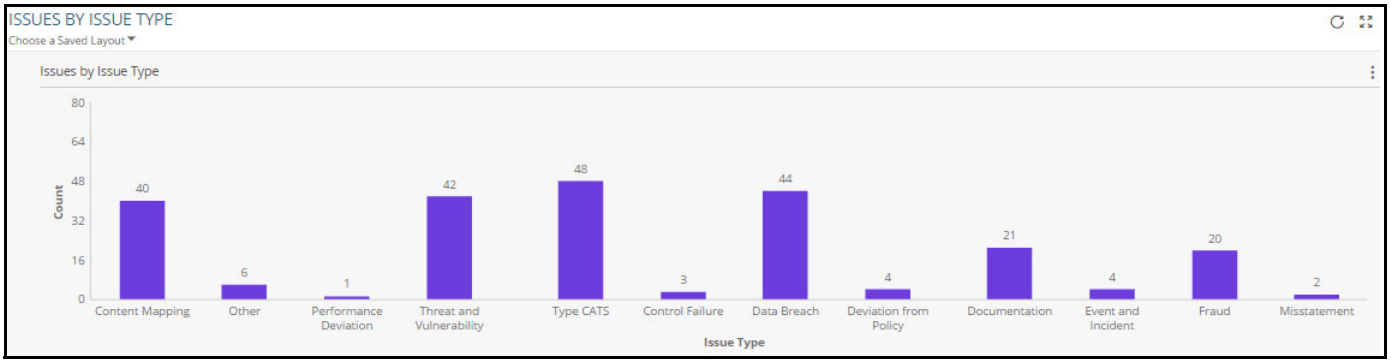

Figure 93 Issues by Issue Type Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the type of the issue • Y-axis: Represents the number of issues This chart displays all the issues that have been approved by the initial approver. Each data bar represents the list of all open issues based on the type of the issue.	Issues Report

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Issue Aging by Organization Chart

The **Issue Aging by Organization** is a stacked bar chart. This chart displays the aggregated count of issues by organization, for a time period.

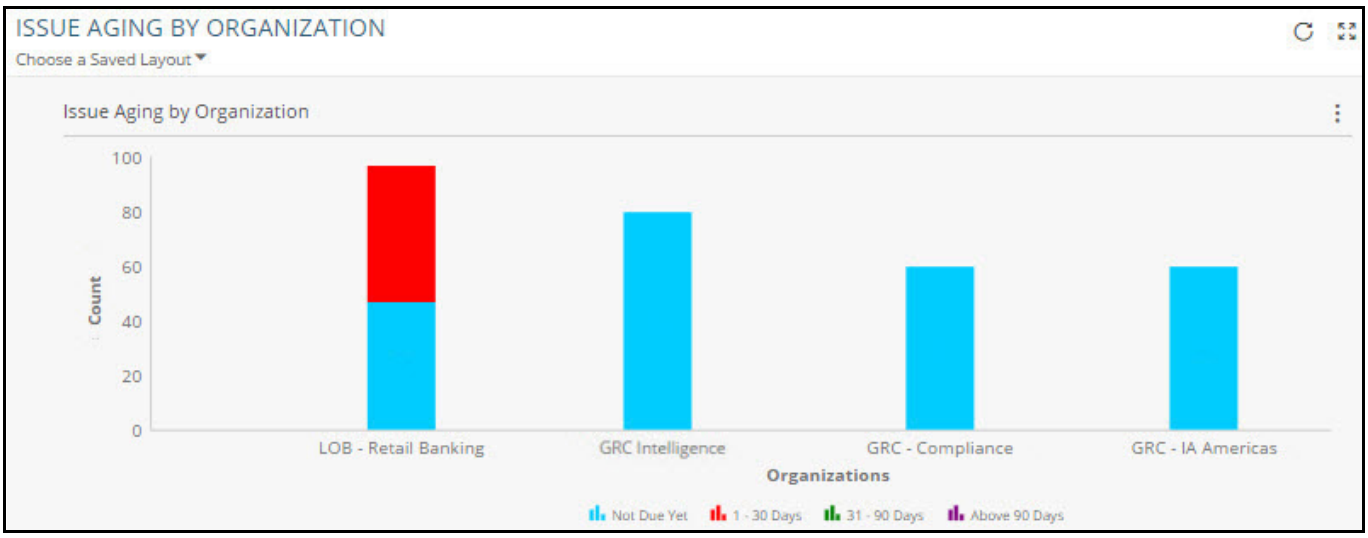

Figure 94 Issue Aging by Organization Chart

Description	Drill Down
The bar chart illustrates the following: • X-axis: Represents the organizations • Y-axis: Represents the number of issues This chart displays all the issues that have been approved by the initial approver. Each stack bar represents all the aging issues based on their organization. The stack bar details are: • Not Due Yet • 1 - 30 Days • 31 - 90 Days • Above 90 Days **Note:** The colors used to represent various data are configurable.	• Overdue Issues Report, when you click the 1 - 30 Days, 31 - 90 Days, and Above 90 Days stack bars. • Ongoing Issues Report, when you click the Not Due Yet stack bar.

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Appendix

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

Sections:

- My Tasks
- Data Browser and Explorer
- Hover Card
- Calendars
- About Reports
- About Charts and Dashboards
- Actions and Statuses Available in Forms
- Related Reports and Charts
- Multidimensional Organization Structure
- E-mail Notifications
- Restricted Special Characters

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My Tasks

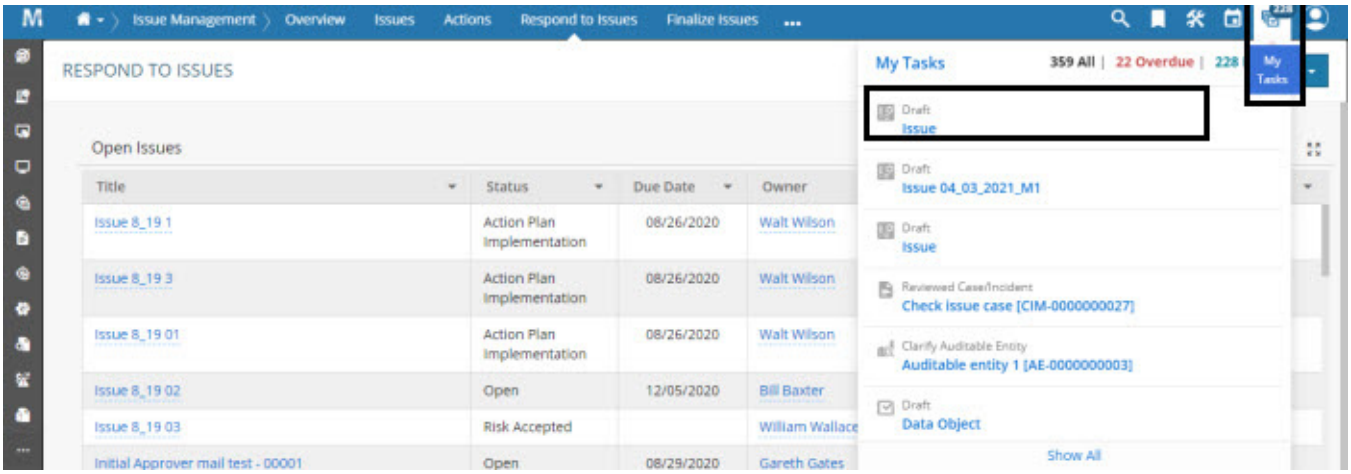
The **My Tasks** list displays all the tasks that are assigned to you for further action.

To access an assignment, perform the following steps:

1. Move the pointer over Tasks icon available at the upper-right corner of the page. A list of assignments appears.

   The **My Tasks** list appears with task assignments that are assigned to you as shown in the following figure.

   Note: In most of the MetricStream products, in addition to accessing event assignments through **My Tasks** menu, you can also access them from the assigned infoports.



   The **My Tasks** list displays the following:

   - Count of all the assignments is displayed in black. In the preceding figure, the total number of task assignments is 484.
   - Count of task assignments that have passed the due date is displayed in red. In the preceding figure, the total number of task assignments that have passed the due date is 83.
   - Count of task assignments that are new is displayed in blue. In the preceding figure, the total number of newly assigned tasks is 467.
   - All the task assignments with an appropriate syntax for an easy identification of the nature of task. These task assignments are clickable.

2. Click the required assignment link.

   The relevant form appears. You can review the details and take the required action on the form.

If you want to view all the task assignments, click the **Show All** link at the bottom of the **My Tasks** list. You can view all the task assignments and search for the required task assignment. You can also apply filters and narrow down the task assignments based on the filter parameters.

For more information on **My Tasks**, refer to the My Tasks section in MetricStream Arno Release Spring '21 - Platform - User Guide.

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Data Browser and Explorer

A data browser displays records in a hierarchical order. You can search for issues, actions, and library content.

A data explorer provides an organized mind-map data visualization. It allows you to explore the required issues, associated actions, as well as library content and understand the underlying relationship between them.

Accessing Data Browser and Explorer

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

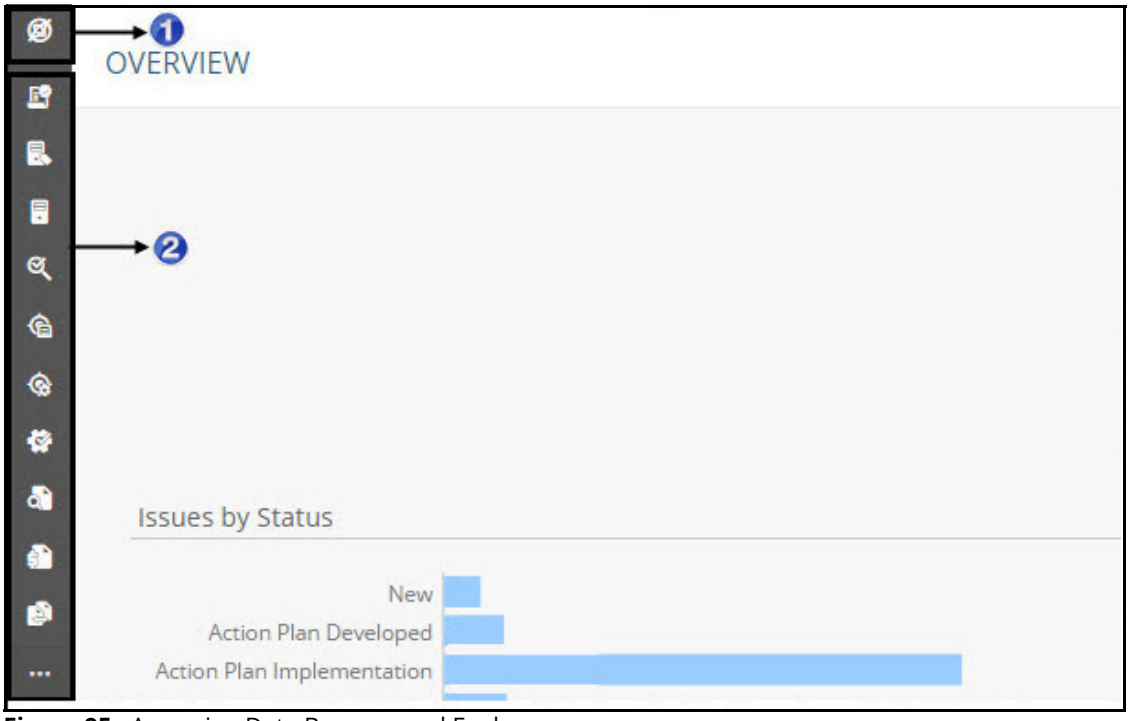

Figure 95 Accessing Data Browser and Explorer

The numbered callouts in the preceding figure identify the following:

1. Data Explorer icon - Click the Data Explorer icon to view 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 Panel - Click the Expand icon to expand the data browser and view all icons along with their names.

Searching and Editing Records

You can search for the required records, navigate to the respective forms and reports, and edit the content details, as required.

Data Explorer

Perform the following steps to view and edit issues using the data explorer:

1. Click the Data Explorer icon to launch the data explorer view.

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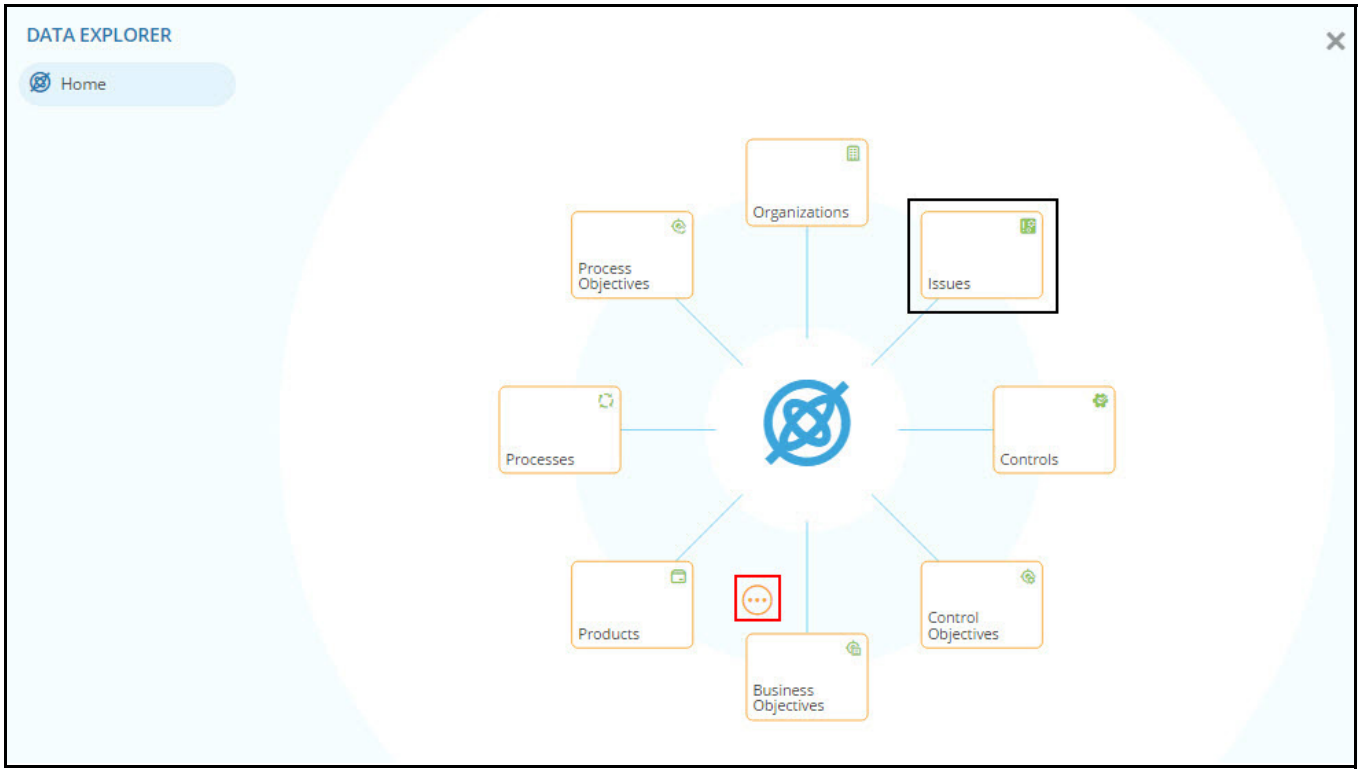
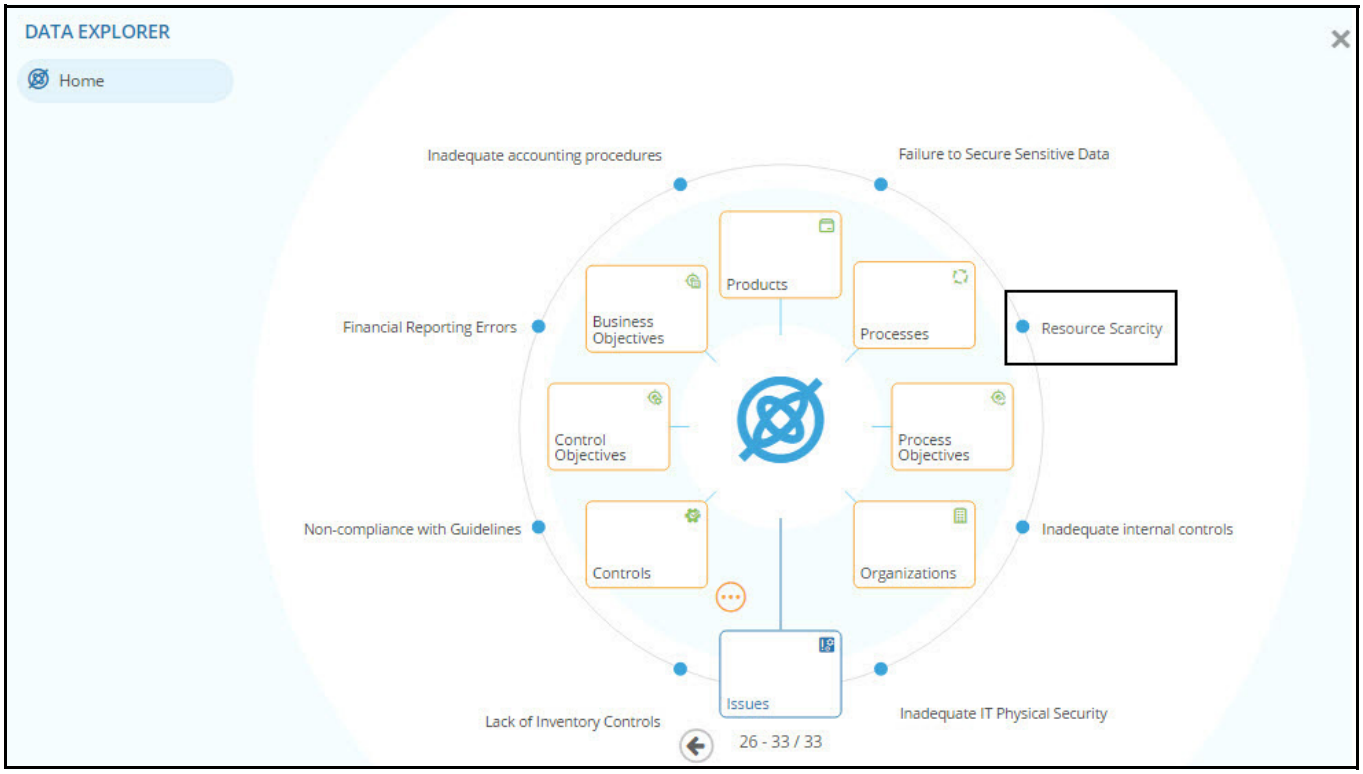


2. Click on **Issues** to view the issues that are reported.

Notes:

- If Issues is not visible, then click the icon as shown in the above figure and select Issues from the list.
- The GRC library content is visible based the access right provided to the logged-in user.



3. Click on the required issue; for example, Resource Scarcity.

   The view of data explorer is narrowed down to display the details associated with that specific issue. For example, actions associated with 'Resource Scarcity' are displayed, as shown in the following figure.

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From the preceding figure, the issue 'Resource Scarcity' has actions 'Employee Benefit Plan' and 'Employee Retention' associated to it.

4. Click on the issue/action and edit the details according to your requirements, and submit the form.

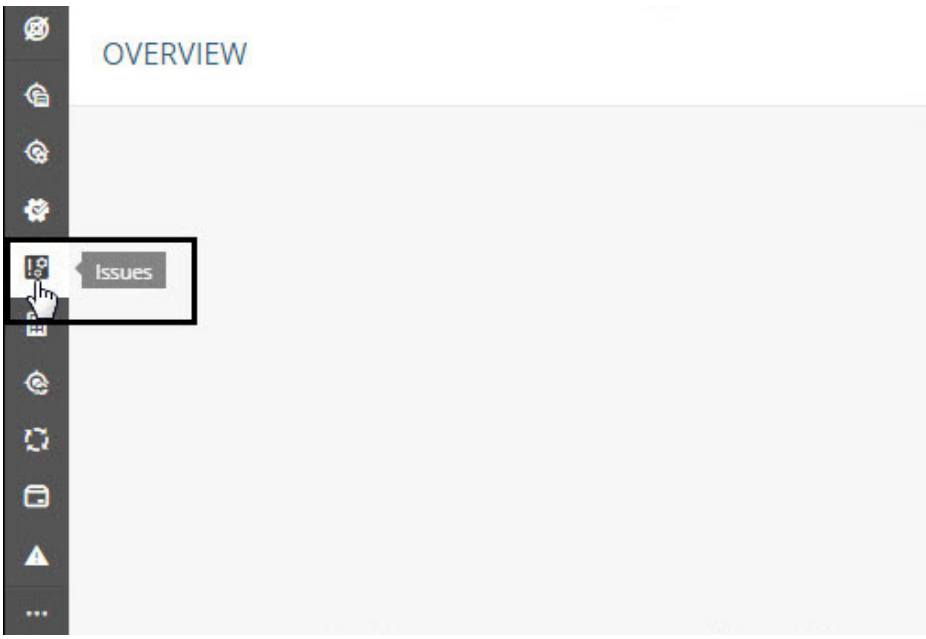
For more information on Data Explorer, refer to the Data Explorer section in MetricStream Arno Release Spring '21 - Platform - User Guide.

Data Browser

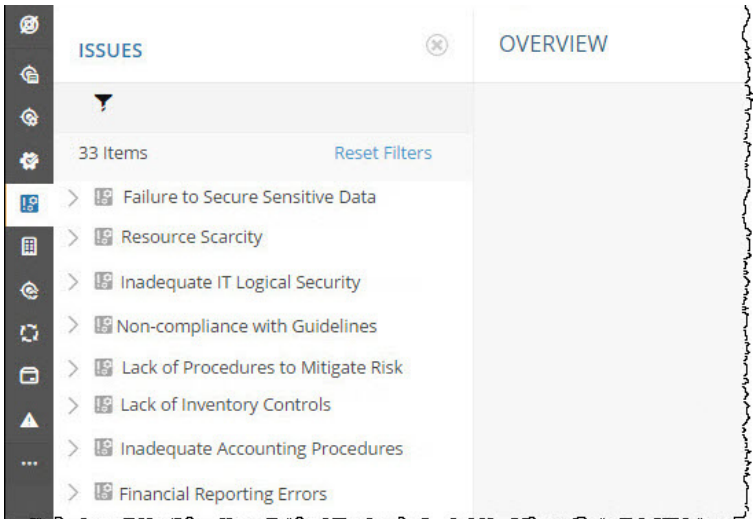
Perform the following steps to view and edit records using the data browser:

1. Click the issues icon as shown in the following figure.

   Note: You can view the expanded view of the data browser by clicking the Expand icon.

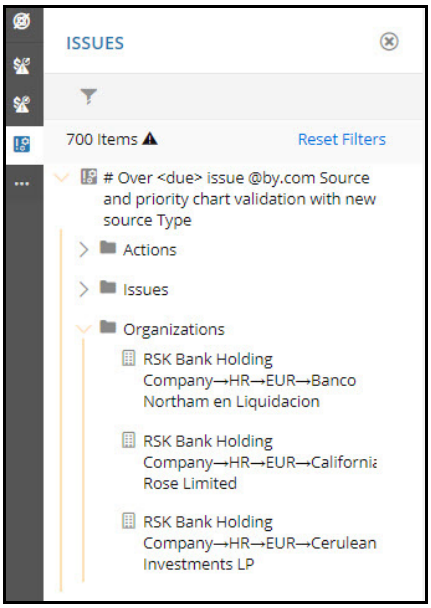


All the issues available in the module are listed in the data browser panel as shown in the following figure.



2. Click the Right Arrow icon to view the content related to the issue; for example, click the Right Arrow icon corresponding to the issue name 'Resource Scarcity'.

   The related actions are displayed.



   From the preceding figure, the issue 'Resource Scarcity' has actions 'Employee Benefit Plan' and 'Employee Retention' associated to it.

3. Click on the issue or action and edit the details according to your requirements, and submit the form.

Note: If the selected organization structure has **ALL** defined in any of the dimension, then all the issues mapped to that particular dimension are displayed based on the activity assigned to the logged in user.

For more information on Data Browser, refer to the Data Browser section in MetricStream Arno Release Spring '21 - Platform - User Guide.

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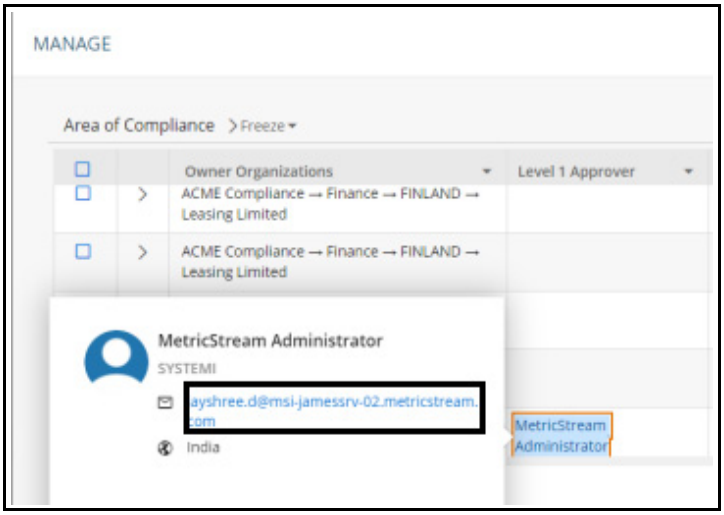
Hover Card

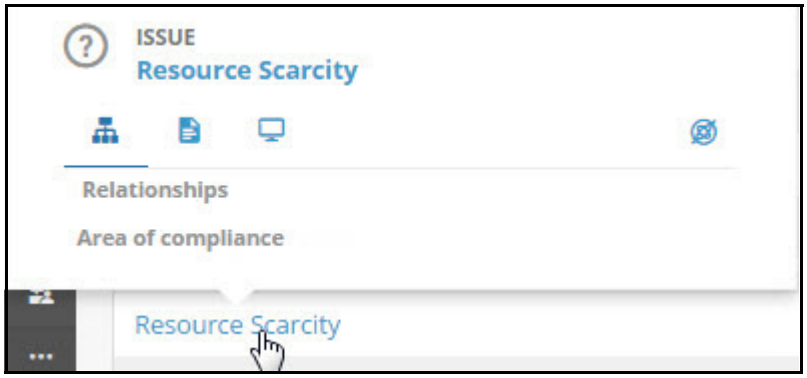
Hover cards help you in getting additional information about the issues/actions such as the related reports, relationships, and so on. Hover cards are displayed when you move the mouse pointer on certain fields. Using hover cards, you can view context-specific information for issues/actions without opening multiple tabs and windows. You can also launch the data explorer through hover cards.

Hover cards appear when you move the mouse pointer over:

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



- Issue/Action titles; for example, when you move the mouse pointer over the issue Resource Scarcity, the details related to that issue are displayed, as shown in the following figure as shown in the following figure.



For more information on Hover Cards, refer to the Advanced Data Types (ADTs) section in MetricStream Arno Release Spring '21 - Platform - Configuration Guide.

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Calendars

Use calendars to view and track all your scheduled events.

To access calendars:

- Click the Calendar icon at top right corner of the **Issues** module.

The **Calendars** page appears.

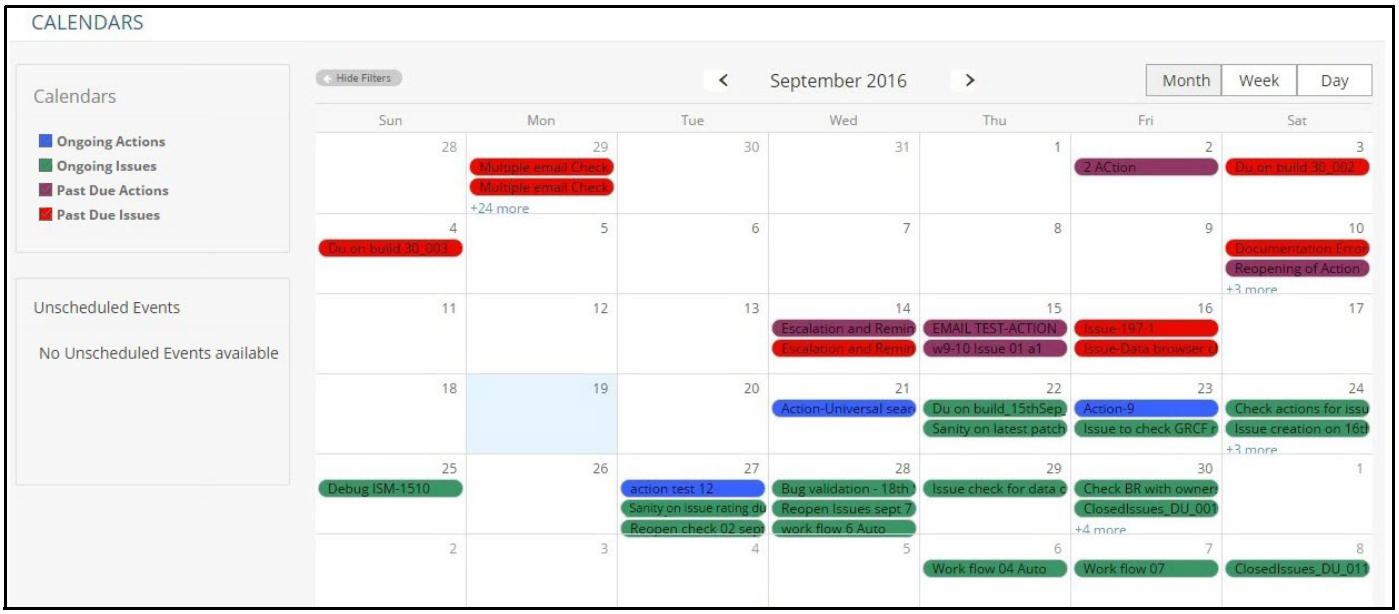

Figure 96 Calendars

The colors in the preceding figure indicate the following:

- Red - Past due issues
- Maroon - Past due actions
- Green - Ongoing issues
- Blue - Ongoing actions

Icon/Button	Description
Month Week Day	Select if you want to view the issues/actions that are due for a particular month/week/day.
< August 2016 >	Click this button to navigate to the desired month/week/day. The calendar displays the issues/actions on monthly/weekly/daily basis based on the selected option. You can navigate to previous or future month/week/day by clicking the forward and backward arrows respectively.

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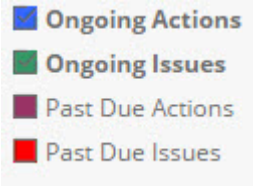
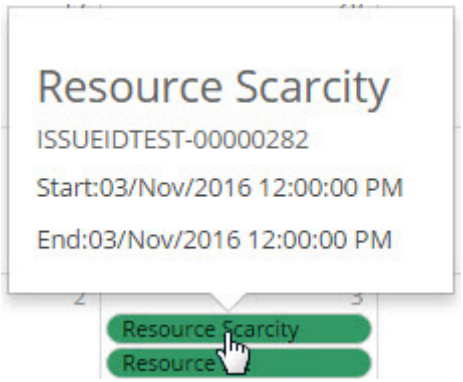
Icon/Button	Description
	Select the status of issues/actions that you want to view. You can select one or more statuses. You can view issues/actions in the following statuses: • Ongoing Actions: Displays all the actions assigned to the logged-in user, whose due date is the current date or in future. • Ongoing Issues: Displays all the issues assigned to the logged-in user, whose due date is the current date or in future. • Past Due Actions: Displays all the actions that have passed the due date. • Past Due Issues: Displays all the issues that have passed the due date. The issues/actions are displayed based on the status that you select. Move your mouse over the required issues/actions to view the details as shown in the following figure and click on the required issues/actions to work on it. 

For more information on Calendars, refer to the Calendars View and Descriptions section in MetricStream Arno Release Spring '21 - Platform - Configuration Guide.

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. By using the filters, you can search for specific content and view the report based on the search results.

For more information on reports, refer to the Reports section in MetricStream Arno Release Spring '21 - Platform - User Guide.

Accessing Reports

You can access the reports by clicking specific links within an infoport or issue/action forms. However, some reports are directly displayed in the infoport. To access such reports, navigate to the required infocenter and then click infoport. Example: You can access the Open Issues report by clicking **Issue Management** tab and then click **Respond to Issues**.

Accessing Reports Through Links Within Infoports

In the **Issue Management tab,** click **Issues** and then click **Reports.**

Click the related report as shown in the following figure.

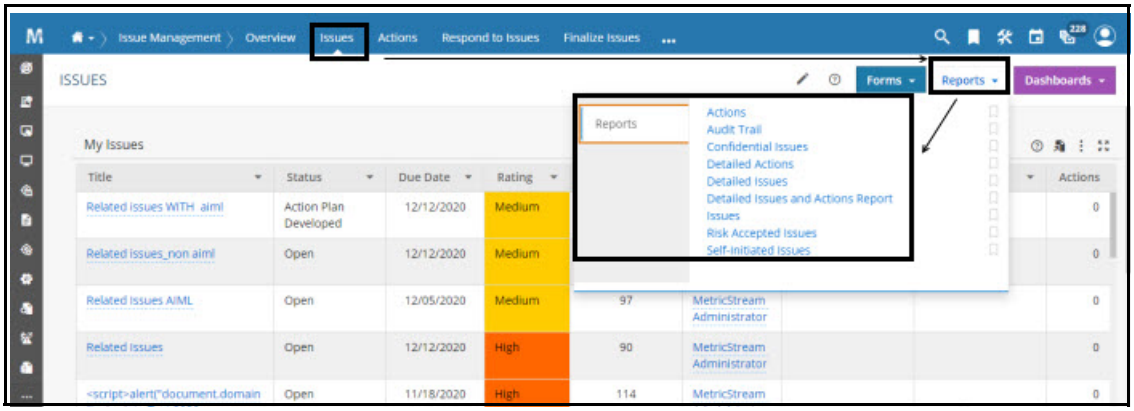


Figure 97 Accessing Reports Through Links Within Infoports

The related report appears.

Note: If the report has mandatory filters, by default, the report appears blank and the filters are visible. The report details appear only when you provide values in the mandatory filters.

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Accessing Reports Through Links Within Forms

Click the Related Reports icon and select the Report Link in the required form, as shown in the following figure.

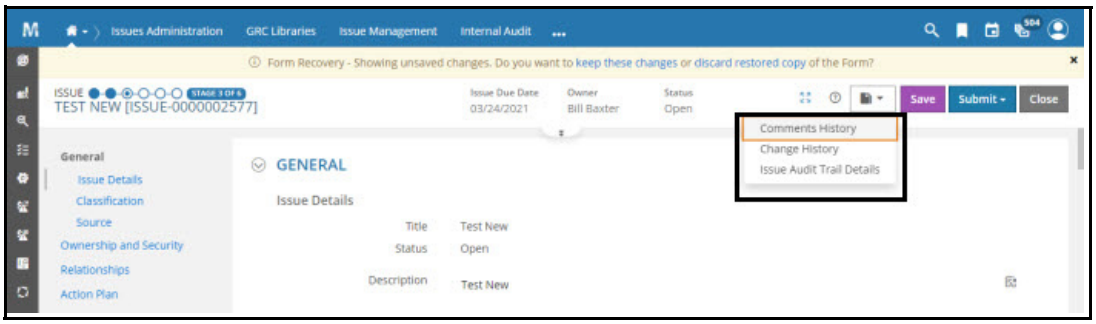

Figure 98 Accessing Reports Through Links Within Forms

The selected report appears.

Filters

You can narrow down your search by filtering the report data. The search parameters perform the function of filters to refine the output of reports. Perform the following steps to access filters.

1. Click the Hide Filters button.

   The related filter appears.

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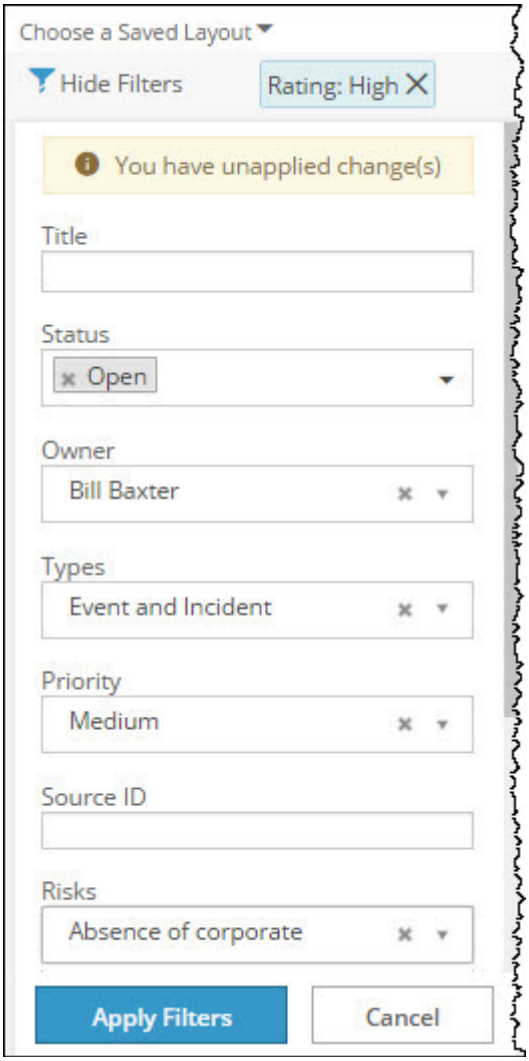

Note: If the report consists of any mandatory filter parameters, the filter window appears on the left. Otherwise, only the report appears and the filters can be accessed by clicking the **Show Filters** button.

2. Enter the required data in one or more filter parameters.

   The following types of parameters are available in the filters:

   - Mandatory filter parameters: You must provide data in the parameter field.
   - Optional filter parameters: You can provide data in the parameter fields or leave them blank.

   You can also save the details in to an existing saved layout or save the details in to a new layout by clicking the **Choose a Saved Layout** link. When you click **Choose a Saved Layou**t, 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. The next time you open the filters, the saved layout name is available for selection in the saved layouts list.

3. Click the Apply Filters button to apply filters.

   Note:

   - If you click the **Apply Filters** button without entering any data in any of the filter fields, provided there are no mandatory filter fields, the report retrieves one or more existing records from the product.
   - You can reset filters by clicking the Reset Filters button.

   The report retrieves the records based on the entered data.

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For more information on reports, refer to the Exploring Reports section in MetricStream Spring'21 Arno Release - Platform - User Guide.

Drill-Downs

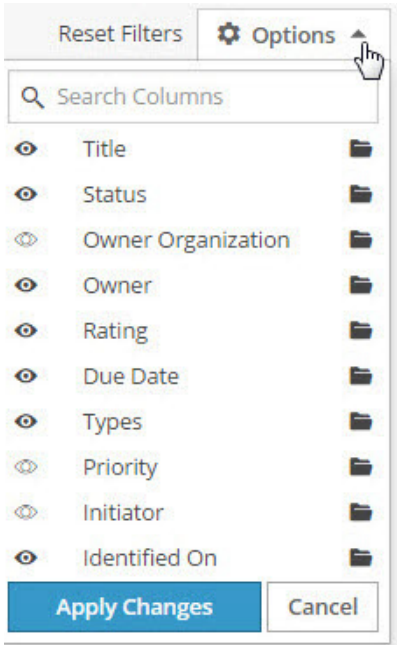
A few reports can have associated drill-down reports and/or forms. To access drill-down reports and forms, click the text that appears as a hyperlink in the relevant column. Not all reports have a drill-down reports or forms.

Display/Hide Columns in Reports

You can also filter the columns that you want to view or hide in the reports. Perform the following steps to view or hide columns:

1. Click the Options button.

   The list of columns appears as shown in the following figure.



2. Click the view icon to select the column that you want to view in the report.

   Or

   Click the Hide icon to hide the required column in the report.

3. Click **Apply Changes** to save changes.

   The columns that you select are displayed or hidden in the report.

For more information on different actions you can perform using **Options** drop-down list, refer to the Report Options section in MetricStream Arno Release Spring '21 - Platform - User Guide.

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About 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 allow you to make informed decisions.

- You can access chart by clicking **Issue Management** and then click **Issues**
- Click **Dashboards** and then click the required Chart Link as shown in the following figure.

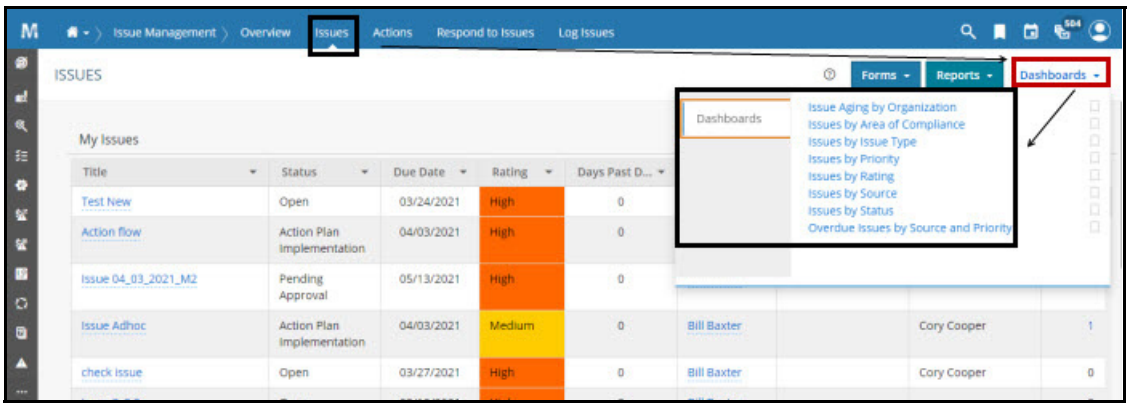

Figure 99 Accessing Charts Through Links

and/or

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

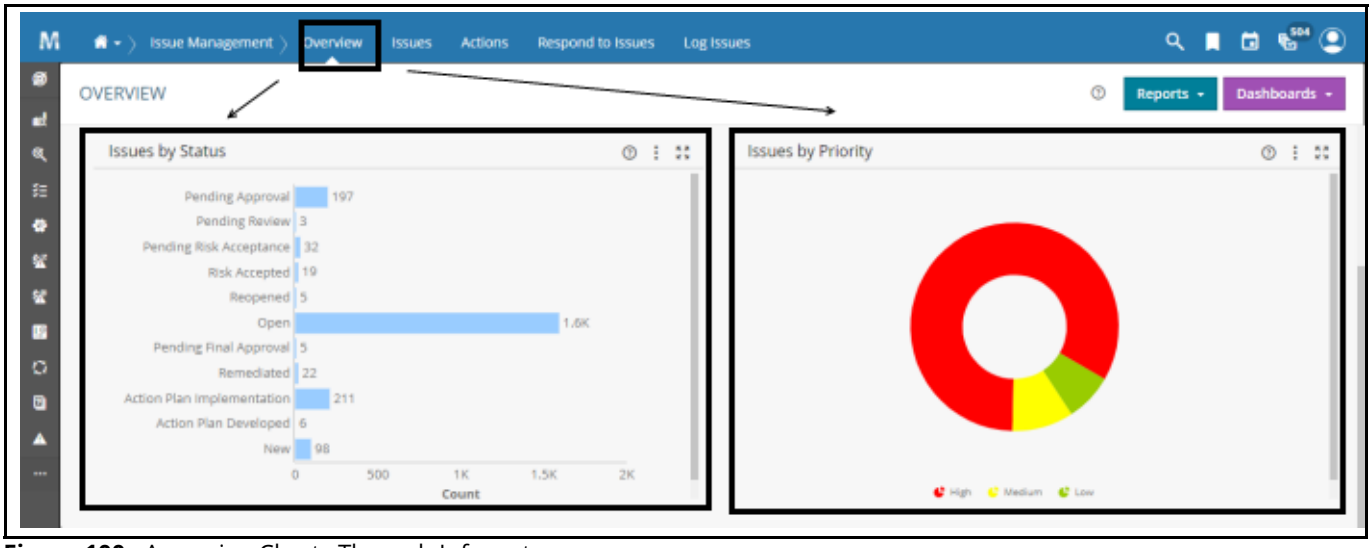

Figure 100 Accessing Charts Through Infocenter

Chart Drill Downs

The drill-down option allows 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.

For more information on dashboard and charts functionalities, refer to the Dashboard and Charts sections respectively in MetricStream Arno Release Spring '21 - Platform - User Guide.

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Multidimensional Organization Structure

If your organization has a multidimensional structure based on business units, geographical locations, lines of business, legal entities, accounts, or projects, you can configure it and select the respective owners and approvers for the issue/action. After the required structure is set up by the administrator and the **Mdos Enable Flag** parameter is set to YES, you can provide the ownership and approval details in the **Ownership and Approvers** section of the **Issue Management** forms.

Notes:

- Multidimensional organization structure is set up at the Platform level and is a one-time activity. This setup cannot be changed at any point in time.
- Multidimensional organization structure y is not available for hover cards, bulk reassignment, data browser and explorer.

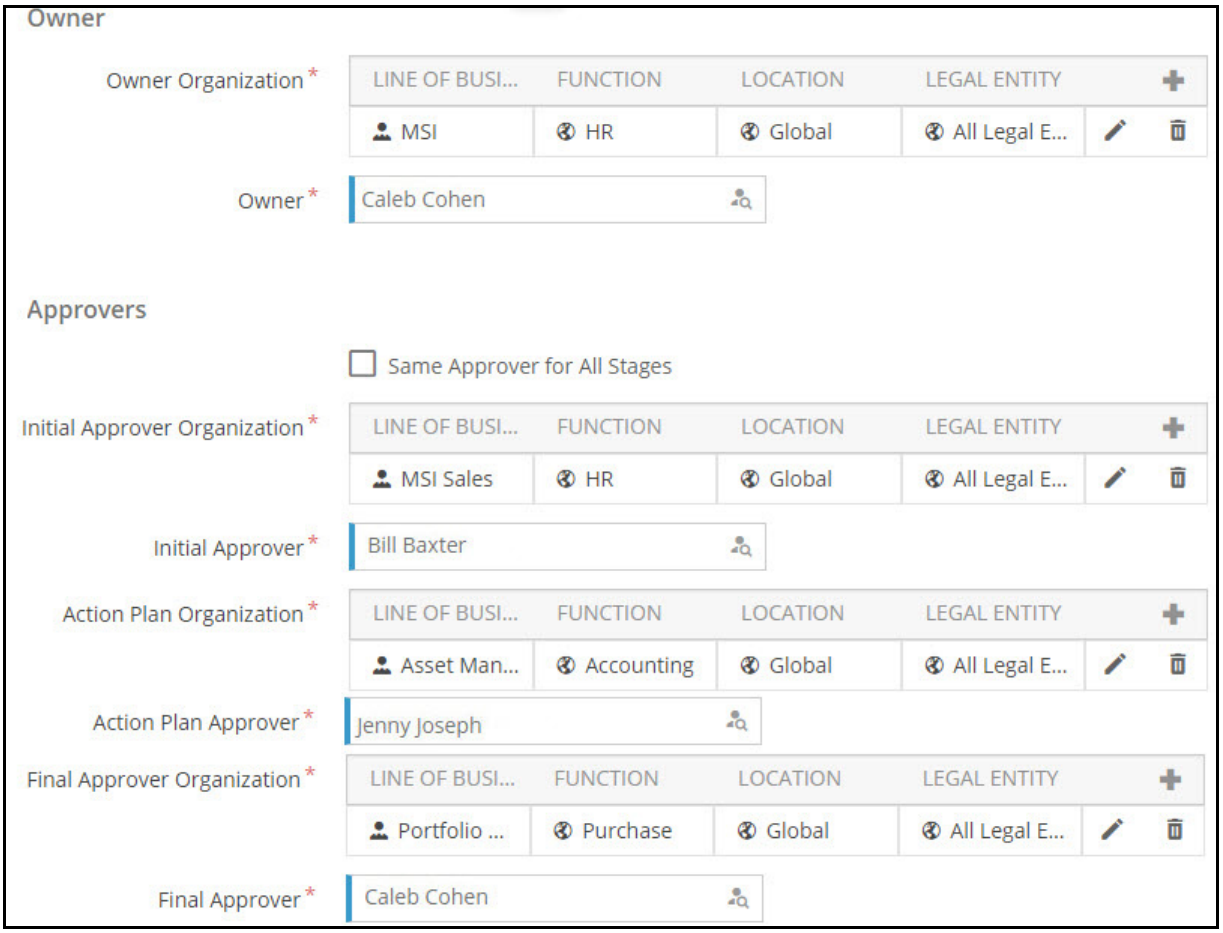

Figure 101 Sample Ownership and Security Section with Multidimensional Organization Structure

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1. Click the Add icon associated with the **Owner Organization** field.
   The **Owner Organization** window appears. This displays the defined single or multidimensional organization structure.

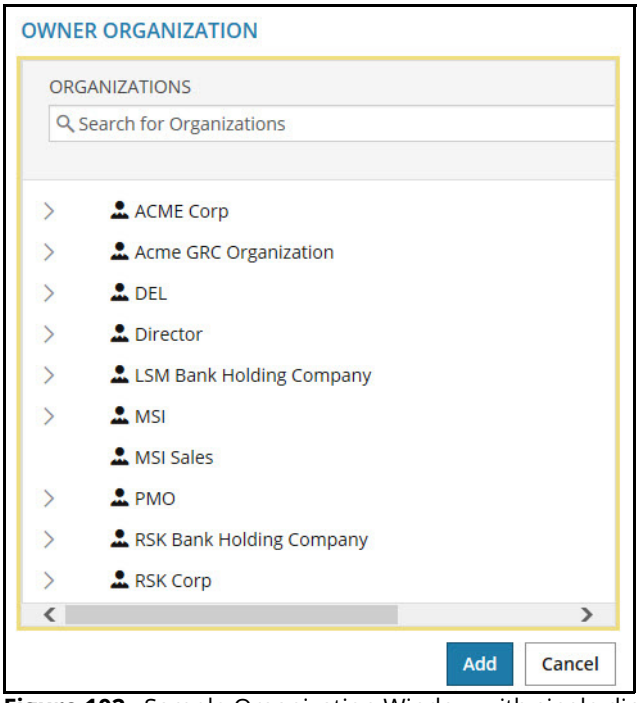

Figure 102 Sample Organization Window with single dimension

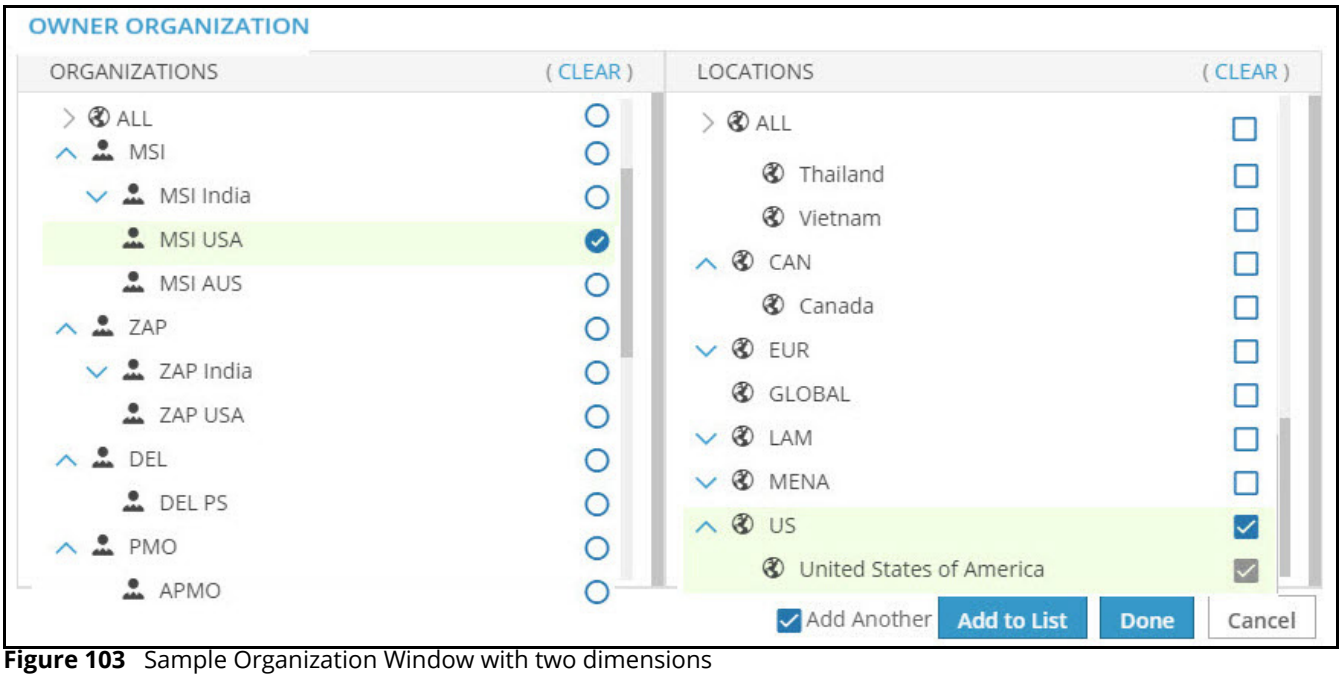

Figure 103 Sample Organization Window with two dimensions

2. Select the required organization, and then click **Add**. You can select only one owner organization.

   Note: You can add one or more organizations for approvers in the **Approvers** section. To add multiple approver business hierarchies, in the **Owner Organization** window, select the **Add Another** check box, select the organization that has to be added, and then click **Add to List**.

3. After you add the required organizations, click **Done** to close the **Owner Organization** window.

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Notes:

- Selecting the **ALL** option is equal to selecting all the values in a dimension.
- Turn on the **NA** option if any dimension is not applicable for the organization structure that you want to select.

Sample Organization Structure

Consider the following scenario:

- Issue Title: Fraud controls not effective
- Owner Organization: CC - UK [Function - Location]
- Approver Organization: CC - EMEA
- Impacted Organization: 'WM - EMEA', 'WM - LE 121' and 'IB - US'

In this scenario:

- Users with the activity 'View Issues by Owner Organization' and from the organization 'CC - UK' and parent organizations can view the issue.
- Users with the activity 'View Issues by Approver Organization' and from the organization 'CC- EMEA' and parent organizations can view the issue.
- Users with the activity 'View Issues by Related to Organization' and from the organizations - 'WM-EMEA', 'WM - LE121', and 'IB - US' can view the issue.
- Issue owner and delegatee can edit the issue in the manage and monitor stages.
- Selected issue approvers can edit the issue that is assigned for approval.
- Reviewers can only provide review comments, they cannot edit the issue details.

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Actions and Statuses Available in Forms

The following table lists the workflow stages and corresponding actions and statuses in the **Issues** module.

Workflow Stage	Current Form Status	Action	New Form Status
Initiate issue	New	Save and Continue Working	New
		Send for Review	Pending Review
		Send for Approval	Pending Approval
		Send to Issue Owner	Open
		Cancel Issue	Issue Canceled
Review issue	Pending Review	Issue Reviewed	New
Approve issue	Pending Approval	Cancel Issue	Issue Canceled
		Approve Issue	Open
		Request Clarification	New
Manage issue	Open	Cancel Issue	Open
		Request Clarification	Open
		Close Issue	Closed
		Close Issue	Pending Final Approval
		Trigger Actions	Action Plan Implementation
		Send for Approval	Action Plan Developed
		Request Clarification	Open
		Reassign Owner	Open
Approving action plans	Action Plan Developed	Approve and Initiate Actions	Action Plan Implementation
		Request Clarification	Open
Monitor issue	Action Plan Implementation	Update Status	Action Plan Implementation
	Remediated	Update Status	Remediated
		Close Issue	Closed
		Close Issue	Pending Final Approval
	Reopen	Update Status	Remediated
Final approval	Pending Final Approval	Approve and Close Issue	Closed
		Request Clarification	Open
			Remediated
Updating issues	Closed	Update Issue	Closed
Reopening issues	Closed	Re-Open Issue	Reopened

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Workflow Stage	Current Form Status	Action	New Form Status
Implementing actions	Not Applicable	When action is triggered	Open
	Open	Send for Review	Pending Review
		Send for Approval	Pending Approval
		Close Action	Closed
		Update Status	Open
Approving actions	Pending Approval	Approve	Closed
		Approve	Pending Final Approval
		Request Clarification	Open
Updating actions	Closed	Update	Closed
Reopening actions	Closed	Reopen	Reopened

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Related Reports and Charts

The following table provides information on the reports and charts that are impacted at different stages of the issue workflow.

Workflow Stage	Form Status	Reports	Charts
• Initiate issue	• New	• Detailed Issues • Update Issues	• Issues by Status
• Review issue	• Pending Review	• Detailed Issues • My Issues • Open Issues • Update Issues	
• Reviewed issue	• Issue Reviewed		
• Approve issue	• Pending Approval		
• Manage issue	• Open	• Issues • Detailed Issues • Update Issues • Issue Aging • Audit Trail • My Issues • Open Issues **Notes:** Open Issues report is unavailable at the Close issue and Cancel issue stages.	• Overdue Issues by Source and Priority • Open Issues by Rating and Organization • Issues by Area of Compliance • Issues by Priority • Issues by Rating • Issues by Source • Issues by Status • Issues by Issue Type • Issue Aging by Organization
• Approve action plan	• Action Plan • Developed		
• Monitor issue	• Action Plan • Implemented		
• Close issue	• Pending Final • Approval		
• Manage issue • Monitor issue	• Reopened		
• Monitor issue	• Remediated		
• Cancel Issue	• Canceled		• Issues by Status
• Close issue	• Closed	• Issues • Detailed Issues • Audit Trail • Reopen Issues • Update Issues	• Closed Issues by Source and Priority
• Implement action • Reviewed action	• Open	• Issues • Detailed Issues • Issue Aging • Audit Trail • Actions • Detailed Actions • My Actions	• Overdue Issues by Source and Priority • Open Issues by Rating and Organization • Issues by Area of • Compliance • Issues by Priority • Issues by Rating • Issues by Source • Issues by Status • Issues by Issue Type • Issue Aging by Organization
• Review action	• Pending Review		
• Approve action	• Pending Approval		
• Implement action	• Reopened		

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Workflow Stage	Form Status	Reports	Charts
• Closed action	• Closed	• Issues • Detailed Issues • Issue Aging • Audit Trail • Actions • Detailed Actions • Reopen Issues	• Overdue Issues by Source and Priority • Open Issues by Rating and Organization • Issues by Area of Compliance • Issues by Priority • Issues by Rating • Issues by Source • Issues by Status • Issues by Issue Type • Issue Aging by Organization • Closed Issues by Source and Priority

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E-mail Notifications

As a part of the Issues workflow, 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.
- 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.

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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.

Field	Restricted special character combinations					
Title field in the following forms/ sections: • **Issue** form • **Issue** form→**Action Plan** section • **Action** form • **Action** form (add action at the Monitor stage) • **Log Issue**→**Report an**→**Issue** form	^&^	, and ~	#_#	@@	@@<-	>@@
	$^^$	\\\|\\\|\\\|	$#$	|||	@#@	_$$_
	$$$	%#%	&#&	;#~	;#,	#~#
	[|]	|@^|	||^||	!^()^!	^^	<~>
	||!||	<!>	<::>	<*	|?	|#|

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

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Glossary

Chart

A graphical representation of data

GRC

Governance, Risk, and Compliance

Infocenter

A common and user specific page that appears to users after they login to the MetricStream product. The individual items in the infocenter, such as user forms, assignments, and reports appear on this page.

Infoport

All related user objects, which are grouped in a single section of the infocenter, that facilitate work.

PID

Process instance identification number (which is an internal system identifier).

Relationship Framework Options

The organization and GRC Foundation library content are together known as relationship framework options.

Reports

A tabular representation of data.

Dashboards

A dashboard is a page that displays one or more charts.

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References

You can refer to the following documents:

- MetricStream Arno Release Spring ’21 - Risk Assessments - User Guide
- MetricStream Arno Release Spring ’21- Governance, Risk, and Compliance Foundation - User Guide
- MetricStream Arno Release Spring ’21 - Platform - User Guide
- MetricStream Arno Release Spring ’21 - Platform - Configuration Guide

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Feedback

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