metricstream

Arno Release | SPRING '21

Surveys

User Guide

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Overview

The Surveys User Guide provides information about using MetricStream **Surveys**.

Surveys allows organizations to set up questionnaires for surveys, scorecards, and certifications which are sent to respondents to collect information and make decisions. The questionnaires can be pre-audit or post audit surveys, surveys related to auditor performance evaluation, general feedback, supplier scorecards, certifications, sub-certifications, and so on.

Sections:

- Surveys Workflow
- Elements of a Sample Form

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Surveys Workflow

The figure illustrates **Surveys** workflow.

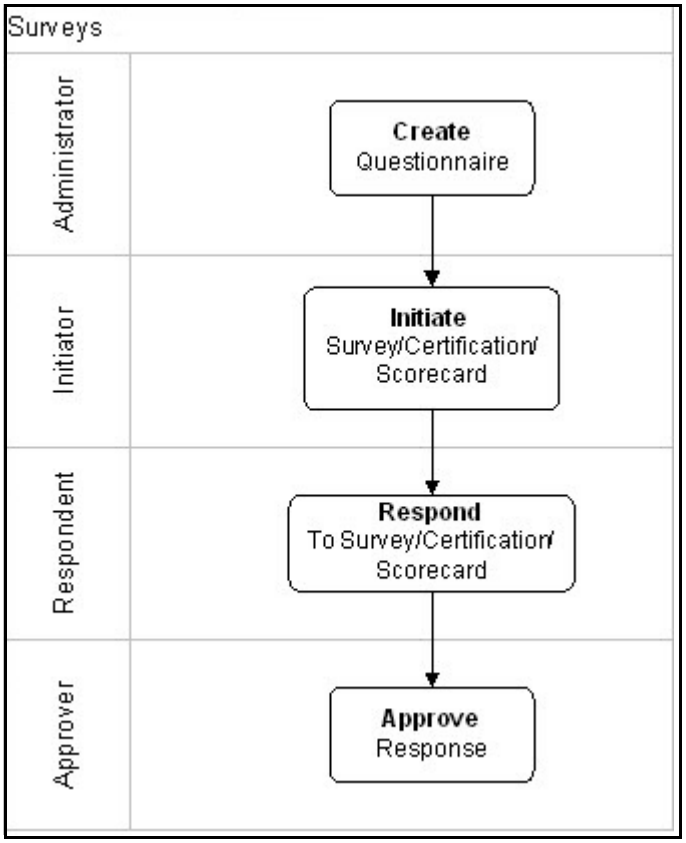

Figure 1 Surveys Process Flow

The key steps of **Surveys** are:

1. Setting Up Questionnaire
2. Setting up Survey/Scorecard/Certification
3. Responding to Survey/Scorecard/Certification
4. Approving Survey/Scorecard/Certification Survey Responses

Setting Up Questionnaires

The administrator can set up the survey, certification, and scorecard questionnaire only once, and later use the questionnaire to initiate survey, certification, and scorecard assignments multiple times and get responses from the respondents. A two-stage approval process can be assigned to the questionnaire by the administrator. Depending on the approval cycle setup, the questionnaire is assigned to the selected approver.

For more information, see Questionnaire Setup.

Setting Up Surveys, Scorecards, and Certifications

As an initiator, you can set up the survey/scorecard/certification questionnaire assessment schedule only once. The assignments are automatically triggered to the selected respondents based on the schedule set up in the system. You can assign a two stage approval process to the survey/scorecard/certification questionnaire.

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Depending on the approval cycle setup, the survey/scorecard/certification plan is assigned to the selected approver.

For more information, see Survey Plan Setup.

Responding to Surveys

As a respondent, you can access the surveys assigned to you from the task menu. You can respond to the questions within the survey and choose to collaborate with other users, or reassign the survey to another user. You can also add Issues and Findings while responding to the surveys.

For more information, see Response and Approval.

Approving Survey Responses

As an approver you can approve the responses and publish the result. You can also send the survey/scorecard/certification back to the initiator for clarifications if required.

For more information, see Response and Approval.

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Elements of a Sample Form

The figure illustrates the elements of a **Survey** form.

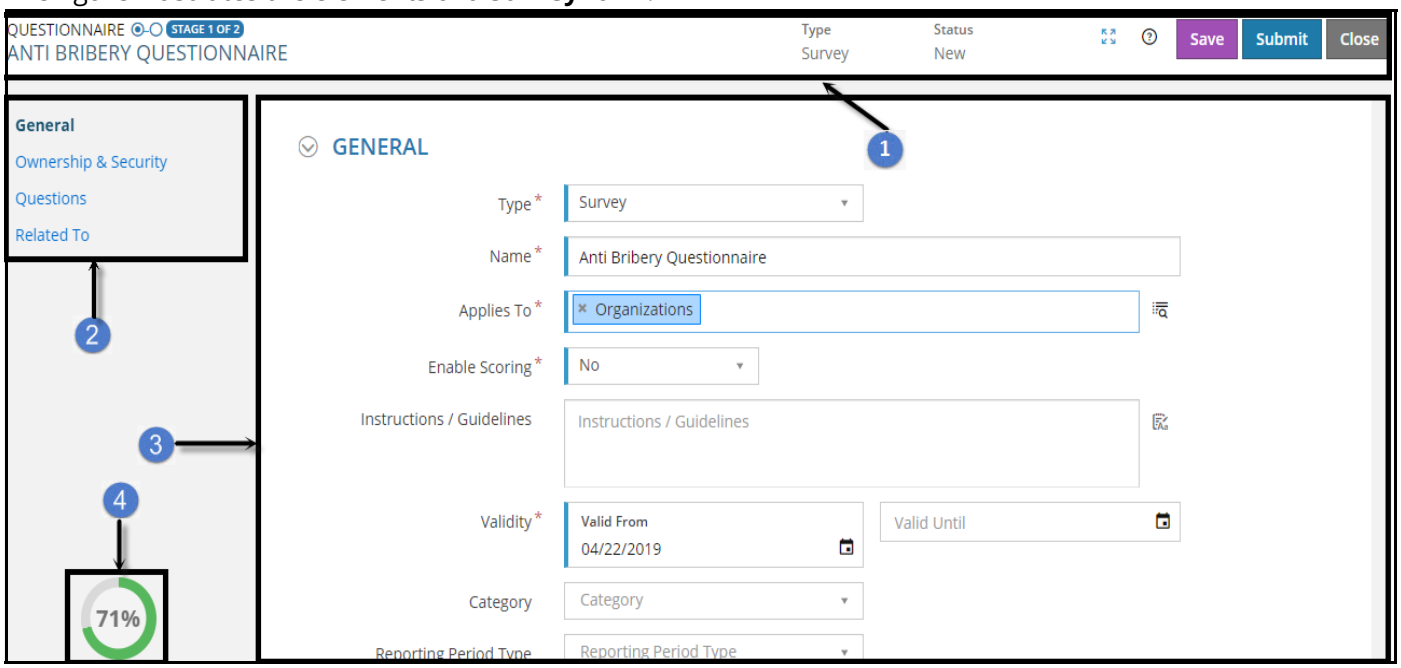

Figure 2 Survey form layout

The numbered callouts in the preceding figure identify the following:

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

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Header Toolbar

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

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

Button/Icon	Description
Related Reports	Click **Reports** icon to view reports to the current form. A list of related reports appears. Click the report name that you want to view.
Save	Save the form as a working draft without processing to the next workflow stage.
Submit	Click this button to submit the form. If more than one action is available at any stage of the workflow, then those options are listed on clicking **Submit**. Select the required option take action on the form and submit it.
Close	Click this button to close the current library content form. When you click this button, the **Close Form** dialog box appears. 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.

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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Questionnaire Setup

Setup Questionnaire organized set of steps, procedures, protocols, and information on setting up and search or edit existing the questionnaire for survey/certification/scorecard.

Sections:

- Questionnaire Approval Workflow
- Setting Up Questionnaires
- Setting Up Tabular Response Templates
- Uploading Questionnaires
- Copying Questionnaire Form

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Questionnaire Approval Workflow

The figure illustrates **Surveys** questionnaire approval workflow:

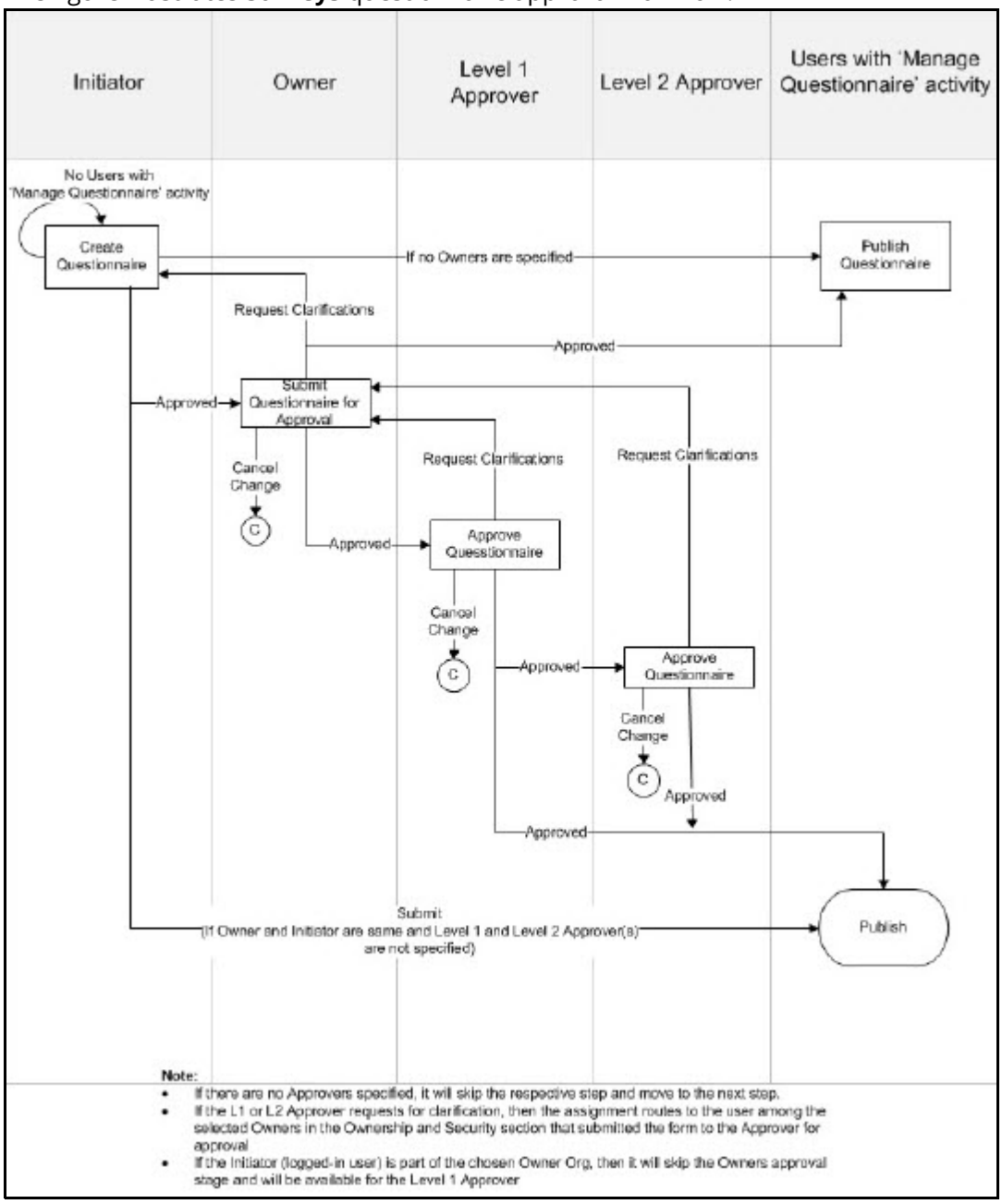

Figure 3 Survey Approval Workflow

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Setting Up Questionnaires

The **Questionnaire** form allows you to create questions and categorize the questionnaires in sections for survey, scorecard, and certifications. You can access the published questionnaires to initiate the survey, scorecard, and certification assignments.

Header	Displays the current workflow stage and summary of the information captured in various sections and provides the action buttons to take action on the form.
General	Helps you capture the basic details of the questionnaire.
Ownership & Security	Helps you select organization and owner for the questionnaire.
Questions	Helps you to add the sections, questions, and scores for the questionnaire. You can define sections, related questions and sub-questions.
Related To	Helps you to associate the questionnaire with other GRC Library content.

To setup a **Questionnaire** form.

1. Open the **Questionnaire** form.
2. In the **General** section, provide details about questionnaire as described in the following table.

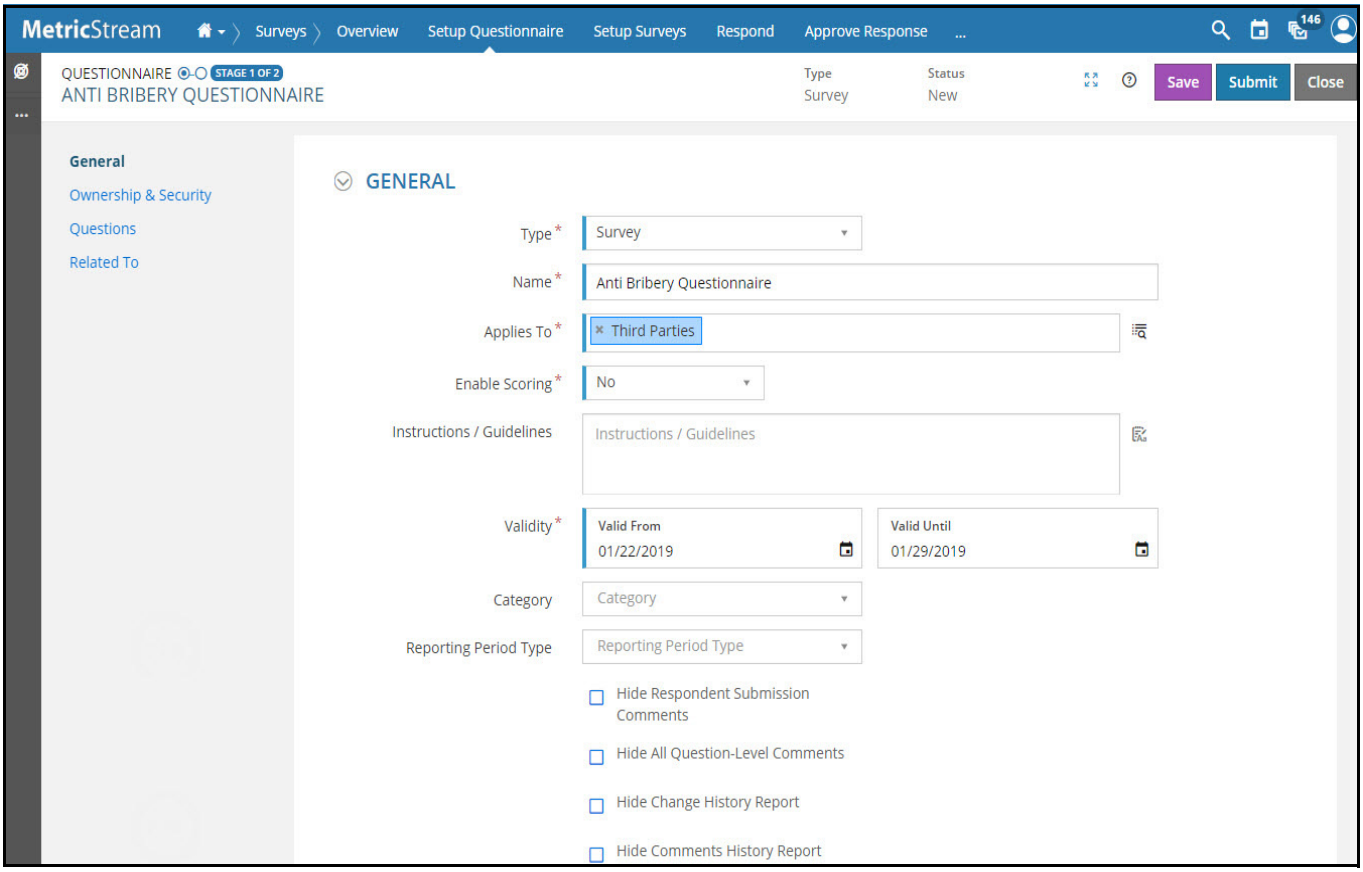

Figure 4 General Section

Field	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	Displays the questionnaire type that decides the purpose if created for survey, certification or scorecard.
Name	Name of the questionnaire for the survey, certification, and scorecard. **Notes:** - You must enter a unique questionnaire name. - Prior to approval, the name of the questionnaire can be modified at any stage by any users who are a part of the approval life cycle.
Applies To	The categories of questionnaire: • Ad-Hoc • Areas of Compliance • Assets • Asset Classes • Audit • Auditor • Controls • Engagement • Objectives • Organizations • Processes • Risks • IT Risk • Third Parties • Regulatory Development **Notes:** - The values are configurable. - Multiple values can be selected in this field however you cannot select **IT Risk** with any other value. If you select **IT Risk** with any other value in this field, all the values will be cleared and an error message will display.
Metrics *(appears when the **Enable Metric Fields** parameter is set to Yes. Contact your system administrator to manage parameters.)*	Indicates whether the questionnaire has a metric or not. • **Yes**: Metrics defined in the library can be added as questions. • **No**: Metrics cannot be added as questions. Allows you to merge multiple Metrics from GRC Foundation to the Surveys and send to the respondents for responses.

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Field	Description
Metric Frequency *(appears only if you select* **Yes** *in the* **Metrics** *field)*	Select one of the following metrics frequency based on which you want to filter and add to the questionnaire. • Daily • Weekly • Monthly • Quarterly • Semi-Annually • Annually • Bi-Weekly Enables filters for the selected frequency in the **Metrics** field at section and question level. For example, if Monthly is selected, only the Metrics having Monthly frequency in the GRC Library display in the Add Metric(s) report. **Note:** The values are populated from **Metrics** of GRC Foundation.
Instructions / Guidelines	Instructions for responding to the questionnaire. The details entered here enables any respondent to answer the questionnaire effectively.
Validity	**Valid From**: On the selected date, the questionnaire is available in the published library for initiating surveys/ certifications/scorecards. **Note:** The **Valid From** date should be greater than the **System Date**. **Valid Until**: Questionnaire validity end date. **Notes:** - If you do not enter any date, this questionnaire possesses perpetual validity. - Specified date should be greater than the **System Date** and **Valid From** date.
Category	Select the category of the questionnaire. **Note:** The values are configurable.
Enable Scoring *(appears only if you select the value* **Survey** *in the* **Type** *field)*	Select to indicate whether the current questionnaire for survey requires scoring or not. • **Yes**: The scoring field appears for the survey response. • **No**: Disables the scoring field for the survey response. **Note:** If **Yes** is selected, the scoring related field appears and the **Scoring Details** section appears. The **Scoring Details** section allows you to define rules to determine the overall grade of the survey response.

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Field	Description
Reporting Period Type	Select the reporting period type for the current questionnaire. For example, if the current questionnaire is related to SOX, the certification validity period is every quarter. You can select the period type as SOX and choose the required validity period in the **Reporting Period** field of the Survey/Scorecard/Certification form. **Note:** This field is populated based on the values defined in the Reporting Period Type data table. This field does not appear when the Reporting Period Type data table is not defined.
Hide Respondent Submission Comments	The add comments link will not appear for the respondent, while submitting the survey.
Hide all Question-Level Comments	Add comments link will not appear for the respondent at each question-level in the response form. select **Hide Comments**, to hide the add comments link associated with the question in the **Response** form.
Hide Change History Report	To hide the change history report for the respondent. **Note:** By default, the **Change History** report does not display when the survey is assigned to the respondent for the first time.
Hide Comments History Report	To hide the comments history report for the respondent. **Note:** By default, the **Comments History** report does not display when the survey is assigned to the respondent for the first time.

3. in the **Ownership & Security** section, specify the ownership and approvers details.

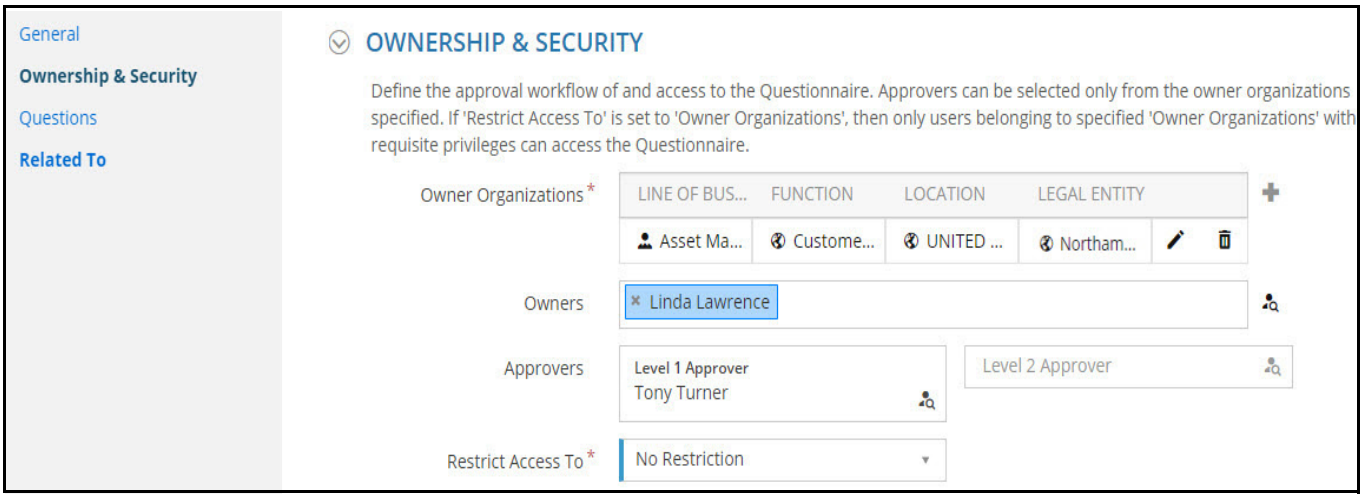

Figure 5 Ownership & Security Section

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Field	Description
Owner Organizations	Perform the following procedure to select one or more organization structure. **1.** Click the **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click the Edit icon to update the added organization structure. - Click the Delete icon to remove the added organization structure. - For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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Field	Description
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM - View Questionnaire activity can view this questionnaire and all users with QSM - Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM - View Questionnaire activity is assigned to them and edit it if the QSM - View Questionnaire and QSM - Manage Questionnaire activities are assigned to them.

4. The **Questions** section allows you to add the sections, questions, and scores for the questionnaire. Each section must be associated with at least one question.

You can also specify the rules for display of conditional questions based on the responses of a question. The **Questions** section is organized in a tree structure.

a. Click **Add** and **Add Section**. The section related fields appear on new **Section** window.

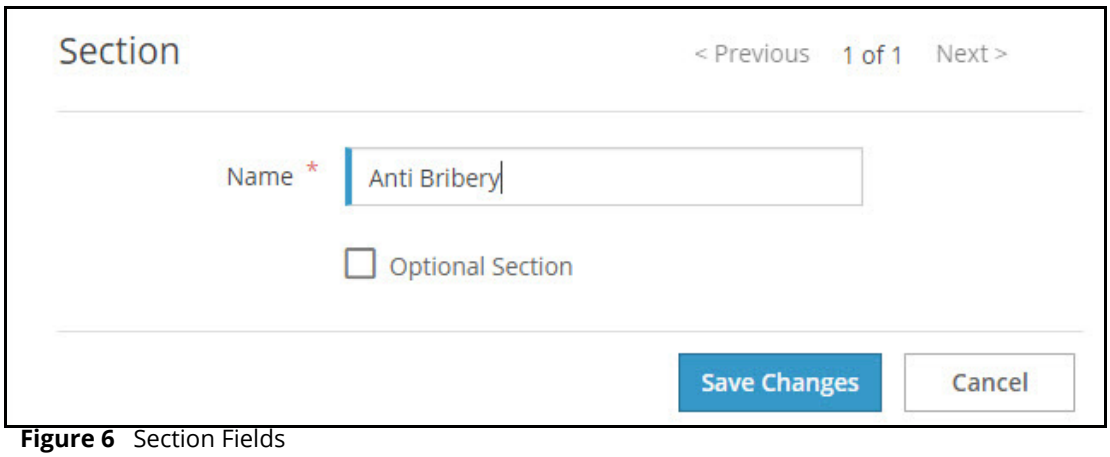

Figure 6 Section Fields

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b. Click **Save Changes**. The entered section name appears in the **Questions** section.

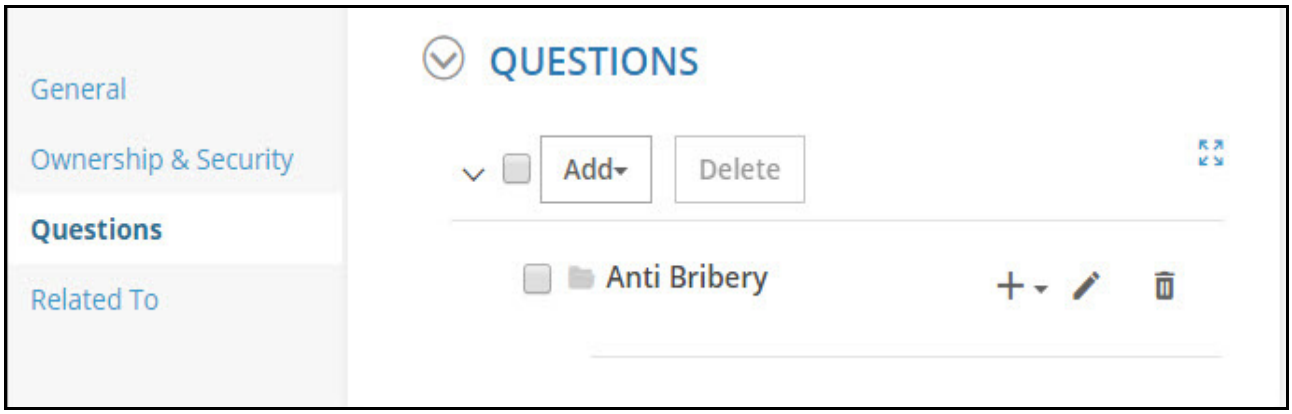

Figure 7 Questions Section

Field	Description
Name	Name of the questionnaire section.
Optional Section *(This field will be not available upon select the **Type** value **Certification**)*	Indicates whether to make the current section as optional section **Response** form.
Weighting *(appears on the following conditions: **Type** field value is **Scorecard**, or **Type** field and **Scoring** field values are **Surveys** and **Yes** respectively and **Weighted Scoring** check box is selected)*	Weighing for the section. **Note:** The weight that you define for each section is contributed to the weighed score while calculating the section score.
Total Weighting *(appears on the following conditions: **Type** field value is **Scorecard** and **Weighted Scoring** check box is selected or, **Type** field value is **Survey**, **Scoring** is **Yes** and **Weighted Scoring** check box is selected)*	Total weighing of the questionnaire. The sum of weighting of all the sections in the **Questions** section. For example, if you enter the following values: • Weighting in section 1 = 100 • Weighting in section 2 = 300 • Weighting in section 3= 400 • Total Weighting = 100+300+400 = 800
Add Metric(s) from Library *(appears only if the **Metrics** field is set to **Yes**)*	Add the metrics questions to sections from GRC Foundation library. To add Metrics questions: **1.** Click this link and **Metrics Report** window appears. **2.** Select the required questions from the report and click **Done**. The selected metrics appears as questions under the section. You can add the metric questions as a primary question, but cannot add as a conditional question. To add metrics as conditional questions, use the **Add Metric from Library** link at the second hierarchical level (question level).
Choose from Library	Add questions/procedures from the GRC Foundation library. The **Questions report** window appears. Select the required questions from the report by selecting the check boxes corresponding to the question name and click **Done**. The question is added under the selected section node.

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c. You can **Add Questions** and conditional questions. You can add conditional questions and setup rules based on which the conditional question should be displayed.
To add a question, click Add icon and click **Add Question**.
The questions related fields appear on new **Question** window.

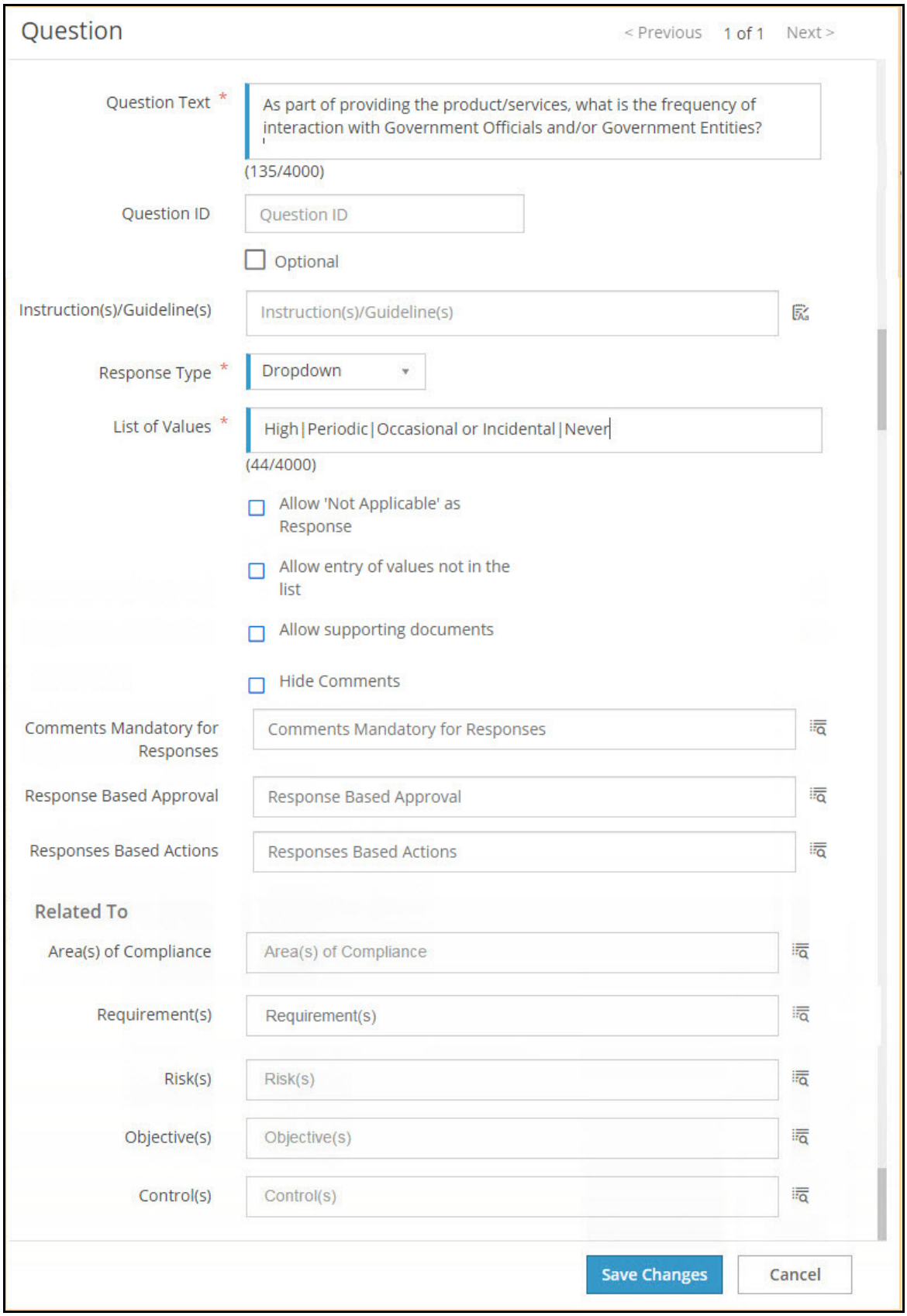

Figure 8 Adding Question in Questions Section

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Field	Description
Question Text	Type the question. Questions populated from Metrics or GRC Foundation Library are available for editing in this field. **Note:** When you add a new question manually in the form, the newly added questions are not added to the GRC Library.
Question ID	Internal reference ID for the question. This is an alpha numeric field. You must enter a unique question ID.
Optional *(appears only if you have not selected the* **Optional Section** *check box in the section hierarchical level)*	Indicate whether you want to make the current question as an optional question. Select to set the current question as optional question in the **Response** form. **Note:** The optional questions scores are not considered during score calculation, if the respondent does not enter a response for the question.
Add Rules for Conditional Question *(this link is made unavailable for the first question of the first section)*	To tag the current question as a conditional question and define the rules for displaying the question: **1.** Click this link and **Add Rules for Conditional Questions** window appears. **2.** Define the required rules. **3.** Click **Submit**. For more information on adding rules for conditional questions, see Add Rules for Conditional Questions.
Weighting *(appears when you select the following:* **Type** *is* **Scorecard** *or* **Type** *is* **Survey**, **Scoring** *is* **Yes** *and* **Weighted Scoring** *is selected)*	Weighting for this question. **Note:** The weight defined for each question is contributed to the weighted score while calculating the score.
Total Section Weighting *(appears when you select the following:* **Type** *is* **Scorecard** *or* **Type** *is* **Survey**, **Scoring** *is* **Yes** *and* **Weighted Scoring** *is selected)*	Populates the total weighting of the section. This is the sum of weighting of all the questions in the section. For example, if you specify the following values: • Weighting of question 1 = 10 • Weighting of question 2 = 15 • Weighting of question 3 = 15 The Total Section Weighting = 10+15+15 = 40
Default Score *(appears when you select the following:* **Type** *is* **Scorecard** *or* **Type** *is* **Survey** *and* **Scoring** *is* **Yes***)*	Type the default score for the current question. For example, if the question type is Yes or No, the values defined are as follows: • Yes = 20 • No = 5 • Default Score = 10 If you select: • Yes, the score = 20 • No, the score = 5 • Does not select any values, the score = 10

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Field	Description
Instruction(s)/Guideline(s)	Type any instructions to answer the question. To type instructions: **1.** Click **Text Editor**. **2.** Type required details. **3.** Save and close the **Text Editor** window.

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Field	Description
Response Type	Select one of the following type of response from the respondent for this question: • **Amount**: Enter only amount in numbers as the response for the question. • **Attachment**: Attach relevant documents as the response for the question. • **Check box**: Values entered in the List of Values field appears as a check boxes and the respondent can choose the required check box. • **Data Lookup**: Select an infolet used for fetching the GRC and Non-GRC objects. You can also create other infolets based on the requirement. Also, In **Data Lookup** response type if the stored values have any special characters, those values do not display in the Data Lookup response data. **Notes:** – The maximum limit an infolet result set can return is 1000. – For **Data Lookup** response type, the mapped infolet should not have any parameter, should be of type keep history, and should be a part of the MS_QSM_RESP_FORM_DATALOOKUP infolet group. • **Date**: Enter only date as the response for the question. • **Dropdown**: Based on the values defined in the **List of Values** field, the respondent can select any one of the values from the drop-down list as the response for the question. • **Number**: Enter only numbers as the response for the question. • **List of Values**: Based on the values defined in the List of Values field, the respondent can select any one of the values as the response from the list for the question. • **Tabular Response**: Enter tabular responses and associate to the question. • **Radio Button**: Values entered in the List of Values field appear as radio buttons. • **Text Area**: Enter details in the text box as the response for the question. • **Text Box**: Enter details in a single line text response for the question. Additional validation for email ID and custom pattern can be setup for this field. When the validation is against a custom pattern, the maximum length of permissible text needs to be specified. • **Yes or No**: Select **Yes** or **No** as the response for the question. **Notes:** – If **Checkbox**, **List of Values**, **Dropdown**, or **Radio Button** are selected, the **List of Values** field appears. – If **Data Lookup** is selected, the fields **Infolet**, **Display Value**, **Stored Value**, **Allow Unvalidated Data Entry**, and **Allow Supporting Documents** for the question appear. – You cannot add conditional questions to **Date**, **Text Area**, **Tabular Response Template**, **Data Lookup**, and **Attachment** response types.

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Field	Description
Tabular Response Template *(appears only if you select* **Tabular Response** *in the* **Response Type** *field)*	Select the tabular response template that you want to send to the respondent to capture the data. For more information on creating the Tabular Response Templates, see Accessing Tabular Response Template Form.
Allow 'Not Applicable' as Response *(appears only if you select* **Dropdown**, **Checkbox**, **List Of Values**, **Radio Button**, **Yes or No** *in the* **Response Type** *field)*	Select to indicate whether you want to add **Not Applicable** as one of the response option in the **Response** form to the current question. **Note:** If the respondent chooses the Not Applicable response while responding to the survey/scorecard, the score from the current question is not considered for score calculation.
Exclude Question from Score Calculation if Response is 'Not Applicable' *(appears only for Scorecard or scoring enabled surveys and if the* **Allow 'Not Applicable' as Response** *checkbox is selected)*	Select to indicate that questions with **Not Applicable** response will not be considered for scoring in the **Response** form.
Allow Supporting Documents for the questions *(this option is not available for questions whose* **Response Type** *is* **Attachment***)*	Specify if the respondent can attach supporting documents for a question in the **Response** form or not.
Hide Comments *(appears only if the* ***Hide all Question-Level Comments*** *is cleared)*	Add comments link associated with the question will be hidden in the **Response** form.
Comments Mandatory for Responses *(appears only if you select* **Dropdown**, **Checkbox**, **List Of Values**, **Radio Button**, **Yes or No** *in the* **Response Type** *field)*	Allows to make a respondent's comments to a question mandatory based on the response provided. If the defined value is selected by the respondent in the **Response** form, the **Add Comments** filed becomes mandatory for that response. For example, if the response to a question has Yes, No and Maybe as possible list of values and it is defined that the response is mandatory for the value Yes, then if the respondent's response is Yes to the question, the **Add Comments** field becomes mandatory for the respondent.
Response Based Approval *(appears only if you select any one of the values in the* **Response Type** *field: Drop-down, List Of Values, Radio Button, Checkbox, Yes or No)*	Select the response value that requires approval. To select the response value that requires approval: **1.** Click **Browse** icon. The **Response Based Approval** window appears. **2.** Select the required response value that requires approval by clicking the check boxes in the **List of Values** column. **3.** Click **Submit**. The selected values appear in the **Response Based Approval** field separated by vertical pipes. **Note:** If the respondent selects any of the response that you selected, the selected approver receives an assignment to approve the response. This depends on the approval options setup in the survey.

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Field	Description
Response Based Action *(appears only if you select any one of the values in the* **Response Type** *field: Drop-down, List Of Values, Radio Button, Checkbox, Yes or No)*	Select the response value that requires action from the respondents. To select the response value that requires action: **1.** Click **Browse** icon. The **Response Based Actions** window appears. **2.** Select the required response value that requires action by clicking the check boxes in the **List of Values** column. **3.** Click **Submit**. The selected values appear in the **Response Based Actions** field separated by vertical pipes. **Notes:** - If respondent selects any of the response you selected, a note is displayed below the question indicating the action needed to be taken. - This field displays all the responses that you define for the LOV, drop-down or Yes or No response types.
Action Plan *(appears only after you select the value in the* **Response Based Action** *field)*	List of actions that needs to be populated in the **Response** form for the responses selected in the **Response Based Action** field. **Note:** If the respondent selects any of the response that you selected in the **Response Based Action** field, while submitting the form the system displays an alert message to select the required actions that you define in the **Response** form.
List of Values (separate the values with |)	Values to appear in the drop-down list or list of values for this question. Use a vertical pipe to separate the list values. Example: Yes|No. These are populated as a drop-down list or of values list for the respondent for selection. If you select the questionnaire from GRC library, the values are automatically mapped. You can change the values, if required. The field mappings are: • GRCF List of Responses field = Drop-down value of **Response Type**

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Field	Description
Multiple Choice Scoring *(appears only if you select the value* **List of Values** *and* **Checkbox** *in the* **Response Type** *field and* **Scoring** *field is set to* **Yes**)	Value that needs to be considered while calculating the survey/scorecard scores. The available options are: • **Highest**: Highest score option entered by a respondent is considered for score calculation. • **Aggregate**: Sum of all the options selected by a respondent is considered for score calculation. This option is available for **Surveys** and **Scorecard** types. Example, • List of values = Yes, No, and May be • Score = Yes = 2 • Score = No = 3 • Score = May be = 5 • Multiple Choice Scoring = Highest Respondent selects a and c as the response, 5 is used for calculating the score. Example, • List of values = Yes, No, and May be • Score = Yes = 2 • Score = No = 3 • Score = May be = 5 • Multiple Choice Scoring = Aggregate Respondent selects a, b, and c as the response, 2+3+5=10 is used for calculating the score.
Infolet *(appears only if you select* **Data Lookup** *in the* **Response Type** *field)*	Based on the infolet output, the Respondent will see a multi select list of values in the **Response** form. For more information on the infolets and their descriptions, refer to Metricstream Arno Release Spring '21 - Surveys - Administrator Guide.
Display Value *(appears only if you select* **Data Lookup** *in the* **Response Type** *field)*	Select the value that must be displayed to the respondent. The values are available for selection based on the infolet definition.
Stored Value	Specify the value that must be stored in the database. **Note:** The value selected is not displayed for the respondent.
Allow entry of values not in the list	Allows user to enter additional values as response that are not provided in the list. These values can be entered as free text. **Data Lookup**, **List of Values**, **Radio Button**, **Checkbox**, **Drop-down** response types are considered for the same. For these response types in the **Response** form, the user can define whether the response can be text-entry as well as a List of Values field or only a List of Values field.

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d. From the **Add Rules for Conditional Questions** window, you can add rules or define the condition to display conditional question.
This question is displayed to the respondent based on the responses to one or more questions.

Note: Add rules for conditional questions window is not displayed for Tabular Response, Date, Data Lookup, Attachment and Text response questions.

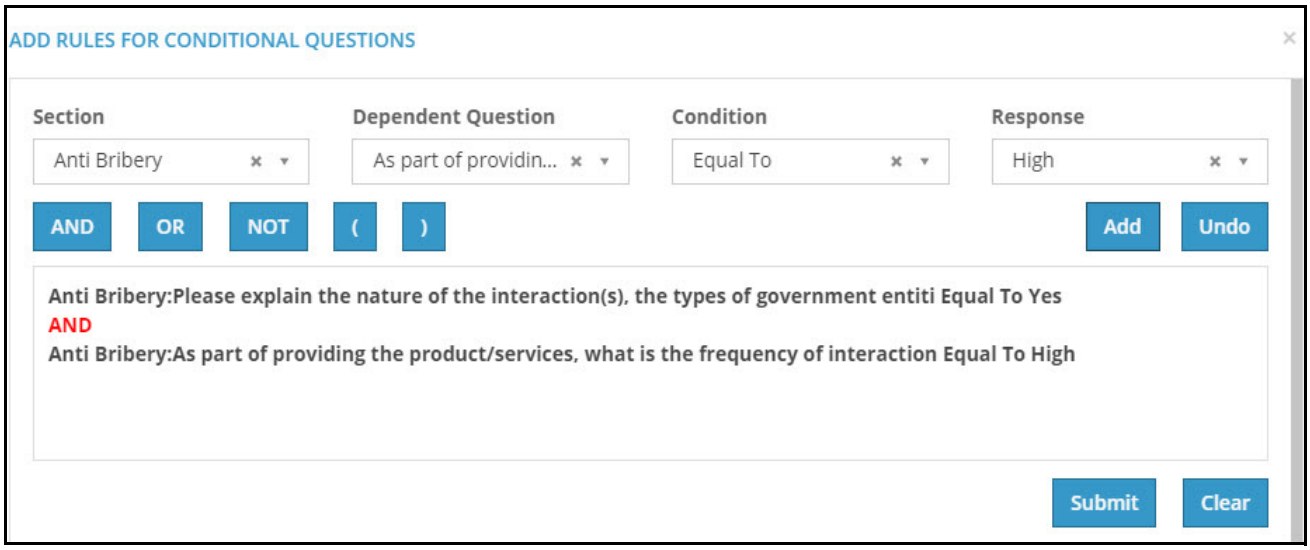

Figure 9 Add Rules for Conditional Questions window of Questions Section

Field	Description
Section	Conditional question for the selected section, depending on the responses for the questions.
Dependent Question	Select the question which determines the display conditional question. The responses to one or more questions can be combined using expressions to define the rule for display of conditional questions. **Notes:** - All the questions that are added before the current question across the different sections are made available in this column. - You cannot add condition to the first question in the tree structure.

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Field	Description
Condition	Define a condition based on the values in this field. The values vary based on the **Response Type** selected for the parent question in the tree structure. The following options are displayed when the response type is **Number** or **Amount**: • Greater Than • Less Than • Equal To The **Equal To** option is displayed and this column is non-editable for the following response types: • Drop-down • List of Values • Radio Button • Checkbox • Yes or No For example, if the value **Greater Than** is selected, enter the number as 10 in the **Number** field and the user enters the value 11 as the response for the first question. The dependent question's condition is satisfied and appears to the respondent. **Note:** You cannot define condition for **Date**, **Attachment**, **Data Lookup**, **Tabular Response** and **Text** response types.
Response	Response based on which you want the conditional question to appear for the respondent. The values vary based on the **Response Type** selected for the parent question in the tree structure. • For **List of Values**, **Checkbox**, **Drop-down**, and **Radio Button** response types, the values that you define in the List of Values (separate the values with |) fields are listed. • For **Yes** or **No** response type, the values Yes and No are listed. • For **Amount** and **Number** response types, the text box appears. Click the text box and type the amount or number based on which the conditional question need to be displayed. This is a numeric-entry text box. For example, select the value **Yes** in the **Response** field for the first question, second conditional question that you define is displayed to the respondent.
Add	Add the defined condition for the question. After you click, the defined condition appears in the second section of the window.
Undo	Delete the most recent performed action.
Submit	Submit the defined rules for the question and close the window.
Clear	Delete all the rules defined for the question.

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Field	Description
AND	Use this symbol to combine two questions. Example: Q1 Response = a Q2 Response = b If you want to trigger the conditional question when both Q1 and Q2 are equal to a and b respectively. The expression is as follows: Q1 = a AND Q2 = B
OR	Use this symbol when one of the condition triggers the conditional question. Example: Q1 Response = a Q2 Response = b If you want to trigger the conditional question when Q1 = a or Q2 = b. The expression is as follows: Q1 = a OR Q2= B
NOT	Use this symbol when the conditional question to be triggered when the response of a question is not equal to certain value. Example: Q1 Response = a Q2 Response = b If you want to trigger the conditional question when NOT (Q1 = a)
( )	To group the conditions, two conditions can be separated with an 'And', 'Or', or 'NOT' condition and grouped together.

e. Using the third hierarchical tree level, you can define the **Scoring Rules** for each question.
   You can define the scoring logic for following response types:
   - Number
   - Amount
   - Yes or No
   - List of Values
   - Drop-down
   - Radio Button
   - Check box

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If you define the scoring rule for the question, the calculation of the score is based on the logic that is defined at the hierarchical level.

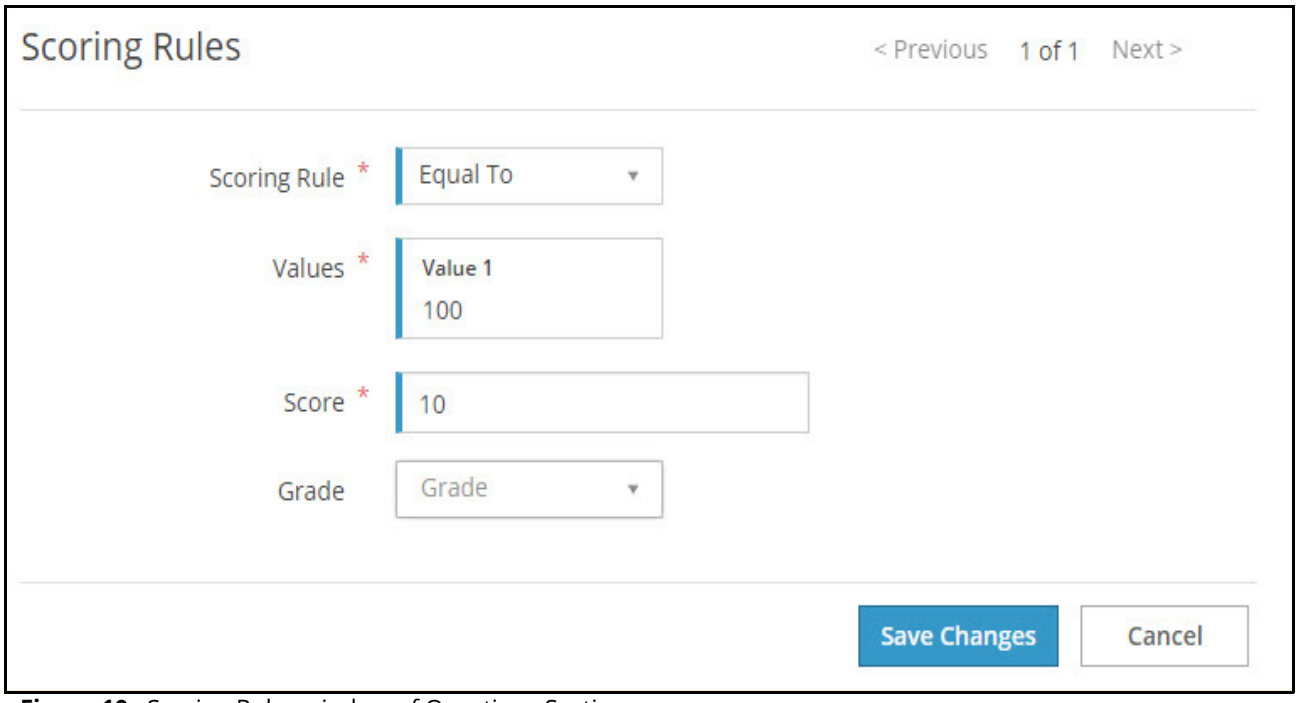

Figure 10 Scoring Rules window of Questions Section

Field	Description
Scoring Rule	Following are types of comparison for calculating the score. • Equal To • Greater than • Less than • Range: Number entered in the **Response** field is compared to the number entered in the **Value1** field. **Notes:** – Greater than, Less than, and Range are available only for Number and Amount response types. – You cannot edit the value of this field for List of Values, Yes or No and Dropdown response types and the values are populated as Equal To.
Value 1	First value must be used for comparison. This is a numeric-entry field. Based on the value entered the score is calculated.
Value 2 *(appears only if you select the value* **Range** *in the* **Scoring Rule** *field)*	This is a numeric-entry field for comparison. For example, if you have selected the Type as Range and 5 in the Value1 field, 10 in the Value 2 field and 2 in the Score field, and the respondent enters the value 8 in the Response field, the system populates the score as 2 for the current question as the value entered by the respondent is in the range of 5-10.
Score	Type the rule-specific number that must be used for calculating the score for the question. For more information on scoring, see Scoring Logic. For example, Select value Greater Than in Type field, 6 in Value 1 field, and 4 in Score field, and the respondent enters the value in Response field is 12, as the defined scoring rule is satisfied, 4 is populated (value in the **Score** field) as the score for the question.

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Field	Description
Grade	Grade for the current question.

f. The **Scoring Details** section is enabled in the following scenarios:
Type = **Scorecard**
Type = **Survey** and **Scoring** = **Yes**
The **Scoring Details** section is for defining rules that determine the overall grade of a survey response as well as for the grades for individual sections within the response. The question and section level scores can be set in the **Questions** section.
This section allows you to define the scoring rules for the whole questionnaire and the individual sections. Based on the values entered by the respondents, the survey scores/scorecards are calculated. Based on the rules defined, **Scoring Details** section determines the grade for entire survey response as well as for sections within the response.

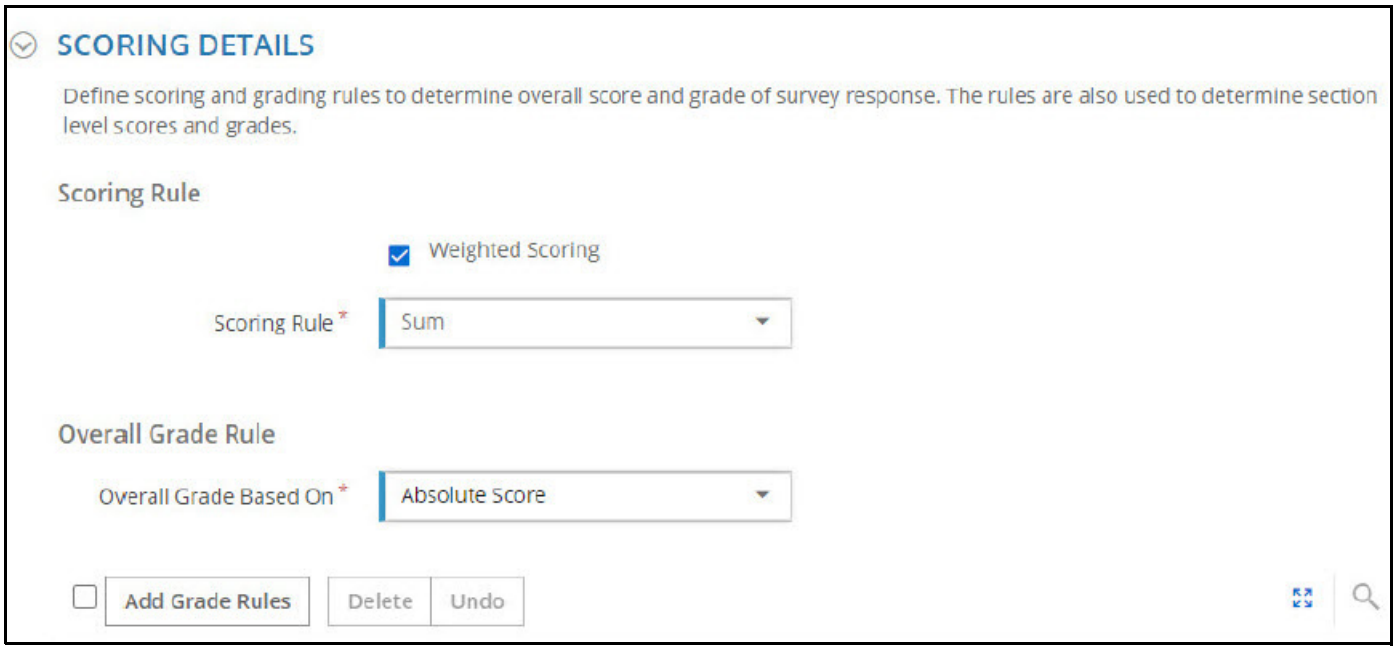

Figure 11 Scoring Details Section

Field	Description
Scoring Rule	
Weighted Scoring *(appears if you select* **Scorecard** *or* **Survey** *in the* **Type** *field and* **Yes** *in the* **Enable Scoring** *field)*	Weighting-related fields are available in the section and question level. Select the check box to considered weighed scores for score calculation.
Scoring Rule	Select the type of scoring rule for the current questionnaire. The available options are: • Max • Min • Sum **Note:** The above listed options display if the **Weighted Scoring** check box is selected. If the **Weighted Scoring** check box is not selected, then **Average** option is displayed additionally in the drop down.
Overall Grade Rule	
Overall Grade Based On	Select to set the overall grade for the questionnaire.

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g. Click **Add Grade Rules** to add a new scoring rule for the current questionnaire. To add additional scoring rules, click this option as many times as required.

The **Grade Rules** window displays.

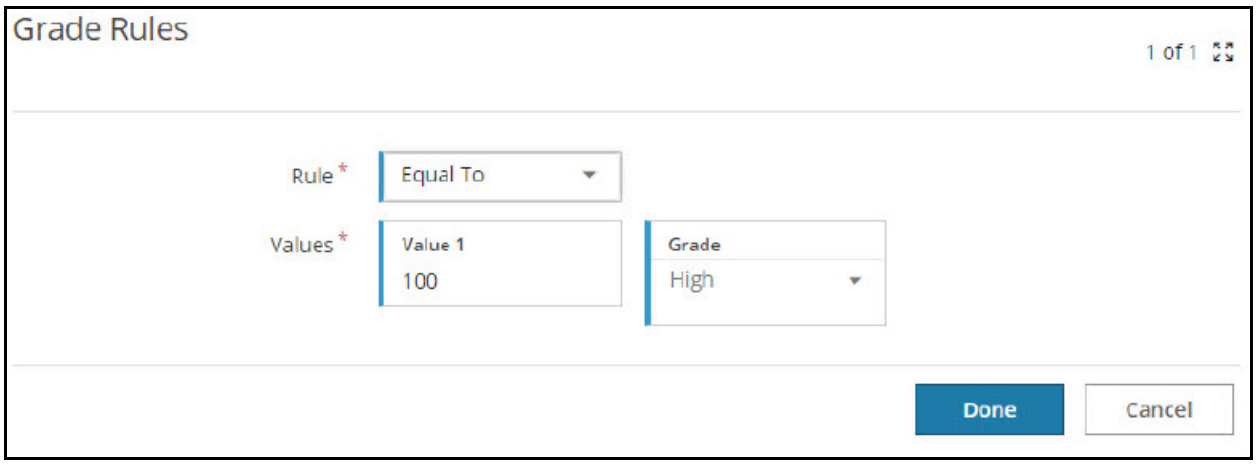

Figure 12 Add Scoring Rules of Scoring Details Section

Field	Description
Rule	Select one of the following type of comparison used for this scoring rule: • Equal To • Greater than • Less than • Range: Overall grade is compared with the values entered in the Value 1 field and Value 2 field. This is a multi-row region. You cannot enter the same value range in two different rows. If you enter the same value range in two different rows, the system considers the first row values for the score. This occurs due to same values in the Value 1 fields in two different rows so that the system is not able to recognize which value needs to be populated as the score.
Value 1	Enter the value for the comparison. This is a numeric-entry field. Score is compared against Value 1 when the rule is Equal To, Greater Than, and Less than.
Value 2 *(appears if the value* **Range** *is selected in the* **Scoring Rule** *field)*	Enter the number that you want for the comparison. Only if **Range** is selected, Value 2 is enabled and is mandatory. Example: Value 1 is 5 and Value 2 is 10 and the Grade is High. The records with values 5 to 10 are graded as High.
Grade	Select to set the grade for the questionnaire. The grade applies to sections and questionnaire. The values are populated from the MS_QSM_GRADE_CONFIG data table. Example: If Overall Score is Equal to Value 1, the value of Grade is High, if Overall Score is Range, Value 1 and Value 2 (that is Value 1 < Overall Score < Value 2), the value of Grade is Medium.

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Notes:

- Once the questions are set, you can reorder them within a section of the questionnaire.
- When the question is moved, it removes rules defined for the following:
  - Conditionally displaying the question itself.
  - Conditionally displaying other questions based on the response to this question.
  - Before moving the question, the user will be informed that the dependent rules will be removed.
- Sections cannot be reordered.
- Questions cannot be moved to a different section.

4. The **Related To** section allows to associate questionnaire to other GRC Library content. The GRC Library content are populated from GRC Foundation. Based on the item that you select in the **Add** field, the related report appears and you can select the related content from the respective report.

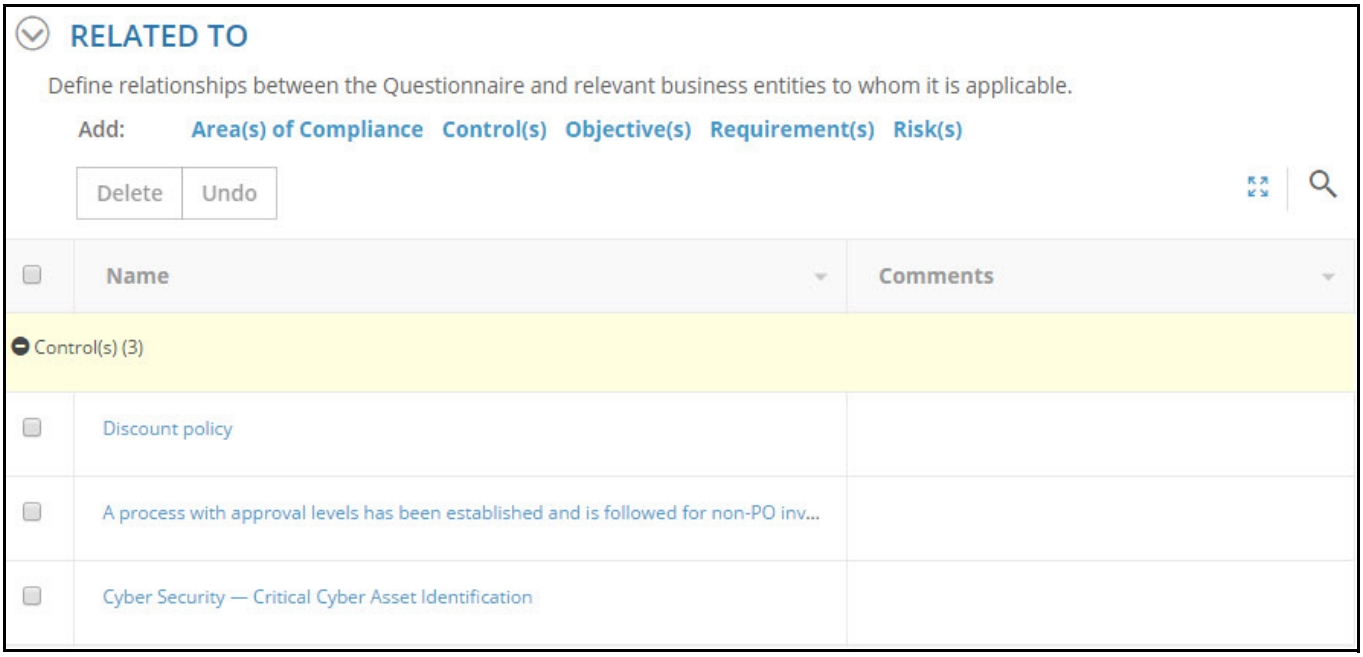

Figure 13 Related To Section

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Field	Description
Add	Select any of the following to add other GRC library content associated with this questionnaire. • Area(s) of Compliance: Displays the available areas of compliance records from the library. • Control(s): Displays the available controls from the library. This is a hierarchical list with parent and child items. • Objective(s): Displays the available objectives from the library. This is a hierarchical list with parent and child items. • Requirement(s): Displays the available requirements from the library. This is a hierarchical list with parent and child items. • Risk(s): Displays the available risks from the library. This is a hierarchical list with parent and child items. **Notes:** - The GRC library content that you associate in this section are automatically mapped to the item in the **Related To** section in **Issue Management**. This function is enabled only if the findings /issues are raised for the surveys while responding to the surveys. - If the GRC 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.
Area(s) of Compliance	Select the area of compliance(s) to which this question is related to. Displays all the area of compliance(s) based on the organization selected.
Control(s)	Select the control(s) to which this question is related to. Displays all the control(s) based on the organization selected.
Objective(s)	Select the objective(s) to which this question is related to. Displays all the objective(s) based on the organization selected.
Requirement(s)	Select the requirement(s) to which this question is related to. Displays all the requirement(s) based on the organization selected.
Risk(s)	Select the risk(s) to which this question is related to. Displays all the risk(s) based on the organization selected.
Comments	Enter a Comments column corresponding to the item type. The comments box appears. To save the comments, click outside the comments box. The entered comments appear in the **Comments** column.

5. Click **Submit** to submit the current form.
   For more information on the Header toolbar options, see Header Toolbar.

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Reviewing on Questionnaires

As a Survey Owner, you can review the details of ***Questionnaire*** form create by the initiator. As the owner, you can make any modifications, or request the Initiator for any clarifications.

The **Questionnaire** form at this stage comprises the following sections:

Header	Displays the current workflow stage, summary of the information captured in various sections, allows you to view the form-related reports, if any, and provides the action buttons to take action on the form.
General	Helps you review and modify the basic details of the questionnaire.
Ownership & Security	Helps you review and modify organization structure and owner for the questionnaire.
Questions	Helps you to review and modify the sections, questions, and scores for the questionnaire.
Related To	Helps you to review and modify associated questionnaire to other GRC Library content.

To review and modify a **Questionnaire** Form:

1. Open the **Questionnaire** from **My Tasks** menu.

   For more information on My Tasks functionality, see My Tasks.

2. In the **General** section, review the details entered in **Setup Questionnaire** form**,** and make modifications or add more details if necessary.

Field	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	The types to create a questionnaire: • **Survey**: Create a questionnaire for conducting a survey. • **Certification**: Create a questionnaire related to a certification. • **Scorecard**: Create a scorecard to send for the assessments.
Name	Name of the questionnaire for the survey, certification, and scorecard. **Notes:** - After entering the questionnaire name, if you navigate to any other field, the question name appears in the form title. - You must enter a unique questionnaire name. - Prior to approval, the name of the questionnaire can be modified at any stage by any users who are a part of the approval life cycle.

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Field	Description
Applies To	The categories of questionnaire: • Ad-Hoc • Areas of Compliance • Assets • Asset Classes • Audit • Auditable Entities • Auditor • Commodities • Controls • Engagement • Facilities • Objectives • Organizations • Processes • Risks • Third Parties **Note:** The values are configurable.
Metrics *(appears when the **Enable Metric Fields** parameter is set to Yes. Contact your system administrator to manage parameters.)*	Indicates whether the questionnaire has a metric or not. • **Yes**: Metrics defined in the library can be added as questions. • **No**: Metrics cannot be added as questions. Allows you to merge multiple Metrics from GRC Foundation to the Surveys and send to the respondents for responses.
Metric Frequency *(appears only if you select **Yes** in the **Metrics** field)*	Select one of the following metrics frequency based on which you want to filter and add to the questionnaire. • Daily • Weekly • Monthly • Quarterly • Semi-Annually • Annually • Bi-Weekly Enables filters for the selected frequency in the **Metrics** field at section and question level. **Note:** The values are populated from **Metrics** of GRC Foundation.
Instructions / Guidelines	Instructions for responding to the questionnaire. The details entered here enables respondents to answer the questionnaire effectively.

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Field	Description
Validity	**Valid From**: On the selected date, the questionnaire is available in the published library for initiating surveys/certifications/scorecards. **Note:** The **Valid From** date should not be lesser than the system date. **Valid Until**: Questionnaire validity end date. **Notes:** - If you do not enter any date, this questionnaire possesses perpetual validity. - Should be greater than the **System Date** and **Valid From** date.
Enable Scoring *(appears only if you select the value* **Survey** *in the* **Type** *field)*	Select to indicate whether the current questionnaire for survey requires scoring or not. • **Yes**: The scoring field appears for the survey response. **Note:** scoring related field appears and the **Scoring Details** section appears. The **Scoring Details** section allows you to define rules to determine the overall grade of the survey response. • **No**: Disables the scoring field for the survey response.
Weighted Scoring *(appears if you select* **Scorecard** *or* **Survey** *in the* **Type** *field and* **Yes** *in the* **Enable Scoring** *field)*	The weighing-related fields are available in the section and question level, and the weighted scores are considered for score calculation.
Hide Respondent Submission Comments	Add comments link will not appear for the respondent, while submitting the survey.
Hide all Question-Level Comments	Add comments link will not appear for the respondent at each question-level in the response form.
Hide Change History Report	To hide the change history report for the respondent. **Note:** By default, the Change History report does not display when the survey is assigned to the respondent for the first time.
Hide Comments History Report	To hide the comments history report for the respondent. **Note:** By default, the Comments History report does not display when the survey is assigned to the respondent for the first time.

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3. Proceed to **Ownership & Security** section, review the owner organization, owner and ownership details.

Field	Description
Owner Organizations	Review and edit if required. Perform the following procedure to select one or more organization structure. **1.** Click **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click Edit icon to update the added organization structure. - Click Delete icon to remove the added organization structure. - For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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Field	Description
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM View Questionnaire activity can view this questionnaire and all users with QSM Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM View Questionnaire activity is assigned to them and edit it if the QSM View Questionnaire and QSM Manage Questionnaire activities are assigned to them.

4. In **Questions** section, review the existing details, and make modifications or add more Sections and Questions if required.

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5. In the **Related To** section, review the associated entities, and modify if required by clicking the respective link.

Field	Description
Add	Add other GRC library content associated with this questionnaire. • Area(s) of Compliance: Displays the available areas of compliance records from the library. • Control(s): Displays the available controls from the library. This is a hierarchical list with parent and child items. • Objective(s): Displays the available objectives from the library. This is a hierarchical list with parent and child items. • Requirement(s): Displays the available requirements from the library. This is a hierarchical list with parent and child items. • Risk(s): Displays the available risks from the library. This is a hierarchical list with parent and child items. **Notes:** - The GRC library content that you associate in this section are automatically mapped to the item in the **Related To** section in **Issue Management**. This function is enabled only if the findings /issues are raised for the surveys while responding to the surveys. - If the GRC 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.
Areas of Compliance	Area of compliances to which question is related to. Displays all the area of compliances based on the organization selected.
Controls	Controls to which question is related to. Displays all the control(s) based on the organization selected.
Objectives	Objectives to which this question is related to. Displays all the objectives based on the organization selected.
Requirements	Requirement(s) to which this question is related to. Displays all the requirements based on the organization selected.
Risks	Risks to which this question is related to. Displays all the risk(s) based on the organization selected.
Comment	Comments column corresponding to the item type. The comments box appears. To save the comments, click outside the comments box. The entered comments appear in the **Comments** column.

6. Click **Submit** to perform any following actions.
   - Click **Approve**.

     The form is published if you are the only approver or the last level approver. Otherwise, the form is submitted to the next level approver.
   - Click **Cancel**.

     The form is closed and no assignments are generated.
   - Click **Request for Clarification.**

     The **Questionnaire** form will be sent back to the user who initiated the questionnaire for further clarifications.

     Provide the details of your request in the **Comments** field of the **Request for Clarifications** window that appears.

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- Click **Related Reports** and click **Comments History**.

  Read the comments provided in the Comments column by the owner/approver. Review the fields and sections, and edit the details, as required.

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Approving Questionnaires

After the Questionnaire is reviewed and modified by the Owner, as an Approver you receive the form. You can review the details, make modifications, request for clarifications from the Questionnaire Owner, and approve the form.

The **Questionnaire** form at this stage comprises the following sections:

To review and modify a **Questionnaire** Form:

Header	Displays the current workflow stage, summary of the information captured in various sections, allows you to view the form-related reports, if any, and provides the action buttons to take action on the form.
General	Helps you review and modify the basic details of the questionnaire.
Ownership & Security	Helps you review and modify organization structure and owner for the questionnaire.
Questions	Helps you to review and modify the sections, questions, and scores for the questionnaire.
Related To	Helps you to review and modify associated questionnaire to other GRC Library content.

1. Open the **Questionnaire** from **My Tasks** menu.

   For more information on My Tasks functionality, see My Tasks.

2. In the **General** sections, review the details entered by **Setup Questionnaire Initiator** and **the Setup Questionnaire Owner** form**,** and make modifications or add more details if necessary.

Field	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	The types to create a questionnaire: • **Survey**: Create a questionnaire for conducting a survey. • **Certification**: Create a questionnaire related to a certification. • **Scorecard**: Create a scorecard to send for the assessments.
Name	Name of the questionnaire for the survey, certification, and scorecard. **Notes:** - After entering the questionnaire name, if you navigate to any other field, the question name appears in the form title. - You must enter a unique questionnaire name. - Prior to approval, the name of the questionnaire can be modified at any stage by any users who are a part of the approval life cycle.

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Field	Description
Applies To	The categories of questionnaire: • Ad-Hoc • Areas of Compliance • Assets • Asset Classes • Audit • Auditable Entities • Auditor • Commodities • Controls • Engagement • Facilities • Objectives • Organizations • Processes • Risks • Third Parties **Note:** The values are configurable.
Metrics *(appears when the **Enable Metric Fields** parameter is set to Yes. Contact your system administrator to manage parameters.)*	Indicates whether the questionnaire has a metric or not. • **Yes**: Metrics defined in the library can be added as questions. • **No**: Metrics cannot be added as questions. Allows you to merge multiple Metrics from GRC Foundation to the Surveys and send to the respondents for responses.
Metric Frequency *(appears only if you select **Yes** in the **Metrics** field)*	Select one of the following metrics frequency based on which you want to filter and add to the questionnaire. • Daily • Weekly • Monthly • Quarterly • Semi-Annually • Annually • Bi-Weekly Enables filters for the selected frequency in the **Metrics** field at section and question level. **Note:** The values are populated from **Metrics** of GRC Foundation.
Instructions / Guidelines	Instructions for responding to the questionnaire. The details entered here enables respondents to answer the questionnaire effectively.

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Field	Description
Validity	**Valid From**: On the selected date, the questionnaire is available in the published library for initiating surveys/certifications/scorecards. **Note:** The **Valid From** date should not be lesser than the system date. **Valid Until**: Questionnaire validity end date. **Notes:** - If you do not enter any date, this questionnaire possesses perpetual validity. - Should be greater than the **System Date** and **Valid From** date.
Enable Scoring *(appears only if you select the value* **Survey** *in the* **Type** *field)*	Select to indicate whether the current questionnaire for survey requires scoring or not. • **Yes**: The scoring field appears for the survey response. **Note:** scoring related field appears and the **Scoring Details** section appears. The **Scoring Details** section allows you to define rules to determine the overall grade of the survey response. • **No**: Disables the scoring field for the survey response.
Weighted Scoring *(appears if you select* **Scorecard** *or* **Survey** *in the* **Type** *field and* **Yes** *in the* **Enable Scoring** *field)*	The weighing-related fields are available in the section and question level, and the weighted scores are considered for score calculation.
Hide Respondent Submission Comments	Add comments link will not appear for the respondent, while submitting the survey.
Hide all Question-Level Comments	Add comments link will not appear for the respondent at each question-level in the **Response** form.
Hide Change History Report	To hide the change history report for the respondent. **Note:** By default, the Change History report does not display when the survey is assigned to the respondent for the first time.
Hide Comments History Report	To hide the comments history report for the respondent. **Note:** By default, the Comments History report does not display when the survey is assigned to the respondent for the first time.

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3. Proceed to **Ownership & Security** section, review the owner organization, owner and ownership details.

Field	Description
Owner Organizations	Perform the following procedure to select one or more organization structure. **1.** Click **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click Edit icon to update the added organization structure. - Click Delete icon to remove the added organization structure. - For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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Field	Description
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM View Questionnaire activity can view this questionnaire and all users with QSM Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM View Questionnaire activity is assigned to them and edit it if the QSM View Questionnaire and QSM Manage Questionnaire activities are assigned to them.

4. In **Questions** section, review the existing details entered by **Setup Questionnaire Initiator** and **the Setup Questionnaire Owner** form, and make modifications or add more Sections and Questions if required.

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5. In the **Related To** section, review the associated entities, and associate more if required by clicking the respective link.

Field	Description
Add	Add other GRC library content associated with this questionnaire. • **Areas of Compliance**: Displays the available areas of compliance records from the library. • **Controls**: Displays the available controls from the library. This is a hierarchical list with parent and child items. • **Objectives**: Displays the available objectives from the library. This is a hierarchical list with parent and child items. • **Requirements**: Displays the available requirements from the library. This is a hierarchical list with parent and automatically mapped to the item in the **Related To** section in **Issue Management**. This function is enabled only if the findings /id child items. • **Risks**: Displays the available risks from the library. This is a hierarchical list with parent and child items. **Notes:** – The GRC library content that you associate in this section are automatically mapped to the item in the **Related To** section in **Issue Management**. This function is enabled only if the findings /issues are raised for the surveys while responding to the surveys.. – If the GRC 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.
Areas of Compliance	Area of compliances to which question is related to. Displays all the area of compliances based on the organization selected.
Controls	Control to which question is related to. Displays all the controls based on the organization selected.
Objectives	Objectives to which this question is related to. Displays all the objectives based on the organization selected.
Requirements	Requirements to which this question is related to. Displays all the requirements based on the organization selected.
Risks	Risks to which this question is related to. Displays all the risks based on the organization selected.
Comments	Comments column corresponding to the item type. The comments box appears. To save the comments, click outside the comments box. The entered comments appear in the **Comments** column.

6. Click **Submit** to perform any following actions.
   - Click **Approve**.
     The form is published if you are the only approver or the last level approver. Otherwise, the form is submitted to the next level approver.
   - Click **Cancel**.
     The form is closed and no assignments are generated.
   - Click **Request for Clarification.**
     The **Questionnaire** form will be sent back to the owner for further clarifications.
     Provide the details of your request in the **Comments** field of the **Request for Clarifications** window that appears.
   - Click **Related Reports** and click **Comments History**.
     Read the comments provided in the Comments column by the owner/approver. Review the fields and sections, and edit the details, as required.

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Editing Questionnaires

Use the **Questionnaires** report to search for the existing questionnaires. Based on the search criteria, the system displays the **Questionnaires** Report. You can edit only the latest version of the questionnaire.

For example, if a questionnaire has 3 versions, you can edit only the third version of the questionnaire.

1. Click **Show Filters** icon to see the search filters.

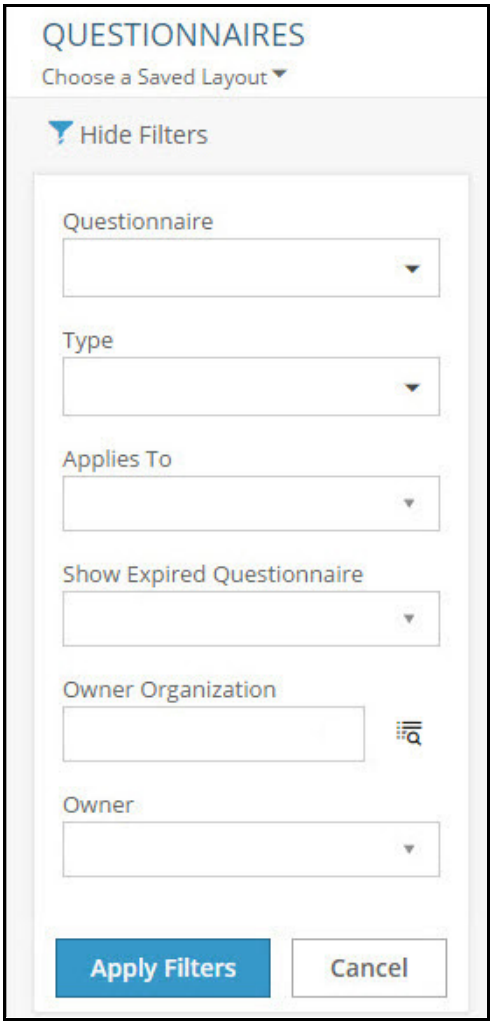

Figure 14 Questionnaire Report Filters

Note: The filter values are displayed based on the security restrictions of the logged-in user.

Field	Description
Based on the filter inputs that you provide, the data browser retrieves relevant records.	
Questionnaire	Name of the questionnaire.
Type	Type of questionnaire.
Applies To	Items to which the questionnaire applies.

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Field	Description
Show Expired Questionnaire	The available values are **Yes** and **No**. Select a value based on the following: • **Yes**: Includes the expired Questionnaires in the search. • **No**: Includes only active Questionnaires in the search. **Note:** Expired Questionnaires are those that have passed the due date.
Owner Organizations	Owner organization to which the questionnaire belongs.
Owner	Owner of the questionnaire. **Note:** If the selected owner organization structure is associated with a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected child level dimension.

Note: You can enter search criteria in all filter fields or in just a few fields, as required. The system applies an "AND" condition to all the filter criteria entered by you.

2. Click the questionnaire name corresponding and click **Edit** icon to modify.

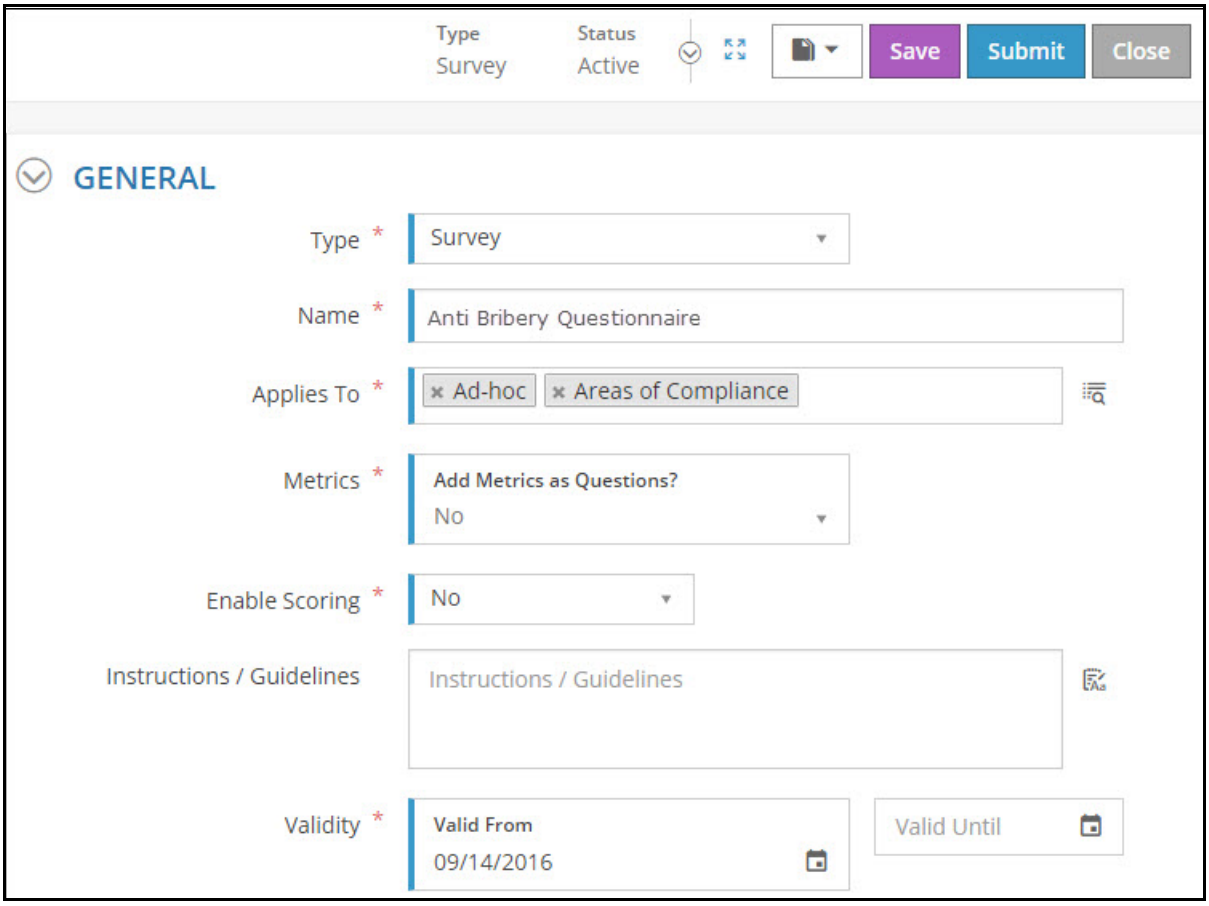

Figure 15 Questionnaire Form in Edit Mode

3. In the **General** sections, review the details entered in **Setup Questionnaire** form**,** and make modifications or add more details if necessary.

Field	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	The types to create a questionnaire: • **Survey**: Create a questionnaire for conducting a survey. • **Certification**: Create a questionnaire related to a certification. • **Scorecard**: Create a scorecard to send for the assessments.
Name	Name of the questionnaire for the survey, certification, and scorecard. **Notes:** - After entering the questionnaire name, if you navigate to any other field, the question name appears in the form title. - You must enter a unique questionnaire name. - Prior to approval, the name of the questionnaire can be modified at any stage by any users who are a part of the approval life cycle.
Applies To	The categories of questionnaire: • Ad-Hoc • Areas of Compliance • Assets • Asset Classes • Audit • Auditable Entities • Auditor • Commodities • Controls • Engagement • Facilities • Objectives • Organizations • Processes • Risks • Third Parties **Note:** The values are configurable.
Metrics *(appears when the **Enable Metric Fields** parameter is set to Yes. Contact your system administrator to manage parameters.)*	Indicates whether the questionnaire has a metric or not. • **Yes**: Metrics defined in the library can be added as questions. • **No**: Metrics cannot be added as questions. Allows you to merge multiple Metrics from GRC Foundation to the Surveys and send to the respondents for responses.

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Field	Description
Metric Frequency *(appears only if you select* **Yes** *in the* **Metrics** *field)*	Select one of the following metrics frequency based on which you want to filter and add to the questionnaire. • Daily • Weekly • Monthly • Quarterly • Semi-Annually • Annually • Bi-Weekly Enables filters for the selected frequency in the **Metrics** field at section and question level. **Note:** The values are populated from **Metrics** of GRC Foundation.
Instructions / Guidelines	Instructions for responding to the questionnaire. The details entered here enables respondents to answer the questionnaire effectively.
Validity	**Valid From**: On the selected date, the questionnaire is available in the published library for initiating surveys/certifications/scorecards. **Note:** The **Valid From** date should not be lesser than the system date. **Valid Until**: Questionnaire validity end date. **Notes:** - If you do not enter any date, this questionnaire possesses perpetual validity. - Should be greater than the **System Date** and **Valid From** date.
Enable Scoring *(appears only if you select the value* **Survey** *in the* **Type** *field)*	Select to indicate whether the current questionnaire for survey requires scoring or not. • **Yes**: The scoring field appears for the survey response. **Note:** scoring related field appears and the **Scoring Details** section appears. The **Scoring Details** section allows you to define rules to determine the overall grade of the survey response. • **No**: Disables the scoring field for the survey response.
Weighted Scoring *(appears if you select* **Scorecard** *or* **Survey** *in the* **Type** *field and* **Yes** *in the* **Enable Scoring** *field)*	The weighing-related fields are available in the section and question level, and the weighted scores are considered for score calculation.
Hide Respondent Submission Comments	Add comments link will not appear for the respondent, while submitting the survey.
Hide all Question-Level Comments	Add comments link will not appear for the respondent at each question-level in the response form.
Hide Change History Report	To hide the change history report for the respondent. **Note:** By default, the **Change History** report does not display when the survey is assigned to the respondent for the first time.

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Field	Description
Hide Comments History Report	To hide the comments history report for the respondent. **Note:** By default, the **Comments History** report does not display when the survey is assigned to the respondent for the first time.

4. Proceed to the **Ownership & Security** section, review the owner organization, owner and ownership details.

Field	Description
Owner Organizations	Perform the following procedure to select one or more organization structure. **1.** Click **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click Edit icon to update the added organization structure. - Click Delete icon to remove the added organization structure. - For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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Field	Description
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM - View Questionnaire activity can view this questionnaire and all users with QSM - Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM - View Questionnaire activity is assigned to them and edit it if the QSM - View Questionnaire and QSM - Manage Questionnaire activities are assigned to them.

5. In **Questions** section, review the existing details, and make modifications or add more Sections and Questions if required.

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6. In the **Related To** section, review the associated entities, and associate more if required by clicking the respective link.

Field	Description
Add	Add other GRC library content associated with this questionnaire. • Area(s) of Compliance: Displays the available areas of compliance records from the library. • Control(s): Displays the available controls from the library. This is a hierarchical list with parent and child items. • Objective(s): Displays the available objectives from the library. This is a hierarchical list with parent and child items. • Requirement(s): Displays the available requirements from the library. This is a hierarchical list with parent and child items. • Risk(s): Displays the available risks from the library. This is a hierarchical list with parent and child items. **Notes:** - The GRC library content that you associate in this section are automatically mapped to the item in the **Related To** section in **Issue Management**. This function is enabled only if the findings /issues are raised for the surveys while responding to the surveys. - If the GRC 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.
Areas of Compliance	Area of compliances to which question is related to. Displays all the area of compliances based on the organization selected.
Controls	Controls to which question is related to. Displays all the controls based on the organization selected.
Objectives	Objectives to which this question is related to. Displays all the objectives based on the organization selected.
Requirements	Requirements to which this question is related to. Displays all the requirements based on the organization selected.
Risks	Risks to which this question is related to. Displays all the risks based on the organization selected.
Comments	Comments column corresponding to the item type. The comments box appears. To save the comments, click outside the comments box. The entered comments appear in the **Comments** column.

7. Click any action button to perform the following.
   - Click **Submit**.

     The form is published if you are the only approver or the last level approver. Otherwise, the form is submitted to the next level approver.
   - Click **Close**.

     The form is closed and no assignments are generated.
   - Click **Save.**

     The form will be saved if any modifications are made.
   - Click **Related Reports** and click **Comments History**.

Read the comments provided in the Comments column by the owner/approver. Review the fields and sections, and edit the details, as required.

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Setting Up Tabular Response Templates

The **Tabular Response Template** form allows you to define the template with different type of response columns. For example, the columns can be of **Data Lookup**, **Date**, **Dropdown**, **Number** and **Text** types.

The Tabular Response Template is sent to respondents to get the responses for columns that you define in this template. The Tabular Response Templates created using this form are available in the **Questionnaire** form for selection. For example, if you want to setup a survey of an organization's employee dependent details, then it can be provided in a tabular format consisting of certain rows and columns. The columns can be named as Employee Name, Employee ID, Dependent Name, Contact Details, Age, Gender and so on.

You can define the following type of columns using the Tabular Response Template:

- **Data Lookup**: Select a predefined Infolet designed to obtain a specific set of data to the tabular response template. For example, if supplier related information should be a part of the tabular response template, an infolet query is written to get the supplier data. When you select an infolet, you can also choose the parameters based on which the data should be retrieved from the database.
- **Date**: Configure the date columns.
- **Drop-down**: Configure the list of values that are listed as a drop-down field.
- **Number**: Configure the number of columns and restrict the numeric entries by specifying an upper and lower limit.
- **Text**: Configure the text columns.

Accessing Tabular Response Template Form

1. From **Setup Questionnaire**, click **Forms** and click **Setup**.
2. Click the **Tabular Response Template** link.

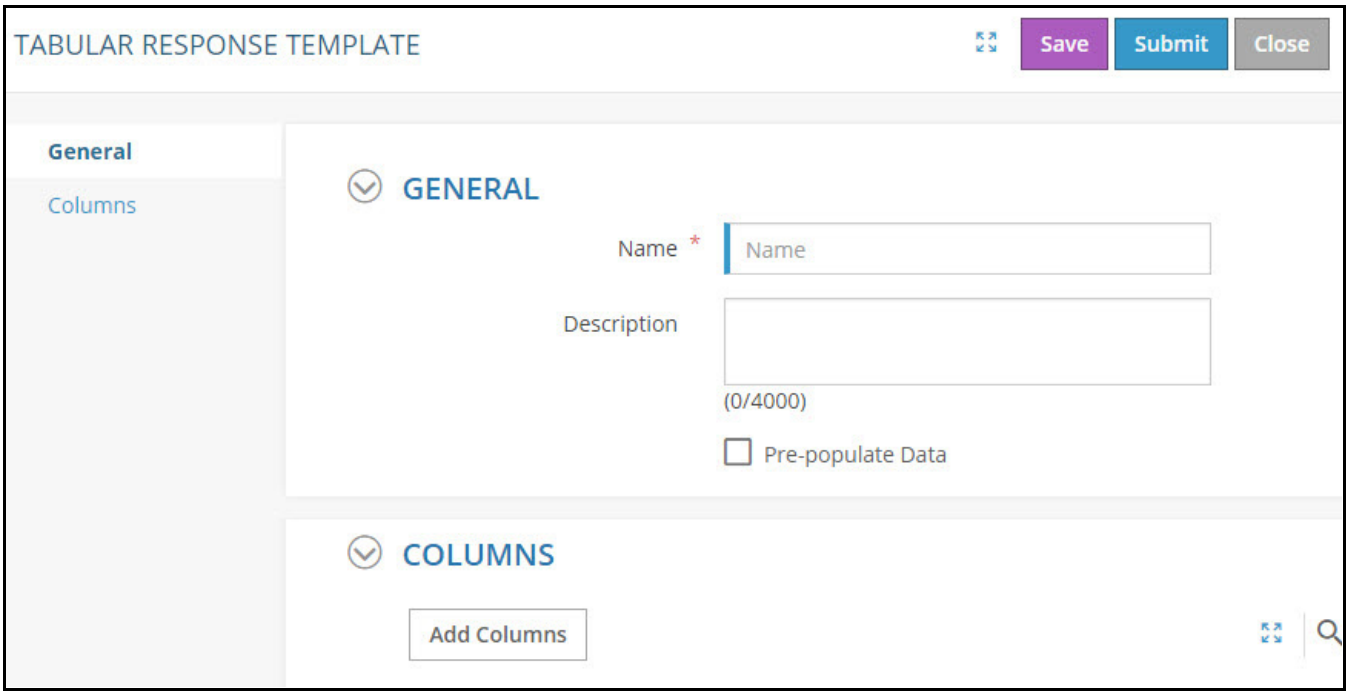

Figure 16 Tabular Response Template Form

Field	Description
Name	Name of the **Tabular Response Template**. **Note:** After entering the name, if you click on any other field, the name appears in the form title.
Description	Details about the **Tabular Response Template**.
Pre-populate Data	To pre-populate the data in the tabular response template columns of the **Response** form. **Note:** The data is populated based on the program unit that is selected in the **Data Pre Population Details** field.
Data Pre-population Details *(appears if you select the* **Pre-populate Data** *check box)*	Provide a program unit that contains the logic to pre-populate data in the tabular response template based on the business requirement. It is performed at the time of implementation. **Note:** It can also be performed by the Administrator, who is familiar with the required technical information including database details.

3. In the **Column** section, the input data entry that you define is available to respondent in the **Response** form and user can add multiple rows and respond to the survey.

   Note: You can add a maximum of twenty columns and define the type of data input that you want from the respondents.

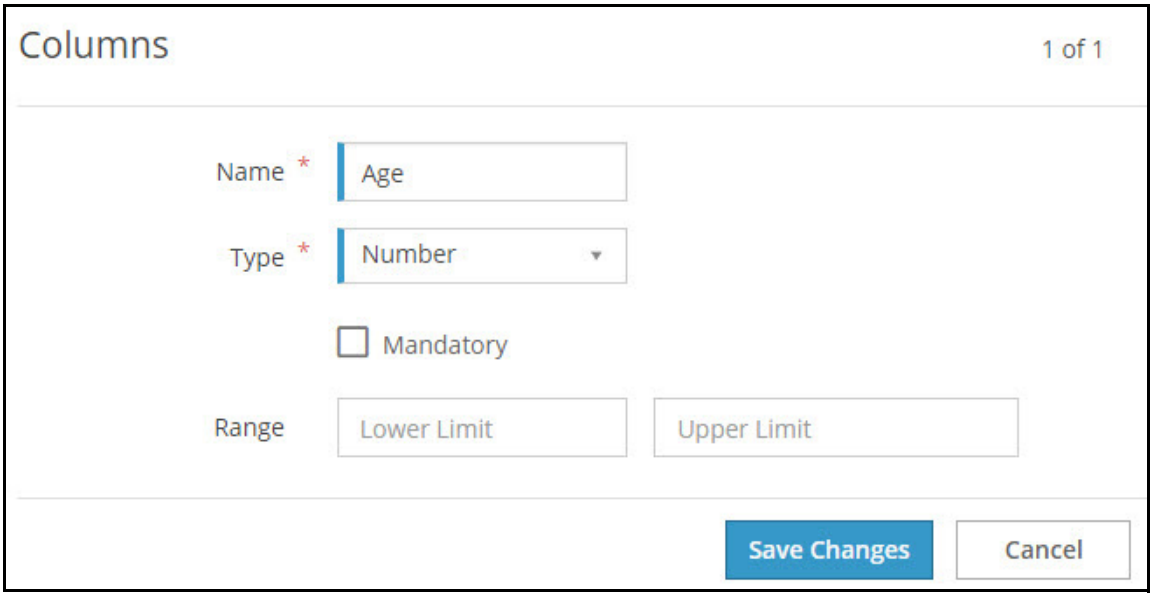

Figure 17 Adding Columns

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Field	Description
Name	Name of the column
Type	Type of column that you want to define. The available options are: • **Data Lookup**: Allows you to fetch the current column values based on infolet query. • **Date**: If selected, the response for the current column is date. • **Dropdown**: The response for the current column is one of the option from the list of values. You must define the list of options in the List of Values field. • **Number**: The response for the current column is number. • **Text**: The response for the current column is description.
Mandatory	To indicate the current column is mandatory data column or not. **Note:** If selected, the respondent cannot submit the form without providing the data for the current column.
Infolet *(appears only if you select the value* **Data Lookup** *in the* **Type** *field)*	Name of the infolet based on which you want to fetch the data for the column.
Update Infolet Parameter(s) *(appears only if you select an infolet which consists of parameters)*	Parameters based on which the data is be filtered and displayed for the current column. This field displays all the parameter values that are associated with the selected infolet. To select the parameter values: **1.** Click the hyperlinked parameter name. **Note:** If the selected infolet is associated with more than one parameter, all the values are displayed as semi colon values. **2.** Select the required parameter from the respective parameter columns. **Note:** The columns displays all the filters defined for the selected parameter as well as the columns that you define in this form. **3.** Click **Submit** to add the selected parameter filters. After you click **Submit**, each parameter column displays the parameter values selected, as illustrated. • Click **Cancel** to close the **Edit Infolet Parameters** window or you can click the **Close** icon. • Depending on the values that you select in the infolet parameters, the values in the response table are populated in the **Response** form.
Infolet Options - **Display Value** *(appears only if you select the value infolet name in the Infolet field)*	Column name to be displayed in the **Response** form for tabular response types. The system displays all the columns that are defined for selected infolet.
Stored Value *(appears only if you select the value infolet name in the Infolet field)*	Column name in which the data must be stored in the database for the current column. The system displays all the columns that are defined for the selected infolet. The selected value is stored in the database column and administrator can use this data to validate the entry.

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Field	Description
Allow entry of values not in the list	Indicates whether the respondent can enter the text in the current columns in the **Response** form or not. Allows the respondents to select the text entries from the LOV window as well as enter the required text for the current column.
Allow Past Date *(appears only if you select the option* **Date** *in the* **Type** *field)*	Indicates whether the respondent can enter a date in the past as the response for the column in the **Response** form or not. Allows the respondent to enter the past date as the response for the current column.
List of Values (separate the values with |) *(appears only if you select the option* **Dropdown** *in the* **Type** *field)*	Enter the values that you want to appear in the drop-down list or list of values for the current column. Use | to separate the list values. Example: Yes|No, these are populated as a drop-down list or list of values for the respondent for selection.
Range - Lower Limit *(appears only if you select the option* **Number** *in the* **Type** *field)*	Type the number which you want to set as a lower limit. The respondent cannot enter any number which is less than the number entered. **Note:** Lower limit value must be lesser than the upper limit value.
Upper Limit *(appears only if you select the value* **Number** *in the* **Type** *field)*	Type the number which you want to set as a higher limit. The respondent cannot enter any number which is greater than the number entered. **Note:** Upper limit value must be greater than the lower limit field value.

4. Click **Submit** to submit the current form. For more information on the Header toolbar options, see Header Toolbar.

Editing Templates

The **Tabular Response Templates** report allows you to search for the existing tabular response templates.

To view **Tabular Response Template** Report, enter the search criteria in the parameter/filter field. However, You cannot edit all the available versions of tabular response templates. You can edit only the latest version of the template.

For example, if a tabular response template has 3 versions; 1, 2 and 3, you can edit only the third version of the tabular response template.

1. Click the tabular response template name corresponding to the **Tabular Response Template** column.

   The **Tabular Response Template** form appears in view-only mode.

2. Click the **Edit** icon to edit the Tabular Response Template details.

   Edit icon on the tool bar is available only if the logged in user has the edit access.
   All the fields are populated from the **Tabular Response Template** form. You can edit the details of all fields. For more information on fields, see Accessing Tabular Response Template Form.

3. Click **Submit** to submit the modified form.

   For more information on the form toolbar icons, see Elements of a Sample Form.

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Uploading Questionnaires

The **Questionnaire Upload** form allows you to upload the Questionnaire details.

Alternatively, using the **Data Upload** form, a user can upload the questionnaire details. After the successful upload of the records an assignment is generated to same user. You need to access the assignment and submit the **Questionnaire** form to create the Questionnaire in **Surveys**.

1. From **Setup Questionnaire**, click **Forms** and click **Data Upload**.
2. Click the **Import Data** link. The **Import Data** window appears.
3. In **General** section, provide the basic details and upload the file.

Figure 18 Import Data Window

Field	Description
Entity	Displays **Questionnaire** in this field.
Profile	Select the **CREATE_QUESTIONNAIRE** profile.
Locale	This value is defaulted to **English United States.**
File to Import	Upload the updated template file, click the **Browse** button, and select the file from your local drive. The file is attached, and the name of the file that you attached appears. Click **Close** icon, to remove an attached file.

The uploaded questionnaire has various sections and fields. The following table describes the sections and the fields in the upload questionnaire template.

Field	Description
General This section displays fields that are in the **General**, **Scoring** and **Ownership & Security** sections of **Questionnaire** form.	
Questionnaire Upload ID	Displays the unique ID to identify the Questionnaire. The default value is QNR. This is a mandatory field.
Name	Displays the unique name for the questionnaire. This is a mandatory field.
Type	Displays the type of the questionnaire. Depending on the selected value, enter scoring and certification related information in the template. This is a mandatory field.

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Field	Description
This Questionnaire Applies To	The values selected in this field will be displayed while setting up the Survey/Scorecard/Certification. To add more than one values, separate them with commas. This is a mandatory field.
Scoring	Displays the scoring related information. This field needs to be updated if the questionnaire type is Survey.
Weighted Scoring	Enter value in this field when scoring is enabled. This field should not be blank.
Scoring Rule	Defines the scoring rule. If **Weighted Scoring** is enabled, the user can select the values Sum, Min, Max from the drop down. If **Weighted Scoring** is disabled, the user can select any of the available values from the drop down.
Overall Grade Based On	Defines the Overall Grade. If it is Absolute Score based, then the grade calculation will be as is. If it is Percentage based, then the grade calculation will be based on percentage obtained where percentage is calculated as follows: (Score Obtained)*(100) / (Maximum Possible Score Considering the Max Scores Possible for all Questions Considered for Scoring)
Category	Displays the category of the questionnaire.
Reporting Period Type	This value is entered based on the values defined in the 'Reporting Period Type' data table. This column need not be populated when the Reporting Period Type data table is not defined. For details on data tables, refer to MetricStream Arno Release Spring ‘21 - Surveys - Administrator Guide.
Instructions / Guidelines	Enter the Instructions/Guidelines for the survey. By default, the Instructions/Guidelines are displayed in the **Setup Survey** form.
Certification Text	Enter the certification text and the certification text is displayed in the **Certification** section of the **Response** form. This field is displayed only when the Type is selected as Certification.
Hide Respondent Submission Comments	When this field is selected, the overall submission comments are not visible to the respondent.
Hide All Question-level Comments	When this field is selected, all the question level comments are not displayed in the **Response** form.
Hide Change History Report	When this field is selected, the **Change History** report is not visible to the respondents. It is not applicable for approvers.
Hide Comments History Report	When this field is selected, the **Comments History** report is not visible to the respondents. It is not applicable for approvers.
Owner Organizations	Displays the organization details. If the **Restrict Access To** field is set to Owner Organization, then only users with the relevant activity in this organization can view the questionnaire. This is a mandatory field.
Owners	Displays users with **QSM Manage Questionnaire** activity who belong to the selected Owner Organization.
Level 1 Approver	Displays users with **QSM Approve Questionnaire** activity who belong to the selected Owner Organization.
Level 2 Approver	Displays users with **QSM Approve Questionnaire** activity who belong to the selected Owner Organization.

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Field	Description
Restrict Access To	Defines the security for the questionnaire. By default this is set to No Restriction. User having **View Questionnaire** or **Manage Questionnaire** activity can view or edit the questionnaire respectively.
Valid From	Displays the system date.
Valid Until	Displays a date greater than the system date.
Comments	Displays the comments entered by the user.
Related To This section displays the fields related to Object Relationship Builder (ORB).	
Questionnaire Upload ID	Displays the unique ID to identify the Questionnaire. The default value is QNR. This is a mandatory field.
Object Type	Establishes a relationship between the questionnaire and the business entity.
Object ID	Displays the Object ID for the selected Object Type.
Comments	Displays the comments entered by the user.
Grade Rules This section displays fields for adding grade rules to the questionnaire.	
Questionnaire Upload ID	Displays the Questionnaire ID for which the sections need to be associated. This is a mandatory field.
Rule	Populates the values for Value 1 and Value 2 depending on the option selected from this drop down. For example, when the Scoring Rule selected is Range then, both Value 1 and Value 2 must be entered. For all other cases, enter only Value 1.
Grade	Based on the rule, select a grade for all the questions in a questionnaire. Based on the rules specified in this field and the Actual Value, the **Score** field in the **Response** form displays the score.
Value 1	Enter a value irrespective of the condition selected as part of the **Scoring Rule** field.
Value 2	Enter this value when the **Scoring Rule** selected is Range.
Section This section displays fields for adding section and the related information.	
Questionnaire Upload ID	Displays the Questionnaire ID for which the sections need to be associated. This is a mandatory field.
Section Upload ID	Displays the ID as a positive whole number for identifying the section.
Name	Displays the section name. This is a mandatory field.
Optional Section	This field is applicable only if Type is Survey/Scorecard. All sections are mandatory if not specified.
Section Weighting	Enter value in this field If Questionnaire Type is Survey/Scorecard and weighting is enabled.

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Field	Description
Question This section displays fields for adding questions and related details like response type, instructions/ guidelines, scoring and so on.	
Questionnaire Upload ID	Displays the Questionnaire ID for which the questions are to be associated. This is a mandatory field.
Question Upload ID	Displays the unique Question ID. Questions will be sorted based on the values in this column. This is a mandatory field.
Parent Section ID	Displays the ID that establishes a relationship between the question and the section. For example, for QST1, the parent section can be SEC1.
Question Text	Displays the question text. This is a mandatory field.
Optional Question	If Optional Section is selected as Yes then this field is not required to select. Select Yes in this field to make a question optional in a section. **Note:** All questions are mandatory by default. Optional Question does not apply if Type is Certification.
Question ID (unique ID for each question)	Displays the unique ID for each question in the Questionnaire.
Instruction(s)/Guideline(s)	Displays the question specific instructions or guidelines.
Hide Comments	Select this option to hide the comments for the question in the **Response** form.
Response Type	Displays the response type for the question. This is a mandatory field.
Supporting Documents	Allows user to attach supporting documents for the response.
Tabular Response Template	Displays the name of the Tabular Response template.
List of Values	Enter when the Response Type selected are List of values, Dropdown, Checkbox or Radio button. The values must be separated with a | (pipe) symbol.
Pattern Type	Displays the pattern list like email or custom pattern.
Pattern	Displays the pattern.
Maximum Length	Specifies the maximum permissible length.
Infolet	Allows user to select an infolet. This field is mandatory for Data Lookup response type.
Display Value	Indicates the display value for the selected infolet.
Stored Value	Displays the stored value of the selected infolet.
Allow entry of values not in the list	Indicates whether manual data entry is allowed or not.
Add Rules for Conditional questions	Displays the dependent question only when the rules added here are satisfied. For example, QST1 = Yes && QST2 = No (AND condition), QST1 = Yes || QST2 = No (OR condition), QST = Yes (Equals condition), \\!QST1 = High (NOT condition)

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Field	Description
Weighting	Displays the weight associated with the question. The weighted score for the question is calculated using the value specified in this field.
Target Score	Enter the target score if Questionnaire type is selected as Survey/ Scorecard.
Default Score	Displays the default score. It is used when no value is added as Actual Score in response to a question.
Allow 'Not Applicable' as Response	Select this field to add Not Applicable as a response option.
Exclude Question from Score Calculation if Response is 'Not Applicable'	Selecting this option excludes the question from scoring when the respondent selects the response as Not Applicable.
Comments Mandatory for Responses	Displays the list of values for which comments are mandatory. Multiple list of values must be separated by |(pipe) symbol.
Response that require Approval	Displays the responses that are flagged for approval.
Responses that require Actions	Displays the responses that are flagged for actions.
Action Plan	Enter the Action plan in this field if values are entered in **Responses that require Actions** field. The values should be comma separated and there should not be any spaces between commas and the values.
Area(s) of Compliance	Allows user to associate a requirement with an Areas of Compliance. This field is displayed only when one or more Areas of Compliance are selected.
Requirement(s)	Allows user to associate Requirements with the question.
Objective(s)	Allows user to associate Objective with the question.
Risk(s)	Allows user to associate Risks with the question.
Control(s)	Allows user to associate Controls with the question.
Question Scoring This section displays fields for adding scoring logic at question level.	
Questionnaire Upload ID	Displays the questionnaire ID for which the scores need to be associated. This is a mandatory field.
Question Upload ID	Displays the question ID for which the score is calculated.
Scoring Rule	Populates the values for Value 1 and Value 2 depending on the option selected from this drop down. For example, when the **Scoring Rule** selected is Range then, both Value 1 and Value 2 should be provided. For all other cases, enter only Value 1.
Value 1	Displays the values for Number/Amount response types.
Value 2	Enter value when **Scoring Rule** is selected as Range for Amount and Number response types.
Value **(**If response type is **LOV, Dropdown, Checkbox, Radio Button or Yes/No)**	Enter a value based on the values selected from a List of Value, Dropdown, Checkbox, Radio Button or Yes/No field.

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Field	Description
Grade	Based on the rule, select a grade for all the questions in a questionnaire grade.
Score	Displays the score that can be selected for each rule.

Worksheets

The table lists information on the worksheets of the Questionnaire upload template and important notes that you must follow for certain columns.

Worksheet Name	Important Column Notes
General	**Questionnaire Upload ID**: Type QNR in this column.
Related To	**Object Type**: Select the object type from the drop-down list.
Grade Rules	**Rule**: If you select Range, you must provide values in the Value 1 and Value 2 columns. For other rules you need to enter only Value 1 column input.
Section	• **Section Upload ID**: Provide unique Section ID number in this column. This is used as a reference number while creating the record ID of the uploaded section. • **Section Weighting**: Enter a whole number greater than or equal to zero.
Question	**Question Upload ID**: Provide unique Question ID number. This is used as a reference number while creating the record ID of the uploaded question. • **Parent Section ID**: Displays which section the question belongs to. • **Add Rules for Conditional Questions**: If defined, the question is a conditional question and enter the same Question Upload ID name as entered in the Question Upload ID column.
Question Scoring	**Scoring Rule**: Define the score for the question to select the scoring rule.

Click **Submit** to submit the form.

For more information on other columns and descriptions, see Setting Up Questionnaires.

Verifying Uploaded Questionnaire Details

After uploading the details of the questionnaire, verify the errors encountered while uploading the questionnaire through **Import Status** report. After verifying and rectifying the errors, you can upload the details again. For all the successful uploads, an assignment is created and you can access this assignment from the **My Tasks** menu and submit the form to create the questionnaire details in **Surveys**.

To verify the error logs generated:

1. From **Issue Administration**, click **Reports** and click **Report**.
2. Click the **Import Status** link.
3. Select **Questionnaire** in the **Form Name** field.
4. Click **Apply Filters.**

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The Import Status report displays the uploaded Questionnaire details.

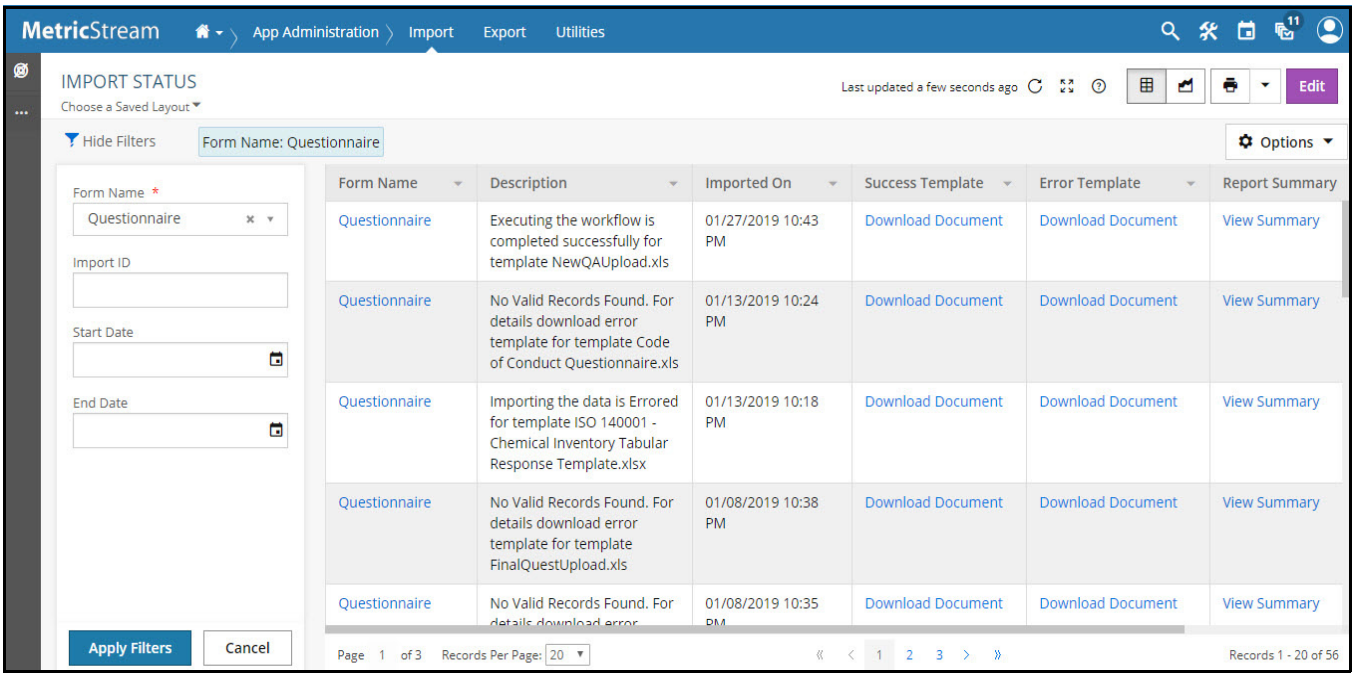

Figure 19 Questionnaire Upload Status Report

5. From **Error Template** column, click the **Download Document** link.

   Open the document to view the error messages.

6. Last column of each Worksheet displays the error details.
7. Rectify the errors and upload the Questionnaire details.
8. Verify the status of the upload through Import Status report.
9. After the successful upload, navigate to **My Tasks** and click the **Submit Questionnaire** link.

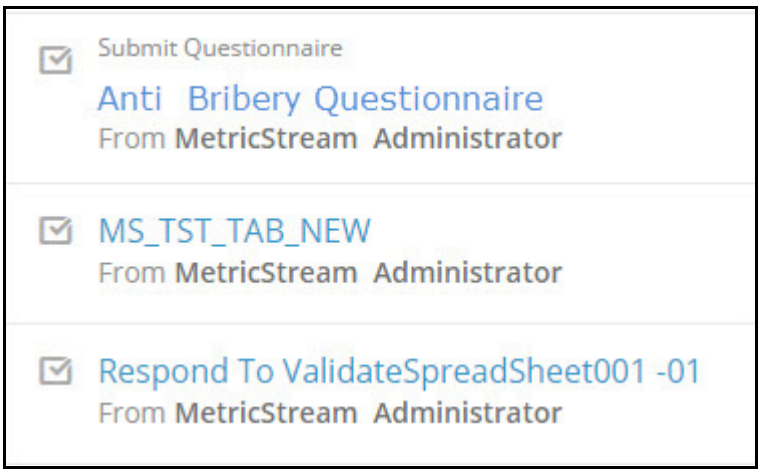

Figure 20 Accessing Questionnaire Upload Assignment

The **Questionnaire** form appears with uploaded details. All the details that you uploaded using the Excel template are mapped automatically to respective fields in this form.

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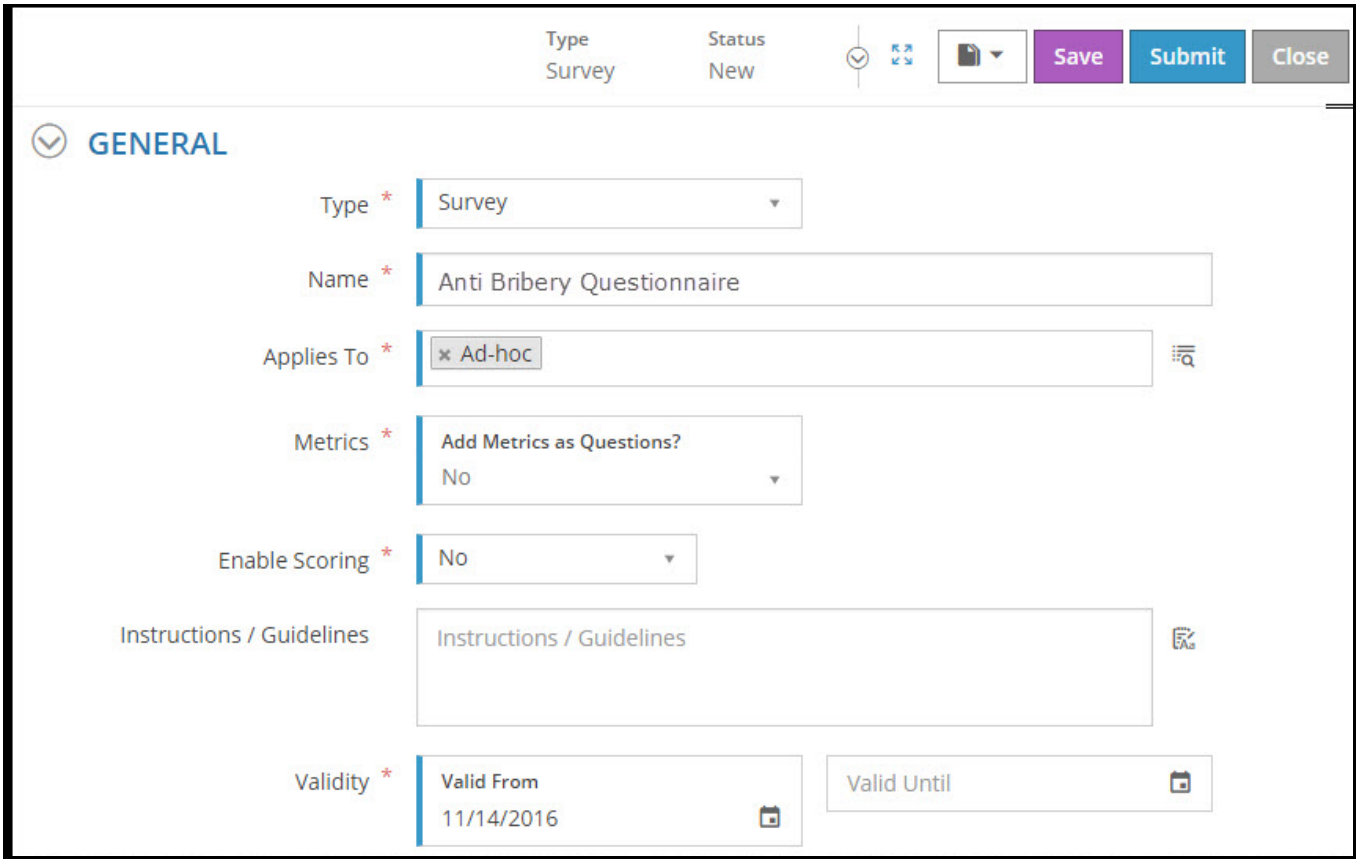

Figure 21 Verifying Questionnaire Form

10. Verify the details and make the required changes.

For more information on the details on the Questionnaire form, see Setting Up Questionnaires.

11. Click **Submit** to create the questionnaire details.

For more information on the form tool bar icons, see Elements of a Sample Form.

After successful submit, questionnaire details are created and you can use the **Questionnaires** report to view and edit the details.

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Copying Questionnaire Form

You can copy published Questionnaire to create a new one. This makes it easier and quicker to create a new questionnaire as you do not have to enter already specified information.

To copy a **Questionnaire** form:

1. Navigate to the **Questionnaires** report. (**Setup Questionnaire** infoport report)
2. Click the name of the questionnaire under the **Questionnaire** column.

   The **Questionnaire** form displays.

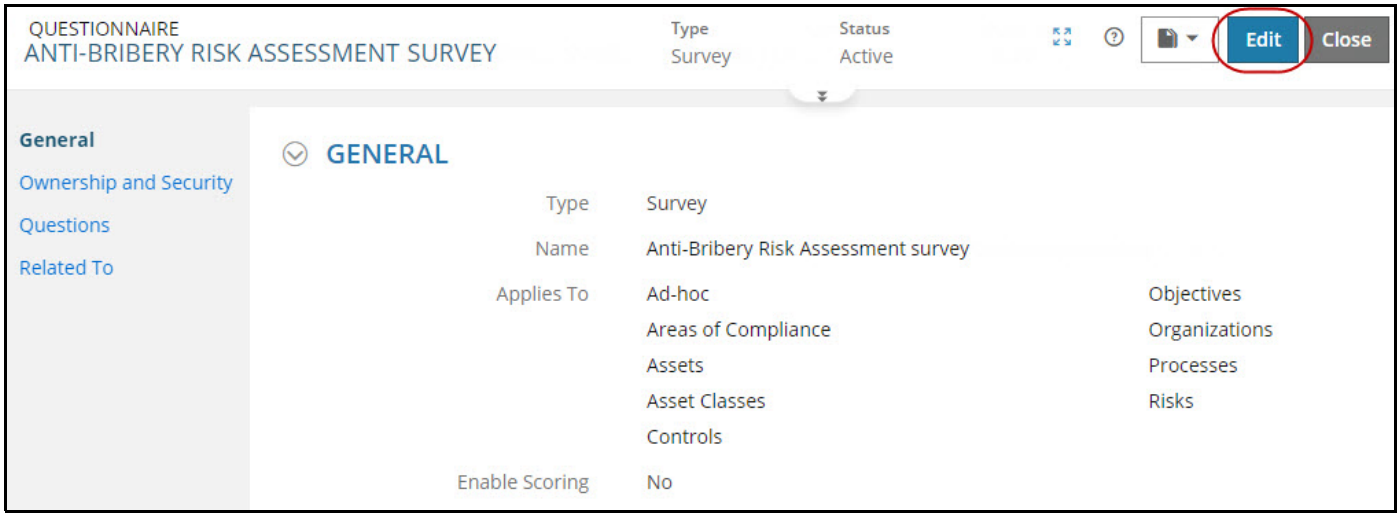

Figure 22 Questionnaire Form

3. Click **Edit**.

   The form opens in editable mode. The **Copy** button is also enabled.

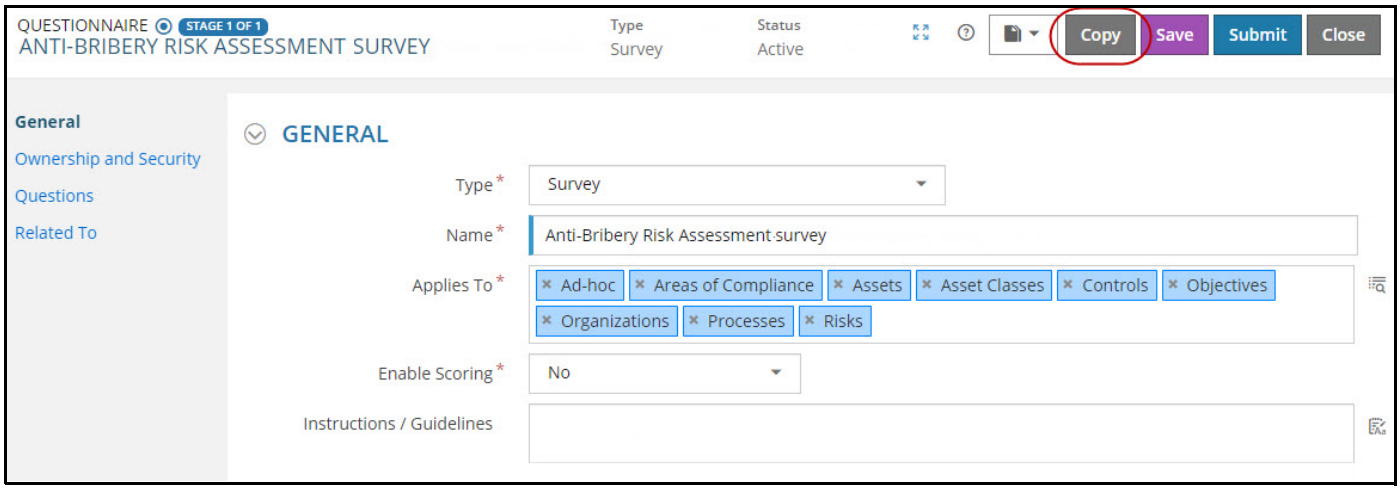

Figure 23 Copy Questionnaire form

4. Click **Copy** to copy the form to a new form.

   The existing form will be duplicated or copied to a new one with prefix Copy in the title and this form can be edited.

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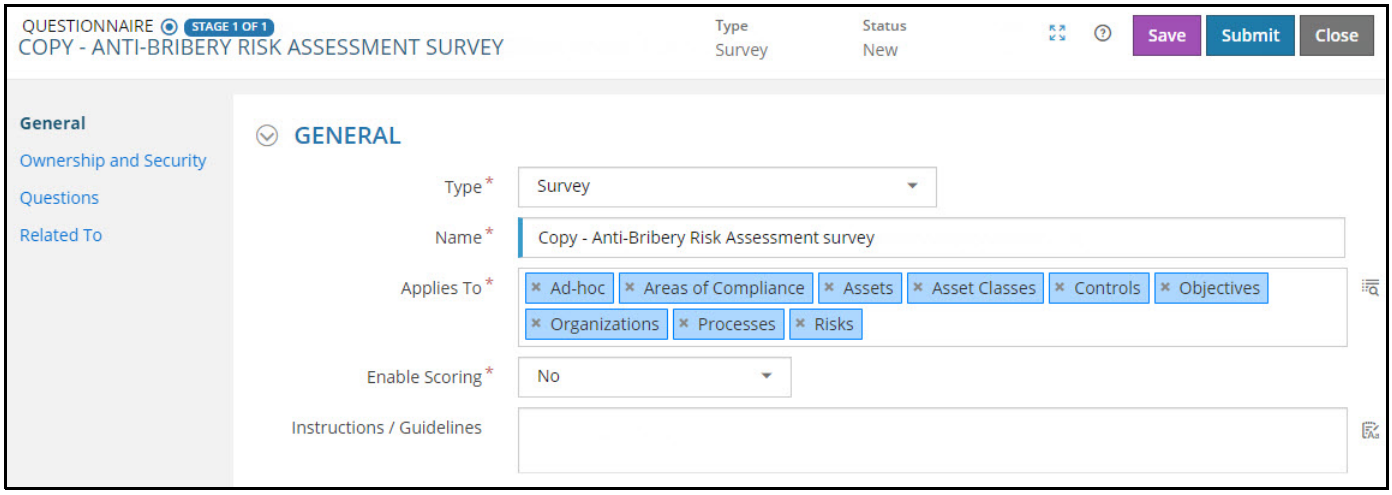

Figure 24 Copied Questionnaire form

Note: The Copy functionality is available only for the published questionnaires.

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Survey Plan Setup

You can create surveys, scorecard, and certification plans, respond to surveys, scorecards, and certifications and approve responses using various forms in **Surveys**.

Sections:

- Surveys, Scorecards, and Certifications Approval Workflow
- Creating Survey/Certification/Scorecard Plans
- Reviewing Surveys/Scorecards/Certifications Form
- Approving Surveys/Scorecards/Certifications
- Refreshing Surveys
- Copying Survey Plan
- Canceling Surveys
- Bulk Reassignment

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Surveys, Scorecards, and Certifications Approval Workflow

The figure illustrates **Surveys** survey, scorecard, and certification approval workflow.

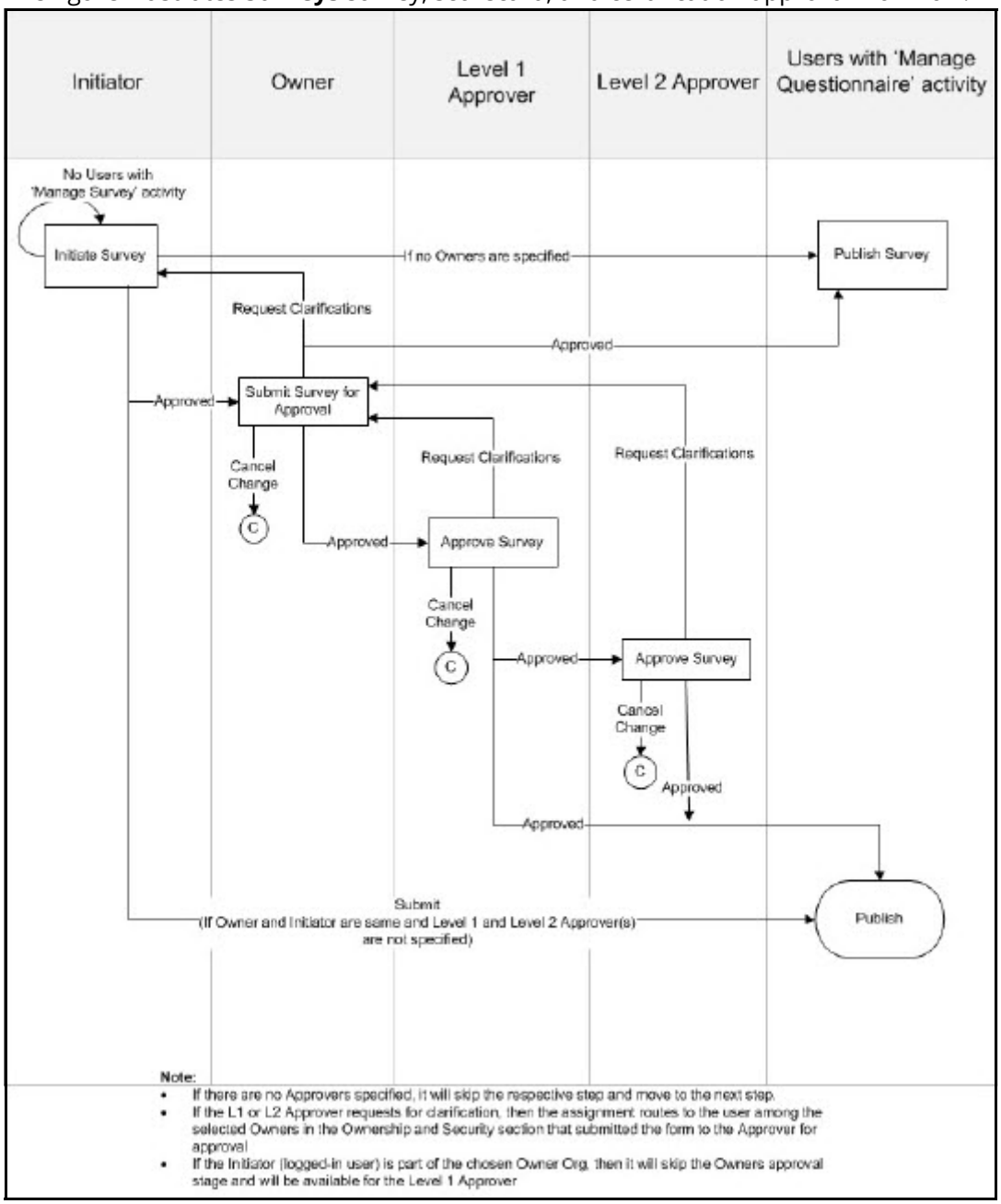

Figure 21 Survey / Scorecard / Certification Approval Workflow

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Creating Survey/Certification/Scorecard Plans

To create the survey/certification/scorecard plan, the initiator must use a predefined questionnaire and schedule the surveys/certification/scorecards to receive the responses from the respondents. The **Survey/Scorecard/Certification** form allows the initiator to setup any number of survey/scorecard/certification assignments to the respondents to be completed within a specific period. You can set the frequency of survey/scorecard/certification. Based on the schedule defined, **Surveys** automatically triggers the survey/scorecard/certification assignments. You can also define the response approval workflow in this form.

The **Survey/Scorecard/Certification** form at this stage comprises the following sections:

Header	Displays the buttons to take an action on the form.
General	Helps you capture the basic details of the survey/scorecard/certification.
Filters	Helps you filter the list of respondents available for section.
Respondents & Approvers	Helps you to select the survey respondents and the first level approvers
Scheduling	Helps you to schedule survey/scorecard/certification frequency.
Findings Options	Helps you to add issues based on the selection made
Reminders	Helps you to view scores of a survey based on the selection
Advanced	Helps you to define the reminder e-mail notification frequency

1. Open **Survey/Scorecard/Certification** form.
2. In the **General** section, provide the basic details of the survey/scorecard/certification.

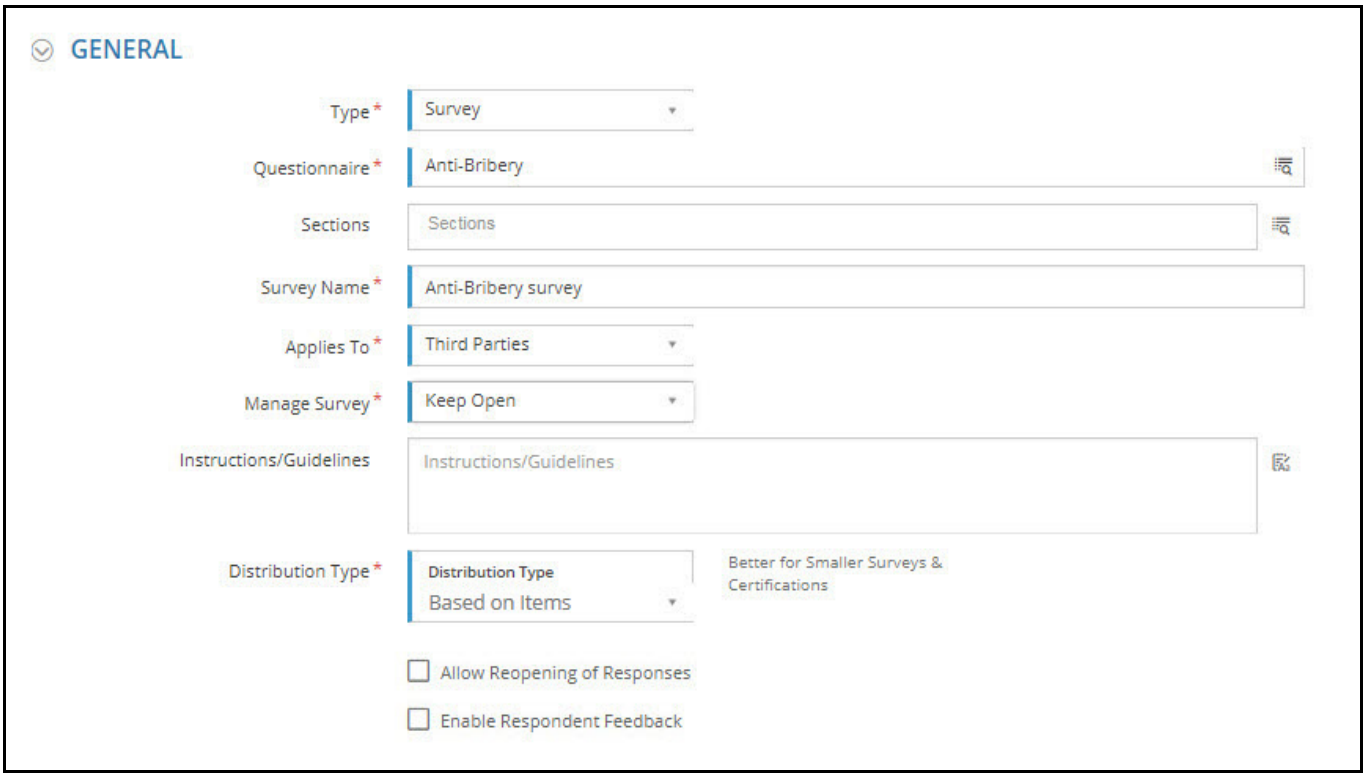

Figure 22 General section of Survey/Scorecard/Certification Form

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Field	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	Questionnaire for which you want to set up the survey /scorecard / certification plan. The available options are: • **Survey**: Allows you to set the schedule for surveys. • **Scorecard**: Allows you to set the schedule for scorecards. • **Certification**: Allows you to set the schedule for certifications.
Questionnaire	Questionnaire to be sent out to the respondents. The questionnaires are filtered on the **Type** selected. **Note:** The header is updated with the selected **Type** details. For example, if the Type = Survey Questionnaire = Quality Assurance Survey Questionnaire the header displays the "Quality Assurance Survey Questionnaire" as the title of the plan.
Sections	All sections defined in the questionnaire are displayed. Select the sections that you want to include in the survey form. Only the questions under the selected sections will be made available to the respondents. If you do not select any section, all the questions available in the questionnaire are sent to the respondent.
Survey Name	Unique name of the survey/certification/scorecard plan. **Notes:** - The name is automatically populated based on the questionnaire that is selected. You can edit the name based on your requirement. - Enter the name and navigate to any other field, the name appears in the form title. - The name and number are unique for every survey/certification/ scorecard. For example, Quality Survey Questionnaire (SURVEY-1007). Here, 'Quality Survey Questionnaire' is the survey name and (SURVEY-1007) is the survey/scorecard/certification number.
Applies To	The values are populated based on values selected in **Applies To** field of the **Questionnaire** form. The Survey will be applicable to the value (object) that you select from this list. If you have selected only one value during the questionnaire creation, the value is defaulted and this field becomes editable. When the survey respondents are selected based on item, it allows you to select multiple items. When Survey Initiator selects **Distribution Type** as **Based on Items**, in the **Respondent and Approvers** section, you can select multiple items. For example, if survey Applies to Controls, then in the **Respondent and Approvers** section, you can select multiple controls in one row. If the Applies to object type has more than one field (2 or 3 fields), then all those fields will be single select, that is, you can select one item at a time. For example, if Third Party has Third Party, Relationship, Facility as fields in the **Respondents and Approvers** section, then all three will be single select.

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Field	Description
Manage Surveys	Select one of the following type of plan: • **Keep Open**: Allows you to manage the plan, such as project and reopen and edit the plan details. However, not all the fields are editable. Example: o Manage Survey = Keep Open o Frequency = Daily o Start Date = March 15, 2018 o End By = March 22, 2018 The initiator can edit the plan details until March 22, 2018. If the assignments are already triggered to the respondents and you edit the plan details, the latest changes are reflected only in the next response assignments. **Notes:** - The response assignments are triggered based on the frequency selected. You can submit the plan without selecting the frequency and keep the plan ready and can trigger the response assignments by specifying the details whenever required. - For **Specific Date** and **Run Now** frequencies, edit the plan details till the specified date in the **Close Date** field. - For other frequencies, edit the plan details till the specified date in **End By** field. - When the **Frequency** is set to Daily, Weekly, Monthly, Quarterly, Semi-Annually, Annually, the plan initiator can edit the plan details only for currently open plans until the date specified in the **End By** field. - You cannot keep the plan open for **Live** frequency plans. • **Finalize**: If you want to assign the response assignments immediately and finalize the survey /certification / scorecard plan. **Notes:** - You must select a **Frequency** when you select **Finalize** option. - You cannot edit the plan details after you submit the form. The finalized plans are available in the **Planned Surveys** infoport report. You can only view the details. For more information on planned survey report, see Planned Surveys.
Instructions/Guidelines	Instructions for responding to the survey/scorecard/certification. Helps respondents to answer the survey effectively.
Allow Reopening of Responses *(This option is not available for Live surveys)*	Reopen a closed survey. Authorized users with *Reopen Response* activity can reopen closed responses. Fresh assignments are sent to all the respondents selected in the survey plan. For more information about reopening a survey, see Responses report. **Note:** Number of days to reopen a response can be configured.
Enable Respondent Feedback	The respondent can provide feedback/rating on the survey.

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Field	Description
Distribution Type	You can select respondents based on the Distribution Types. • **Filtered List**: Allows you to select a certain level of organization to respond to a survey/certification/scorecard. You can also filter by Item. For example, in the organization all the teams which are level 4 must be certified for SOX compliance, you can select this option and send the certification assignments to organization which are at level 4 and get the responses. • **Based on Items**: Allows you to send the questions related to an item to a group of people in the organization and get the responses. For example, in an organization, if you want to conduct a survey for Financial risk assessment for Finance department, you can select the related risk and send it to group of people to get the responses.
Enable Respondent Feedback	Rate the acknowledgment page on response submission.

3. The **Filters** section, define the filters by which you want to filter the list of respondents available for selection

   This section appears only when you select the **Filtered List** in the **Distribution Type** field under the **General** section

Figure 23 Filters section of Survey/Scorecard/Certification Form

Field	Description
Filter By	Filter the respondents based on Organization and Third Parties. • **Organization**: Allows you to send the Survey/Scorecard/ Certification questionnaire to specific organizations. You need to specify the organization details in the **Send Only for Owner Organizations** field. • **Item**: Allows you to select multiple third parties, facilities or audits. Select the items in the "Item Name" field. **Note:** This option appears only if you select the value Third Party, Facility or Audits in the **Applies To** field.
Item Name	Select the items applicable for the Survey/Scorecard/Certification. **Note:** The field name varies based on the value selected in the **Applies To** field. For example, if you select the value **Third Party**, the Third Party name, facility, product for instance appears.

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Field	Description
Send Only for Owner Organizations	Select the owner organizations to which you want to send the questionnaire. You can specifically mention the users from owner organization from whom you want to get the survey/scorecard/ certification responses.

To add an Owner Organization for a distributed list, follow these steps:

a. Click **Add** icon associated with the field.
The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed.

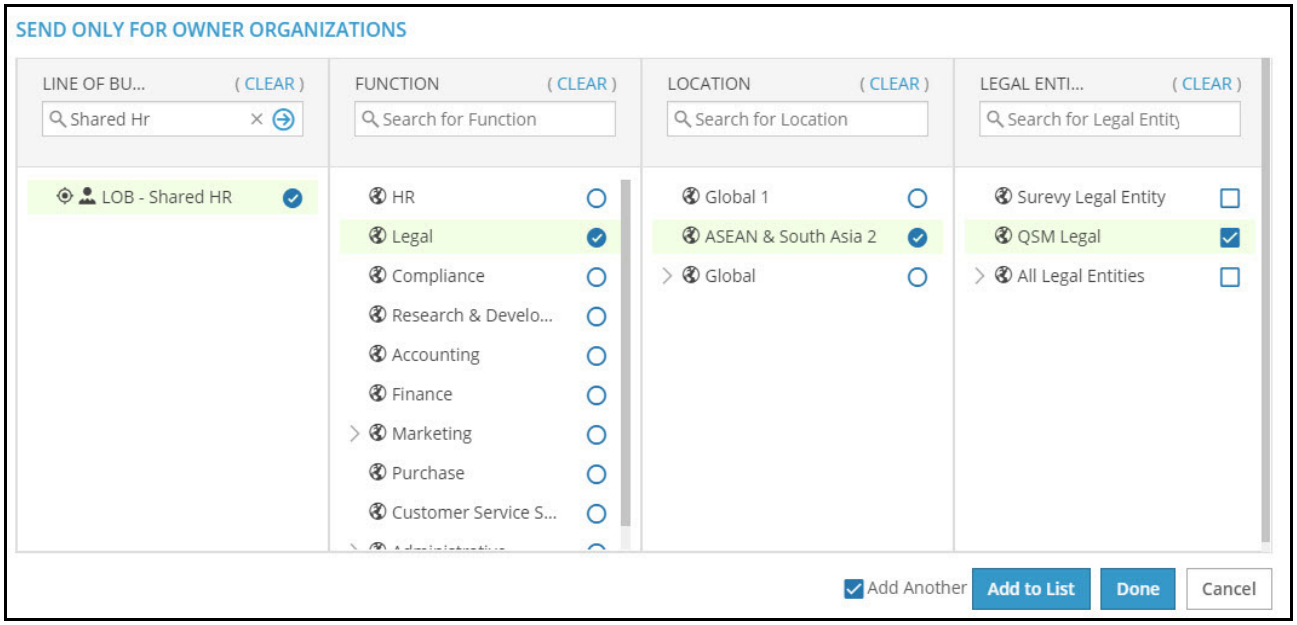

Figure 24 Sample Organization Window - With Four Dimensions Configured

b. Select the required organization structure, and click **Add**.

Notes:

- You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.**
- Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually.
- Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select.

c. If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window.
The selected Organization Structure is displayed in the **Owner Organizations** field.

Notes:

- Click Edit icon to update the added organization structure.
- Click Delete icon to remove the added organization structure.
- For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.

4. In **Respondents & Approver** section, you can select the survey respondents and the first level approvers.

a. The **Respondents & Approvers** section displays as following when the **Distribution Type** is **Filtered List**.

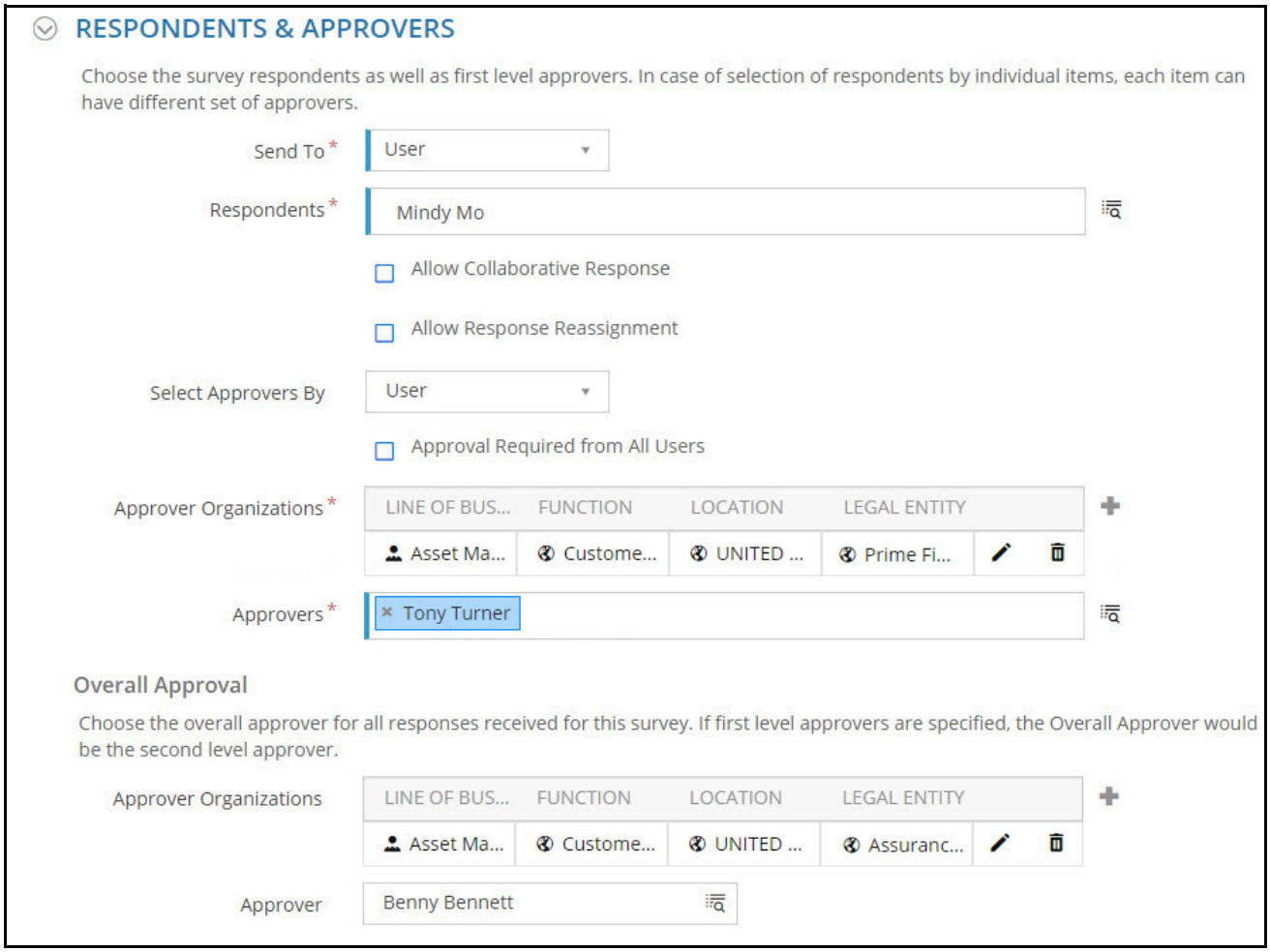

Figure 25 Respondents & Approvers section for Filtered List

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b. The **Respondents & Approvers** section displays as following when the **Distribution Type** is **Based on Item**:

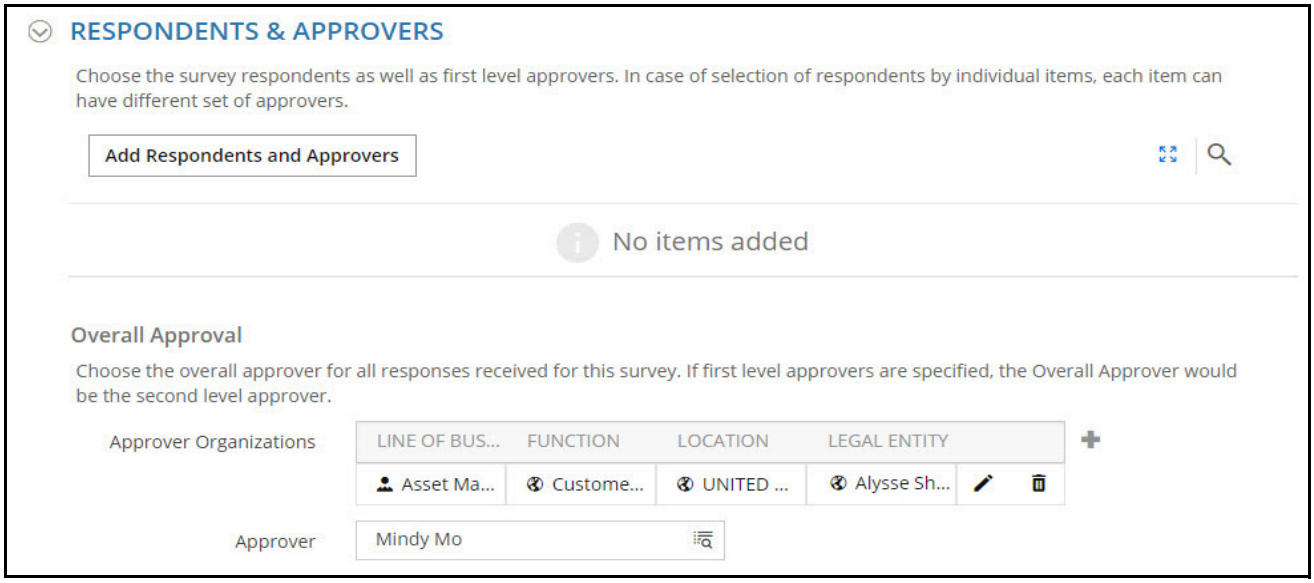

Figure 26 Respondents & Approvers section for Based on Items

c. Click the **Add Respondents and Approvers** to access the **Respondents and Approvers** window:

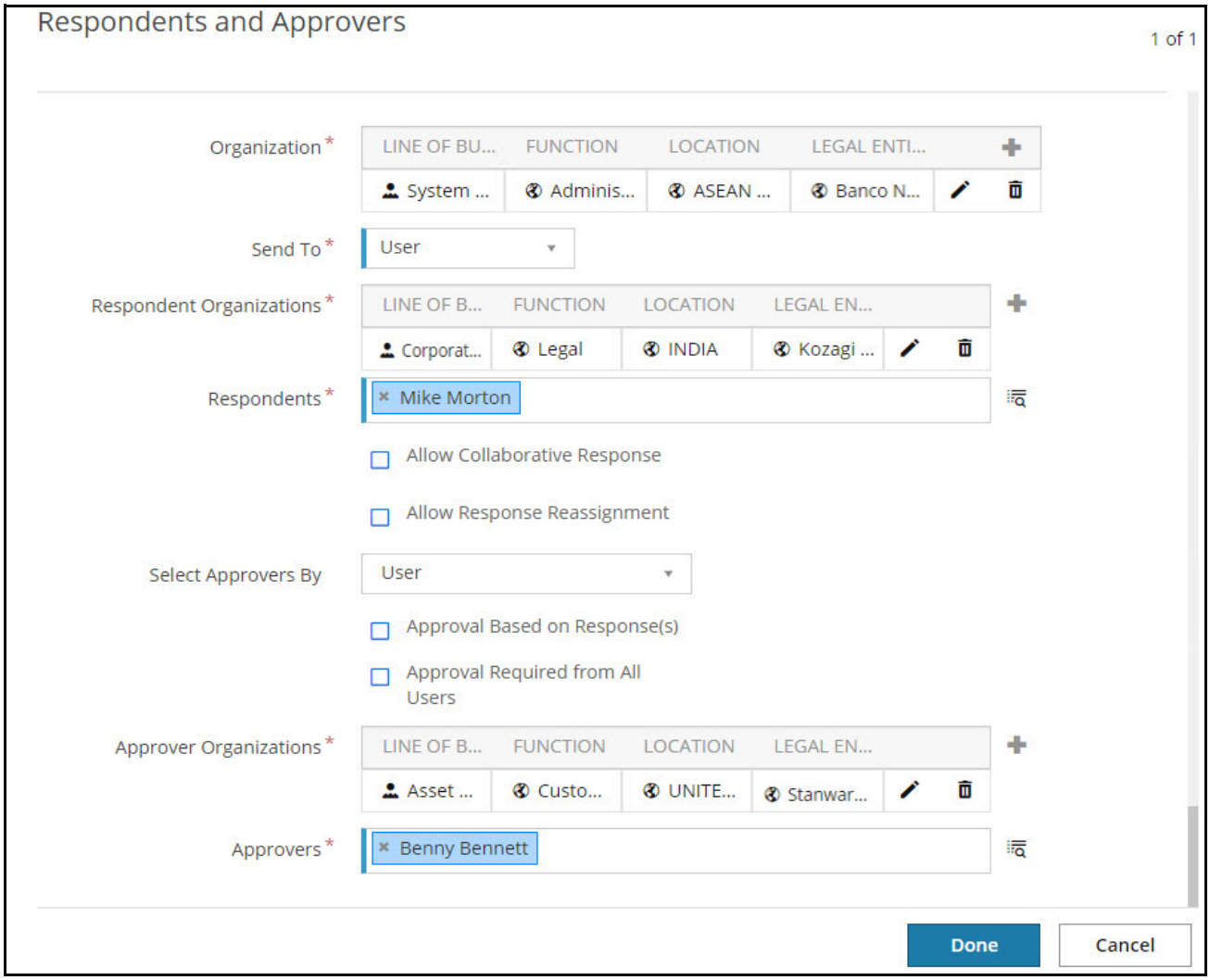

Figure 27 Respondents and Approvers window

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Once you enter all the information in the **Respondents and Approvers** window, click **Done**. The entered information displays in the **Respondents & Approvers** section.

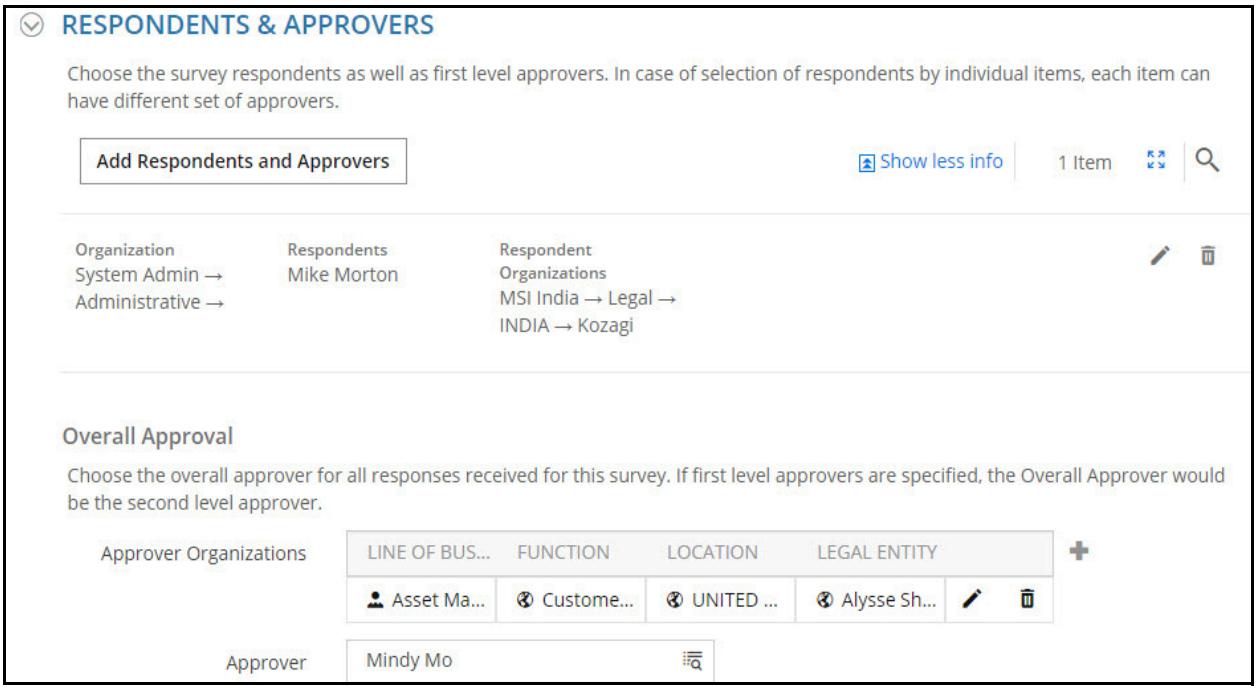

Figure 28 Respondents & Approvers section

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Field	Description
Send To	Roles or users to whom you want to send the questionnaire for survey/certification/scorecard. The values vary based on the value selected in the **Applies To** field and **General** section. By default, the two available options are: • **User**: Users in the **Owner Organizations** (OR organizations selected in **Respondent Organizations** field in case of **Based on Items**) available for selection as respondents. In case of **Filter by** Item, if you choose User here, you can see users mapped to selected Items in the **Respondents** field. **Note:** All the users of the selected organization are available for selection. • **Role**: Roles in the **Owner Organizations** (OR organizations selected in **Respondent Organizations** field in case of **Based on Items**) available for selection as respondents. In case of **Filter by** Item, if you choose Role here, you can see roles mapped to selected Items in the **Respondents** field. **Note:** All the roles of the selected organization are listed. If you select **Organizations** in the **Applies To** field and **Filtered List** in the **General** section, two additional options are listed as follows: • **All Control Owners**: Sends the survey/certification/scorecard to the set of control owners in the selected owner organization. • **All Process Owners**: Sends the survey/certification/scorecard to a set of process owners in the selected owner organization. **Notes:** - **All Control Owners** option is also available along with the **Role** and **User** if you have selected the value Control in the **Applies To** field. - **All Process Owners** option is also available along with the **Role** and **User** if you have selected the value Process in the **Applies To** field.
Add Respondents Related to Item *(appears if you select* **User** *or* **Role** *in the* **Send To** *field and available only for* **Third Party**, **Facilities** *and* **Audit** *item types,* **Based on Items**)	Allows you to filter the users in the Send to Assessor(s) based on the selected item type. If the third party is associated with the 3 contacts (users), the system displays only those three users in the **Send to Assessor(s)** field after you select this check box. If you select **Role** in the **Send To** field, the users are filtered based on the following: • Users mapped to the QSM Respond to Surveys activity • Users associated with the selected third party or audit or facility

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Field	Description
Send Options *(appears only if you select the value* **Role** *in the* **Send To** *field)*	Select one of the following option to choose the sending option type: • **One Copy**: Allows you to send a single assignment of survey/certification/scorecard and get the responses from one of the users of the selected role. **Note:** Based on the frequency set, the survey/certification/scorecard assignments are generated to all the users of the selected role. Once the first user responds to survey/scorecard/certification, the assignment of the other users is withdrawn. • **Separate Copy**: Allows you to send separate assignments of survey/certification/scorecard and get the responses from all the users of the role. **Note:** Based on the frequency set, the survey/certification/scorecard assignments are generated to all the users of the selected roles and all the users must respond to the survey/scorecard/certification individually.
Respondent Organizations *(appears only if you select the option* **Based on Items** *in* **General** *section.This field is not available for* **Third Party**, **Facilities** *and* **Audit item** *types when you select* **Filtered List** *and* **By Item** *options)*	Organizations from where you can select the Respondents.
Respondents *(appears if you select the options* **Organization** *in the* **Applies To** *field and Select One or More Based on Items in* **General** *section)*	Respondents to send the current survey/scorecard/certification. **Notes:** - The selected users receive an assignment to respond to the survey/certification/scorecard. - The users are filtered based on the assessor organization selected in the Assessor Organization(s) field. - The users are filtered based on the third party, commodities or auditable entities selected in the respective fields. This is applicable only if the applies to item is third party, commodities or auditable entities and the Add Users Related to Item check box is selected.
Allow Collaborative Response	Determines whether a respondent can add other users as collaborators to the current survey/scorecard/certification or not. • An additional **Collaborate** section is displayed in the **Response** form. The respondents can add collaborators and send the current **Response** form to other users for their inputs.
Collaborators Cannot Submit Response	When selected, collaborators will not be able to submit their responses. When a collaborator opens the response assignment for a survey where collaborator cannot submit the response, form **Submit** option is not available. Only **Collaborate** option is available as form submission option. However collaborators can update the responses and continue to collaborate with the primary respondents. But they cannot complete the response task assignment and move that further in the workflow and submit the form like primary respondents.

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Field	Description
Collaborate Only With Respondents Related to Item *(appears only if you select the option* **Based on Items** *in* **General** *section. This field is available for Third Party, Facilities and Audit item types and the* **Allow Collaborative Response** *check box is selected*)	Only users associated with the selected item are populated in the User(s) field of the **Collaborate** section.
Allow Response Reassignment	Determines whether a respondent can reassign the assignment to another user or not. An additional **Reassign** section is displayed in the response form. The respondent can select one user from the list to whom the assignment must be transferred.
Reassign Only With Respondents Related to Item *(appears only if you select the option* **Based on Items** *in* **General** *section. This field is available for Third Party, Facilities and Audit item types and the* **Allow Response Reassignment** *check box is selected*)	Only users associated with the selected item are populated in the User(s) field of the **Reassign** section.
Select Approvers By	To select whether you want to select approvers based on their role or select individual users as approver users. By default, the two available options are: • **User**: Makes users in the **Owner Organizations** (OR organizations selected in **Approver Organizations** field in case of **Based on Items**) available for selection as approvers. In case of **Filter by** Item, if you choose User here, you can see users mapped to selected Items in the **Approvers** field. • **Role**: Makes roles in the **Owner Organizations** (OR organizations selected in **Approver Organizations** field in case of **Based on Items**) available for selection as approvers. In case of **Filter by** Item, if you choose Role here, you can see users mapped to selected Items in the **Approvers** field.
Approval Required from All Users	Use this field to choose the response approval type. Allows you to select all the selected users to approve the response. **Note:** After the respondent submits the response for approval, assignments are generated to all the selected users (approvers). All the users must approve the survey/scorecard/certification responses individually.
Approver Organizations	Organizations responsible for approving the response details. **Note:** Based on the selected approver organizations the **Approvers** field displays the mapped roles or users.

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Field	Description
Approvers	On form submission, the assignment is generated to the approver selected (after the response sent by the respondent) based on the schedule frequency. **Note:** If you select **Role** in the **Select Approvers By** field all the roles in **Surveys** are displayed. All the users assigned to the selected role who are assigned to the QSM Approve Surveys activity in the approver organizations receives the assignments to approve the response details. If you select **User** in the **Select Approvers By** field all the users with QSM Approve Surveys activity within the approver organization are displayed for selection. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Approval Based on Responses	Triggers an approval based on the specific response that you defined in the **Questionnaire** form. The scenarios in which the assignments are generated are: • If selected, the respondent selects the response that is tagged for approval, then an assignment is generated to the response approver. • If selected, the respondent selects the response that is not tagged for approval, then an assignment is not generated to the response approver. • If cleared, irrespective of the response provided by the respondent, an assignment is triggered to the approver. If you have not tagged any response in the questionnaire that requires approval and if you select this check box, an assignment is not triggered to the approver.

a. In **Add Respondents and Approvers** section, You can add the individual items and their respective respondents and approvers.

b. The **Overall** section, allows you to add the overall response approver details for the current plan.

Field/List Name	Description
Approver Organization	The organization for the overall survey approver. All the organizations available in **Surveys** are listed.

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Field/List Name	Description
Approver	The approver for a survey. **Notes:** - Displays all the users in the overall approver organization with QSM - Approve Surveys activity rights from the owner organization specified in the **Ownership and Security** section. - If you select an approver, the survey/scorecards/certifications is sent to the approver selected after the response is approved by the item level approver. - If no item level approvers are specified, the surveys/scorecards/ certifications are sent directly to the overall approver selected. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

5. In the **Scheduling** section, you can schedule survey/scorecard/certification frequency. Based on the schedule defined, the system triggers survey/scorecard/certification assignments.

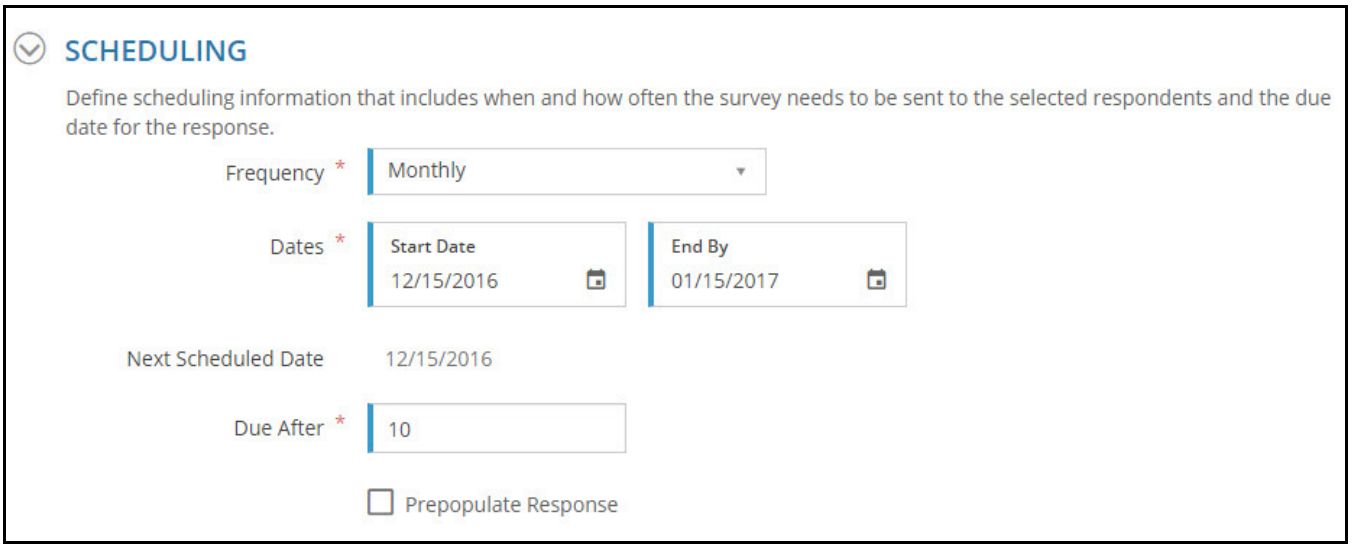

Figure 29 Scheduling section of Survey/Scorecard/Certification Form

Field/List Name	Description
Frequency	Frequency at which you want to trigger the surveys: • **Days** • **Live** • **Months** • **Quarterly** • **Run Now** • **Semi-Annually** • **Specific Date** • **Weeks** • **Years** **Notes:** - Selecting the **Live** option will create a link and will be available in the **Respond to Live Surveys** infoport of **Respond** infocenter to all the selected users. - Upon selecting a frequency of **Days, Weeks, Months,** or **Years**, you must provide recurrence count. - Run Now surveys can only be seen by the corresponding survey initiator in the relevant reports.
Recur Every (in frequency)	The number of times an assessment is triggered for the selected frequency. **Note:** This field appears only when the values selected for **Frequency** are: **Days, Weeks, Months, Years**.
Start Date	The date by which the survey/scorecard/certification task is scheduled. **Notes:** - **Surveys** triggers the survey/scorecard/certification assignments from the date that you specify. - You must enter date in MM/DD/YYYY format. - If you select the value **Run Now** in **Frequency** field, this field defaults to current system date and this field is not editable.
End By *(this field is not available for* **Run Now** *frequency)*	The end date of the survey/scorecard/certification task recurrence schedule. **Notes:** - You must enter date in MM/DD/YYYY format. - The survey/scorecard/certification task assignments are not generated after the selected date. - You can enter any future date and the end date must be greater than the start date. - After publishing the survey, you can edit this for scheduled recurrence tasks.
Next Scheduled Date	The date by when the next survey/scorecard/certification task assignments must be sent to the respondents. This value is populated based on the **Frequency**, **Start Date**, **Due After** and **End By** field values.

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Field/List Name	Description
Due After *(this field is not available for* **Live** *frequency)*	Determines the date by when the response is due. The respondent must respond to the survey/certification/scorecard by the due date. **Notes:** - Enter date in MM/DD/YYYY format. - Enter any number between 0-999. Avoid negative and decimal numbers.
Close Date *(appears only if* **Manage Survey** *field is* **Keep Open** *and* **Frequency** *is* **Specific Date** *or* **Run Now**)	The date by which you want to close the survey. **Notes:** - Enter any date greater than or equal to the current date. - This field is non editable when you edit a plan after creation. - This field is editable, if the plan is reopened and the Current Date is greater than the **Close Date** specified during the plan creation.
Reporting Period Type *(available only when the Frequency field is set to* **Run Now**)	The type of reporting period for the current survey/scorecard/certification. The value is populated based on the value selected in the **Reporting Period Type** field of **Questionnaire** form. There are different reporting periods based on different survey conducted. For example, Financial year is a reporting period, which can be configured from 01st of April to 31st of March.
Reporting Period	The reporting period for which the current survey/scorecard/certification is valid. **Notes:** - Values are populated based on the **Reporting Period Type** selected during the Questionnaire creation. - Values are populated based on the data table and this field displays different options for each reporting period type. - This field is made unavailable if the **Reporting Period Type** is not selected during the questionnaire. - This field is configurable.
Prepopulate Response	Indicate whether you want to pre-populate the previous survey/scorecard/certification responses in the **Response** form. Respondents can change the responses in both online and offline response forms, if required. Example: If the survey frequency is annual, in the **Response** form, **Surveys** populates the previous year's responses.

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Field/List Name	Description
Prepopulate *(This field is available only when you select **Prepopulate Response** check box and appears when you select* **Frequency** *field values as* **Run Now** or **Specific Date**.*)*	Indicate whether you want to prepopulate the previous survey/ scorecard/certification responses in the **Response** form. The available options are: • **Prepopulate My Prior Responses:** Populates the previously entered responses. The previous responses are populated only when the respondent has previously responded to the same questionnaire for the selected object in the **Applies To** field. • **Prepopulate Responses for the Selected Entity**: Select this option to populate the previously entered responses if anyone from the respondent organization has responded to the same questionnaire for the selected object in the **Applies To** field. **Note:** The response assignments that apply to multiple items will not have prepopulation.
The two certification related fields (in the **Certification Options** section) are available if you select the following field values: **Type** = Certification **Applies To** = Organization **Filtered List** is selected in **General** section **Frequency** = Specific Date, Weekly, Monthly, Quarterly, Semi-Annually, Annually, Daily, or Live	
This is a Sub-Certification For	Link two certifications so that one can be a sub-certification to another.
Consider Sub-Certifications From Past 'x' Months	Number of months **Surveys** must scan for the linked past sub-certifications. This field appears only for Certification type. Based on the value entered, **Surveys** displays all the selected sub-certification in the Certification Report section in the **Responds To Certification** form.

6. In the **Finding Options** section, you can add issues based on the selection made in this section. If you select Approver, the Approver can add issues or findings in the **Response** form and so on.

Figure 30 Findings Options section of Survey/Scorecard/Certification Form

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Field/List Name	Description
Findings can be Added By	The roles that can add findings while responding to the questionnaire. The available options are: • **Respondents**: Allows the respondents to add the findings. • **Approvers**: Allows the approvers to add the findings. Selecting any one of the above options, an additional **Findings and Actions** link appears to the respondents or approvers to add findings related to the current survey/certification/scorecard in the Respond To Survey/Scorecard /Certification form.
Auto-create Findings for Overdue Responses	Select to indicate whether you want to generate the auto issue assignment for the overdue response assignments or not. **Notes:** - The issue assignment is made available in the **My Tasks** menu. The respondent cannot edit the details of the issue. However, they can delegate the issue to the other users. - An e-mail notification is triggered to the respondents indicating that the Issue is assigned to them for further action.

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7. In the **Scoring Options** section, you can view scores of a survey based on the selection made here. This option displays for the surveys where scoring is enabled.

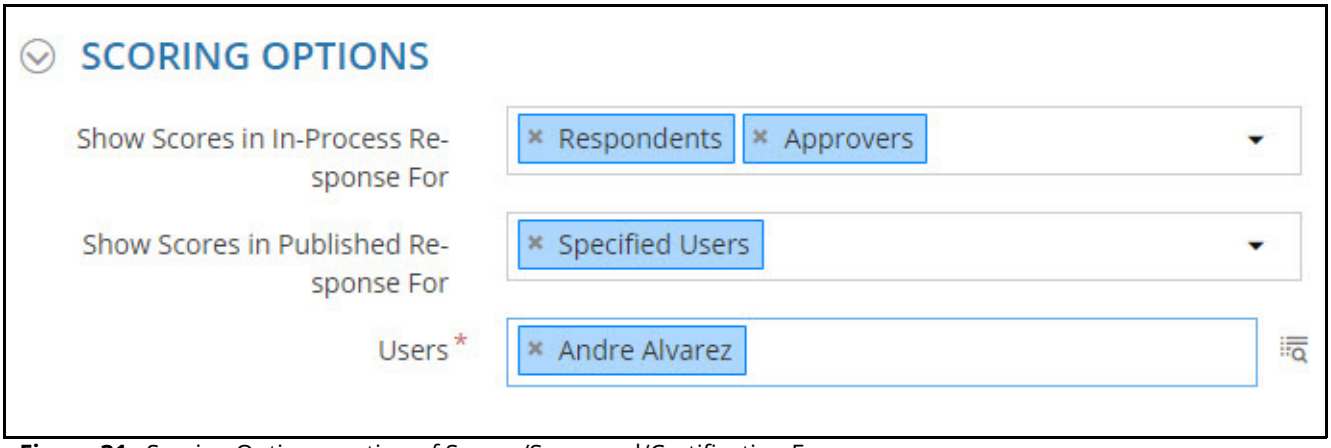

Figure 31 Scoring Options section of Survey/Scorecard/Certification Form

Field	Description
Show Scores in In-Process Response For	Allows respondents/approvers to view the scores in the **Response** form when the responses are in 'In Progress' status. The available options are: • **Respondents**: Allows to view the scoring related fields in the **Response** form for respondents when the status of the responses are 'In Progress'. • **Approvers**: Allows to view the scoring related fields in the **Response** form for approvers when the status of the responses are 'In Progress'. If you select any one of the option, the following scoring fields are available in the **Response** form. In **Response** Form Title: • Overall Score • Overall Grade In **Section** hierarchical level: • Weight • Weighted Score • Grade In **Questions** hierarchical level: • Score • Weighted Score • Grade **Note:** This is applicable only for scorecards and scoring enabled surveys. The Weight, Weighted Score fields do not appear if weighted scoring is not enabled in the questionnaire.

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Field	Description
Show Scores in Published Response For	Allows respondents/approvers to view the scores in the published **Response** form. The available options are: • **Respondents**: Allows to view the scoring related fields in the published **Response** form for respondents. • **Approvers**: Allows to view the scoring related fields in the published **Response** form for approvers. • **Survey Initiator**: Allows to view the scoring related fields in the published **Response** form for survey initiators. • **Survey Owners**: Allows to view the scoring related fields in the published **Response** form for survey owners. • **Specified Users**: Allows to view the scoring related fields in the published **Response** form for specified users. • **Specified Roles**: Allows to view the scoring related fields in the published **Response** form for specified roles. **Note:** This is applicable only for scorecards and scoring enabled surveys.
Users *(appears only when you select* **Specified Users** *in the* **Show Scores in Published Response For** *field)*	Specify the users who will be able to view the score of the survey in the published **Response** form. The users must have **QSM View All Responses** activity assigned.
Roles *(appears only when you select* **Specified Roles** *in the* **Show Scores in Published Response For** *field)*	Specify the roles who will be able to view the score of the survey in the published **Response** form. The roles must have **QSM View All Responses** activity assigned.

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8. In the **Ownership & Security** section, you can select the owners owning the current survey/certification/scorecard.

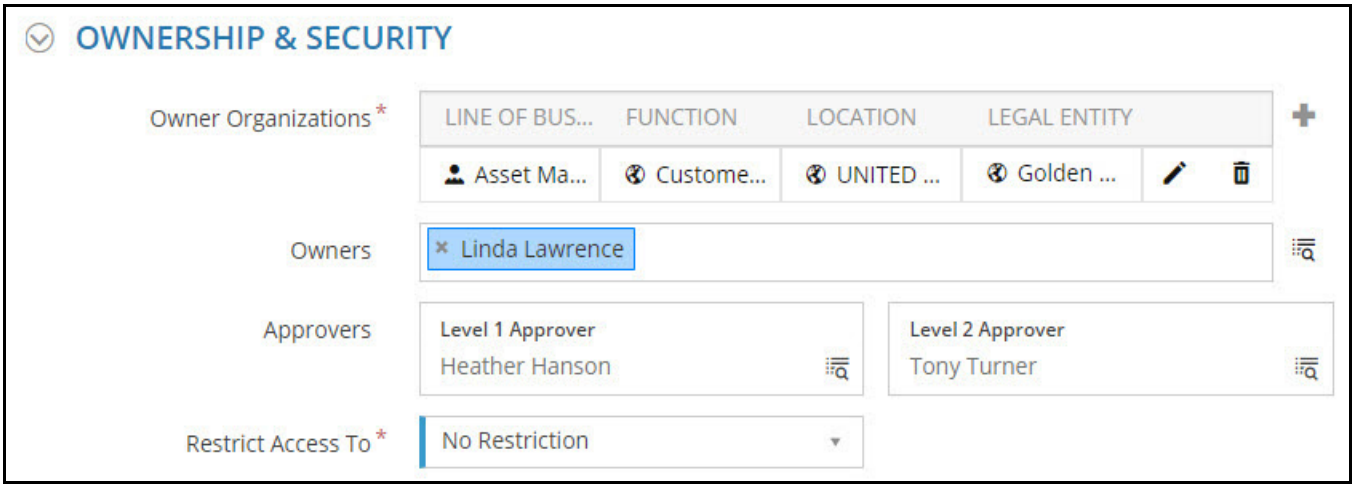

Figure 32 Ownership & Security section of Survey/Scorecard/Certification Form

Field Name	Description
Owner Organizations	Perform the following procedure to select one or more organization structure. **1.** Click **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click Edit icon to update the added organization structure. - Click Delete icon to remove the added organization structure. For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.

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Field Name	Description
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM - View Questionnaire activity can view this questionnaire and all users with QSM - Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM - View Questionnaire activity is assigned to them and edit it if the QSM - View Questionnaire and QSM - Manage Questionnaire activities are assigned to them.

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9. In the **Reminders** section, you can define the reminder e-mail notification frequency based on different reminder types.

   Based on the reminder type section, e-mail notifications are sent to the respondents. In **Frequency** field upon selecting value **Live**, reminder section is not displayed.

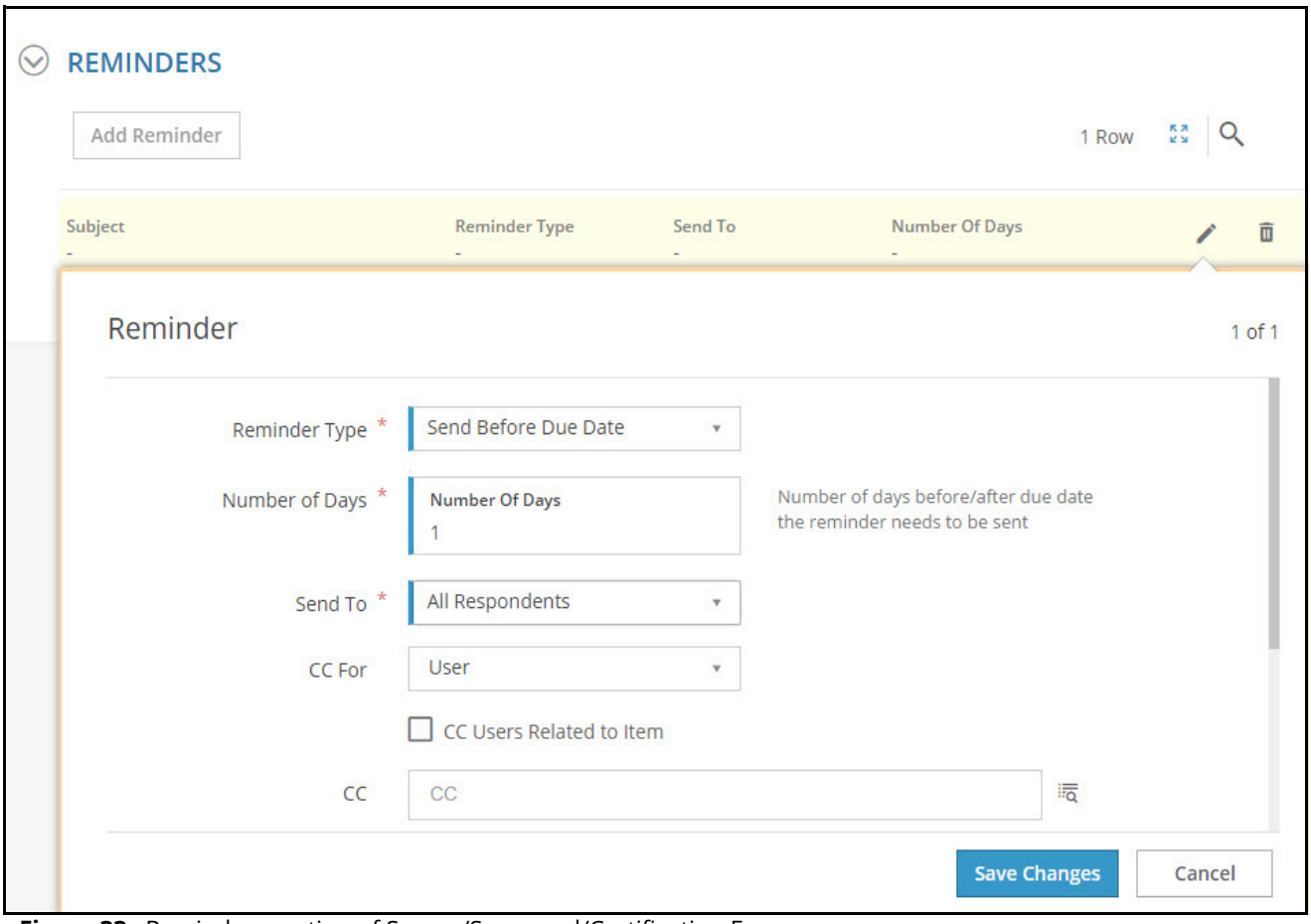

Figure 33 Reminders section of Survey/Scorecard/Certification Form

Field	Description
Reminder Type	Type of reminder e-mail. The available options are: • **Send Before Due Date**: Selecting this option ends a reminder email to the respondents 'X' days before the due date, where 'X' is specified by the **Number of Days** field. • **Send After Due Date**: Sends a reminder email to the respondents 'X' days after the due date, where 'X' is specified by the **Number of Days** field. • **Send On Due Date**: Sends the reminder e-mail to the respondents on the due date. • **Send Now**: Sends the reminder e-mail notification immediately to respondents.

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Field	Description
Send To	The respondents to whom the reminder e-mail notification needs to be triggered. The available options are: • **All Respondents**: Sends the reminder e-mail notification about the survey/scorecard/certification response to all the respondents. • **All Incomplete Responses**: Sends the reminder e-mail notification about the survey/scorecard/certification response to only those respondents who have not submitted their responses. **Notes:** - Based on the reminder type selected, an e-mail reminder notification is triggered to all the respondents selected in the **General** section. - The **All Incomplete Responses** option is disabled, if you select the value **Send Now** in the **Reminder Type** field.
Number of Days *(this field is made unavailable for* **Send On Due Date** *and* **Send Now** *reminder types)*	The number of days before or after the due date by which a reminder e-mail notification must be sent to the respondents. Based on the value that you specify the e-mail notification is triggered to the respondents. The number that you specify is always added or subtracted by the response due date. Due date is always calculated as follows: Start Date + Due After = Due Date. Example: Send After Due Date • Frequency = Weekly • Start Date = April 2, 2016 • Due After (Calendar Days) = 5 • Due date = April 2nd + 5 days = April 7th • Reminder Type = Send After Due Date • Number of Days = 5 • Reminder e-mail is triggered on April 12th that is, April 7th + 5 days Example: Send Before Due Date • Frequency = Weekly • Start Date = April 2, 2016 • Due After (Calendar Days) = 5 • Due date = April 2nd + 5 days = April 7th • Reminder Type = Send Before Due Date • Number of Days = 3 • Reminder e-mail is triggered on April 2nd that is, April 7th- 5 days
CC For	Allows the user to choose if the CC field would be by User or Role.
CC Users Related to Item *(appears only if you select* **Third Parties** *in the* **Applies To** *field check box)*	The CC users related to Third Parties will be displayed.

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Field	Description
CC	Allows users to select multiple users or role to be CC'ed on the reminder email. **Note:** This is a mandatory field when a selection is made in **CC For** field.
Subject	The subject of the reminder e-mail notification. Subject text is added as a title of the reminder e-mail notification.
Reminder Text	Body text of the reminder e-mail notification. The text that you enter here is sent as the body of the reminder e-mail notification to the respondents.

10. The **Advanced** section is used to control the option available for post submission processing of the **Response** form by packages that integrate with **Surveys**. This section is configurable to be displayed in the **Survey/Scorecard/Certification** form.

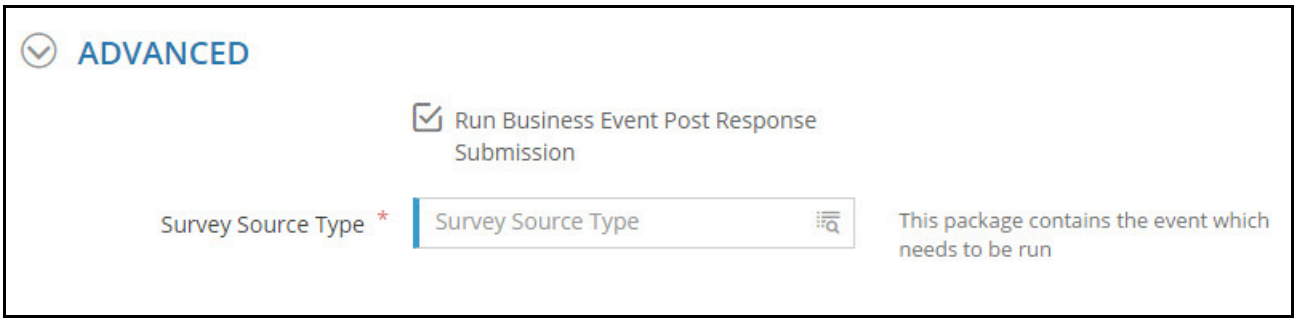

Figure 34 Advanced section of Survey/Scorecard/Certification Form

Field/List Name	Description
Run Business Event Post Response Submission	Indicates whether a business event needs to be run after response submission.
Survey Source Type	The package that contains the event which needs to be run. If the **Run Business Event Post Response Submission** is selected, this is a mandatory field.

11. Click **Submit** to submit the form.

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Reviewing Surveys/Scorecards/Certifications Form

After the initiator submits the **Survey/ Scorecard / Certification** form, an assignment is generated to the Survey/ Scorecard/Certification owner. The Survey/Scorecard/Certification owner must review and modify the details.

The **Survey/Scorecard/Certification** form at this stage comprises the following sections:

Header	Displays the buttons to take an action on the form.
General	Helps you review and modify the basic details of the survey/scorecard/certification.
Filters	Helps you review and modify the list of respondents available for section.
Respondents & Approvers	Helps you to review and modify the survey respondents and the first level approvers
Scheduling	Helps you to schedule survey/scorecard/certification frequency.
Findings Options	Helps you to review and modify issues based on the selection made
Reminders	Helps you to review and modify scores of a survey based on the selection
Advanced	Helps you to review and modify the reminder e-mail notification frequency

To review and modify a **Questionnaire** Form:

1. Open the **Survey/Scorecard/Certification** from **My Tasks** menu.

   For more information on My Tasks functionality, see My Tasks.

2. In the **General** section, review the details entered in **Survey/Scorecard/Certification** form**,** and make modifications or add more details if necessary.

Field/List Name	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	Questionnaire for which you want to set up the survey /scorecard / certification plan. The available options are: • **Survey**: Allows you to set the schedule for surveys. • **Scorecard**: Allows you to set the schedule for scorecards. • **Certification**: Allows you to set the schedule for certifications.
Questionnaire	Questionnaire to be sent out to the respondents. The questionnaires are filtered on the **Type** selected. **Note:** The header is updated with the selected **Type** details. For example, if the Type = Survey Questionnaire = Quality Assurance Survey Questionnaire the header displays the “Quality Assurance Survey Questionnaire” as the title of the plan.
Sections	All sections defined in the questionnaire are displayed. Select the sections that you want to include in the survey form. Only the questions under the selected sections will be made available to the respondents. If you do not select any section, all the questions available in the questionnaire are sent to the respondent.

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Field/List Name	Description
Survey Name	Unique name of the survey/certification/scorecard plan. **Notes:** - The name is automatically populated based on the questionnaire that is selected. You can edit the name based on your requirement. - Enter the name and navigate to any other field, the name appears in the form title. - The name and number are unique for every survey/certification/scorecard. For example, Quality Survey Questionnaire (SURVEY-1007). Here, 'Quality Survey Questionnaire' is the survey name and (SURVEY-1007) is the survey/scorecard/certification number.
Applies To	The values populated based on values selected in **Applies To** field of the **Questionnaire** form. The Survey will applicable to the value (object) that you select from this list.

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Field/List Name	Description
Manage Surveys	Select one of the following type of plan: • **Keep Open**: Allows you to manage the plan, such as project and reopen and edit the plan details. However, not all the fields are editable. Example: o Manage Survey = Keep Open o Frequency = Daily o Start Date = March 15, 2018 o End By = March 22, 2018 The initiator can edit the plan details until March 22, 2018. If the assignments are already triggered to the respondents and you edit the plan details, the latest changes are reflected only in the next response assignments. **Notes:** - The response assignments are triggered based on the frequency selected. You can submit the plan without selecting the frequency and keep the plan ready and can trigger the response assignments by specifying the details whenever required. - For **Specific Date** and **Run Now** frequencies, edit the plan details till the specified date in the **Close Date** field. - For other frequencies, edit the plan details till the specified date in **End By** field. - When the **Frequency** is set to Daily, Weekly, Monthly, Quarterly, Semi-Annually, Annually, the plan initiator can edit the plan details only for currently open plans until the date specified in the **End By** field. - You cannot keep the plan open for **Live** frequency plans. • **Finalize**: If you want to assign the response assignments immediately and finalize the survey /certification / scorecard plan. **Notes:** - You must select a **Frequency** when you select **Finalize** option. - You cannot edit the plan details after you submit the form. The finalized plans are available in the **Planned Surveys** infoport report. You can only view the details. For more information on planned survey report, see Planned Surveys.
Instructions/Guidelines	Instructions for responding to the survey/scorecard/certification. Helps respondents to answer the survey effectively.

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Field/List Name	Description
Allow Reopening of Responses *(This option is not available for Live surveys)*	Reopen a closed survey. • If selected, authorized users with *Reopen Response* activity can reopen closed responses. Fresh assignments are sent to all the respondents selected in the survey plan. For more information about reopening a survey, see Responses report. **Note:** Number of days to reopen a response can be configured. • If cleared, the option to reopen the survey from the Responses report will not be available.
Enable Respondent Feedback	The respondent can provide feedback/rating on the survey.
Distribution Type	You can select respondents based on the Distribution Types. • **Filtered List**: Allows you to select a certain level of organization to respond to a survey/certification/scorecard. You can also filter by Item. For example, in the organization all the teams which are level 4 must be certified for SOX compliance, you can select this option and send the certification assignments to organization which are at level 4 and get the responses. • **Based on Items**: If selected, allows you to send the questions related to an item to a group of people in the organization and get the responses. For example, in an organization, if you want to conduct a survey for Financial risk assessment for Finance department, you can select the related risk and send it to group of people to get the responses.
Enable Respondent Feedback	Rate the acknowledgment page on response submission.

3. Proceed to the **Filters** section, review and modify the details.

   Refer add an Owner Organization for a distributed list, to define filters for a Multidimensional Organization Structure.

Field	Description
Filter By	Filter the respondents based on Organization and Third Parties. • **Organization**: Allows you to send the Survey/Scorecard/ Certification questionnaire to specific organizations. You need to specify the organization details in the **Send Only for Owner Organizations** field. • **Item**: Allows you to select multiple third parties, facilities or audits. Select the items in the "Item Name" field. **Note:** This option appears only if you select the value Third Party, Facility or Audits in the **Applies To** field.
"Item Name"	Select the items applicable for the Survey/Scorecard/Certification. **Note:** The field name varies based on the value selected in the **Applies To** field. For example, if you select the value **Third Party**, the Third Party name, facility, product for instance appears.

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Field	Description
Send Only for Owner Organizations	Select the owner organizations to which you want to send the questionnaire. You can specifically mention the users from owner organization from whom you want to get the survey/scorecard/ certification responses.

4. Proceed to the **Respondents & Approver** section, review survey respondents and the first level approvers.

   Refer Respondents & Approvers section for more information when the **Distribution Type** is **Individual Item/Filtered List** and make modifications or add more details if necessary**.**

5. Proceed to the **Scheduling** section, review scheduled survey/scorecard/certification frequency.

Field/List Name	Description
Frequency	Frequency at which you want to trigger the surveys: • Days • Live • Months • Quarterly • Run Now • Semi-Annually • Specific Date • Weeks • Years **Notes:** - Selecting the **Live** option will create a link and will be available in the **Respond to Live Surveys** infoport of **Respond** infocenter to all the selected users. - Selecting the **Run Now** option will hide the **Ownership and Security** section and skip the approval workflow. The assignments are generated to the respondents immediately. - Upon selecting a frequency of **Days, Weeks, Months,** or **Years**, you must provide recurrence count.
Recur Every (in frequency)	The number of times an assessment is triggered for the selected frequency. **Note:** This field appears only when the values selected for **Frequency** are: **Days, Weeks, Months, Years**.
Start Date	The date by which the survey/scorecard/certification task is scheduled. **Notes:** - **Surveys** triggers the survey/scorecard/certification assignments from the date that you specify. - You must enter date in MM/DD/YYYY format. - If you select the value **Run Now** in **Frequency** field, this field defaults to current system date and this field is not editable.

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Field/List Name	Description
End By *(this field is not available for* **Run Now** *frequency)*	The end date of the survey/scorecard/certification task recurrence schedule. **Notes:** - You must enter date in MM/DD/YYYY format. - The survey/scorecard/certification task assignments are not generated after the selected date. - You can enter any future date and the end date must be greater than the start date. - After publishing the survey, you can edit this for scheduled recurrence tasks.
Next Scheduled Date	The date by when the next survey/scorecard/certification task assignments must be sent to the respondents. This value is populated based on the **Frequency**, **Start Date**, **Due After** and **End By** field values.
Due After *(this field is not available for* **Live** *frequency)*	Determines the date by when the response is due. The respondent must respond to the survey/certification/scorecard by the due date. The range of values that you can enter for different type of frequencies are: • Weekly (0 to 6) • Monthly (0 to 31) • Quarterly (0 to 92) • Semi-Annually (0 to 183) • Annually (0 to 365) • Run Now (any number between 0-999) • Specific Date (any number between 0-999) For example: • Frequency = Weekly • Start Date = Feb 29, 2016 • Due After (Calendar Days) = 5 • Survey response is due on = Mar 5, 2016 **Notes:** - Enter date in MM/DD/YYYY format. - Enter any number between 0-999. Avoid negative and decimal numbers.
Close Date *(appears only if* **Manage Survey** *field is* **Keep Open** *and* **Frequency** *is* **Specific Date** *or* **Run Now**)	The date by which you want to close the survey. **Notes:** - You can enter any date which is greater than or equal to the current date. - This field is non editable when you edit a plan after creation. - This field is editable, if the plan is reopened and the Current Date is greater than the Close Date specified during the plan creation.

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Field/List Name	Description
Reporting Period Type *(available only when the Frequency field is set to* **Run Now**)	The type of reporting period for the current survey/scorecard/certification. The value is populated based on the value selected in the **Reporting Period Type** field of **Questionnaire** form. There are different reporting periods based on different survey conducted. For example, Financial year is a reporting period, which can be configured from 01st of April to 31st of March.
Reporting Period	The reporting period for which the current survey/scorecard/certification is valid. **Notes:** - Values are populated based on the **Reporting Period Type** selected during the Questionnaire creation. - Values are populated based on the data table and this field displays different options for each reporting period type. - This field is made unavailable if the **Reporting Period Type** is not selected during the questionnaire. - This field is configurable.
Prepopulate Response	Indicate whether you want to pre-populate the previous survey/scorecard/certification responses in the **Response** form or not. The respondent can change the responses, if required. Example: If the survey frequency is annual, in the **Response** form, **Surveys** populates the previous year's responses.
Prepopulate *(This field is available only when you select* ***Prepopulate Response*** *check box and appears when you select* **Frequency** *field values as* **Run Now** or **Specific Date**.*)*	Indicate whether you want to prepopulate the previous survey/scorecard/certification responses in the **Response** form. The available options are: • **Prepopulate My Prior Responses:** Populates the previously entered responses. The previous responses are populated only when the respondent has previously responded to the same questionnaire for the selected object in the **Applies To** field. • **Prepopulate Responses for the Selected Entity**: Select this option to populate the previously entered responses if anyone from the respondent organization has responded to the same questionnaire for the selected object in the **Applies To** field.
The two certification related fields (in the **Certification Options** section) are available if you select the following field values: **Type** = Certification **Applies To** = Organization **Filtered List** is selected in **General** section **Frequency** = Specific Date, Weekly, Monthly, Quarterly, Semi-Annually, Annually, Daily, or Live	
This is a Sub-Certification For	Link two certifications so that one can be a sub-certification to another.
Consider Sub-Certifications From Past 'x' Months	Number of months **Surveys** must scan for the linked past sub-certifications. This field appears only for Certification type. Based on the value entered, **Surveys** displays all the selected sub-certification in the Certification Report section in the Responds To Certification form.

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6. Proceed to the **Finding Options** section, review added issues based on the selection made in this section.

Field/List Name	Description
Findings can be Added By	The roles that can add findings while responding to the questionnaire. The available options are: • **Respondent**: Allows the respondents to add the findings. • **Approver**: Allows the approvers to add the findings. Selecting any one of the above options, an additional **Findings and Actions** link appears to the respondents or approvers to add findings related to the current survey/certification/scorecard in the Respond To Survey/Scorecard /Certification form.
Auto-create Findings for Overdue Responses	Select to indicate whether you want to generate the auto Issue assignment for the overdue response assignments or not. **Notes:** - The issue assignment is made available in the **My Tasks** menu. The respondent cannot edit the details of the issue. However, they can delegate the issue to the other users. - An e-mail notification is triggered to the respondents indicating that the issue is assigned to them for further action.

7. Proceed to the **Scoring Options**, review the scores of a survey based on the selection made here. This option displays for the surveys where scoring is enabled.

Field	Description
Show Scores in In-Process Response For	Allows respondents/approvers to view the scores in the **Response** form when the responses are in 'In Progress' status. The available options are: • **Respondents**: Allows to view the scoring related fields in the **Response** form for respondents when the status of the responses are 'In Progress'. • **Approvers**: Allows to view the scoring related fields in the **Response** form for approvers when the status of the responses are 'In Progress'. If you select any one of the option, the following scoring fields are available in the **Response** form. In **Response** Form Title: • Overall Score • Overall Grade In **Section** hierarchical level: • Weight • Weighted Score • Grade In **Questions** hierarchical level: • Score • Weighted Score • Grade **Note:** This is applicable only for scorecards and scoring enabled surveys. The Weight, Weighted Score fields do not appear if weighted scoring is not enabled in the questionnaire.

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Field	Description
Show Scores in Published Response For	Allows respondents/approvers to view the scores in the published **Response** form. The available options are: • **Respondents**: Allows to view the scoring related fields in the published **Response** form for respondents. • **Approvers**: Allows to view the scoring related fields in the published **Response** form for approvers. • **Survey Initiator**: Allows to view the scoring related fields in the published **Response** form for survey initiators. • **Survey Owners**: Allows to view the scoring related fields in the published **Response** form for survey owners. • **Specified Users**: Allows to view the scoring related fields in the published **Response** form for specified users. • **Specified Roles**: Allows to view the scoring related fields in the published **Response** form for specified roles. **Note:** This is applicable only for scorecards and scoring enabled surveys.
Users *(appears only when you select* **Specified Users** *in the* **Show Scores in Published Response For** *field)*	Specify the users who will be able to view the score of the survey in the published **Response** form. The users must have **QSM View All Responses** activity assigned.
Roles *(appears only when you select* **Specified Roles** *in the* **Show Scores in Published Response For** *field)*	Specify the roles who will be able to view the score of the survey in the published **Response** form. The roles must have **QSM View All Responses** activity assigned.

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8. Proceed to the **Owner & Security** section, review the owners for current survey/certification/scorecard and make modifications or add more details, if necessary.

Field	Description
Owner Organizations	Perform the following procedure to select one or more organization structure. **1.** Click **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click Edit icon to update the added organization structure. - Click Delete icon to remove the added organization structure. - For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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Field	Description
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM - View Questionnaire activity can view this questionnaire and all users with QSM - Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM - View Questionnaire activity is assigned to them and edit it if the QSM - View Questionnaire and QSM - Manage Questionnaire activities are assigned to them.

9. Proceed to the **Reminders** section, review and modify the defined reminder e-mail notification frequency.

Field	Description
Reminder Type	Type of reminder e-mail. The available options are: • **Send Before Due Date**: Selecting this option ends a reminder email to the respondents 'X' days before the due date, where 'X' is specified by the **Number of Days** field. • **Send After Due Date**: Sends a reminder email to the respondents 'X' days after the due date, where 'X' is specified by the **Number of Days** field. • **Send On Due Date**: Sends the reminder e-mail to the respondents on the due date. • **Send Now**: Sends the reminder e-mail notification immediately to respondents.

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Field	Description
Send To	The respondents to whom the reminder e-mail notification needs to be triggered. The available options are: • **All Respondents**: Sends the reminder e-mail notification about the survey/scorecard/certification response to all the respondents. • **All Incomplete Responses**: Sends the reminder e-mail notification about the survey/scorecard/certification response to only those respondents who have not submitted their responses. **Notes:** - The **All Incomplete Responses** option is disabled, if you select the value **Send Now** in the **Reminder Type** field. - Based on the reminder type selected, an e-mail reminder notification is triggered to all the respondents selected in the **General** section.
Number of Days *(this field is made unavailable for* **Send On Due Date** *and* **Send Now** *reminder types)*	The number of days before or after the due date by which a reminder e-mail notification must be sent to the respondents. Based on the value that you specify the e-mail notification is triggered to the respondents. The number that you specify is always added or subtracted by the response due date. Due date is always calculated as follows: Start Date + Due After = Due Date. Example: Send After Due Date • Frequency = Weekly • Start Date = April 2, 2016 • Due After (Calendar Days) = 5 • Due date = April 2nd + 5 days = April 7th • Reminder Type = Send After Due Date • Number of Days = 5 • Reminder e-mail is triggered on April 12th that is, April 7th + 5 days Example: Send Before Due Date • Frequency = Weekly • Start Date = April 2, 2016 • Due After (Calendar Days) = 5 • Due date = April 2nd + 5 days = April 7th • Reminder Type = Send Before Due Date • Number of Days = 3 • Reminder e-mail is triggered on April 2nd that is, April 7th- 5 days
CC For	Allows the user to choose if the CC field would be by User or Role.
CC Users Related to Item *(appears only if you select* **Third Parties** *in the* **Applies To** *field check box)*	The CC users related to Third Parties will be displayed.

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Field	Description
CC	Allows users to select multiple users or role to be CC'ed on the reminder email. **Note:** This is a mandatory field when a selection is made in **CC For** field.
Subject	The subject of the reminder e-mail notification. Subject text is added as a title of the reminder e-mail notification.
Reminder Text	Body text of the reminder e-mail notification. The text that you enter here is sent as the body of the reminder e-mail notification to the respondents.

10. Proceed to the **Advance** section, review the option available for post submission processing of the **Response** form by packages that integrate with **Surveys**.

Field/List Name	Description
Run Business Event Post Response Submission	Indicates whether a business event needs to be run after response submission.
Survey Source Type	The package that contains the event which needs to be run. If the **Run Business Event Post Response Submission** is selected, this is a mandatory field.

11. Click **Submit** to perform any following actions.
    - Click **Approve**.
      The form is published if you are the only approver or the last level approver. Otherwise, the form is submitted to the next level approver.
    - Click **Cancel**.
      The form is closed and no assignments are generated.
    - Click **Request for Clarification.**
      The form will be sent back to the initiator of the form for further clarifications.
      Provide the details of your request in the **Comments** field of the **Request for Clarifications** window that appears.
    - Click **Related Reports** and click **Comments History**.
      Read the comments provided in the Comments column by the owner/approver. Review the fields and sections, and edit the details, as required.

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Approving Surveys/Scorecards/Certifications

If the survey/scorecard/certification owner sends the survey plan for approval, the selected level 1 approver receives the survey/scorecard/certification questionnaire plan. If the level 1 approver is not selected but the level 2 approver is selected, the level 2 approver receives the survey/scorecard/certification plan. If no approvers are selected when the owner approves the survey/scorecard/certification plan, the survey/scorecard/certification plan is published automatically and the response assignments are triggered based on the set frequency.

After the **Survey/Scorecard/Certification Owner** reviews the form details and makes the required modifications, as an **Survey/Scorecard/Certification Approver**, you receive the form for review, modifications, and approval.

If no approvers are selected when the owner approves the questionnaire, the questionnaire is published automatically.

The **Survey/Scorecard/Certification** form at this stage comprises the following sections:

Header	Displays the current workflow stage, summary of the information captured in various sections, allows you to view the form-related reports, if any, and provides the action buttons to take action on the form.
General	Helps you review and modify the basic details of the survey/scorecard/certification.
Filters	Helps you review and modify the list of respondents available for section.
Respondents & Approvers	Helps you to review and modify the survey respondents and the first level approvers
Scheduling	Helps you to schedule survey/scorecard/certification frequency.
Findings Options	Helps you to review and modify issues based on the selection made
Reminders	Helps you to review and modify scores of a survey based on the selection
Advanced	Helps you to review and modify the reminder e-mail notification frequency

To review and modify a **Questionnaire** Form:

1. Open the **Survey/Scorecard/Certification** from **My Tasks** menu.

   For more information on My Tasks functionality, see My Tasks.

2. In the **General** section, review the details entered in **Survey/Scorecard/Certification** form**,** and make modifications or add more details if necessary.

Field	Description
For the special characters that are supported in free-text fields, see Restricted Special Characters.	
Type	Questionnaire for which you want to set up the survey /scorecard /certification plan. The available options are: • **Survey**: Allows you to set the schedule for surveys. • **Scorecard**: Allows you to set the schedule for scorecards. • **Certification**: Allows you to set the schedule for certifications.

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Field	Description
Questionnaire	Questionnaire to be sent out to the respondents. The questionnaires are filtered on the **Type** selected. For example, if the Type = Survey Questionnaire = Quality Assurance Survey Questionnaire the header displays the “Quality Assurance Survey Questionnaire” as the title of the plan. **Note:** The header is updated with the selected **Type** details.
Sections	All sections defined in the questionnaire are displayed. Select the sections that you want to include in the survey form. Only the questions under the selected sections will be made available to the respondents. If you do not select any section, all the questions available in the questionnaire are sent to the respondent.
Survey Name	Unique name of the survey/certification/scorecard plan. **Notes:** - The name is automatically populated based on the questionnaire that is selected. You can edit the name based on your requirement. - Enter the name and navigate to any other field, the name appears in the form title. - The name and number are unique for every survey/certification/scorecard. For example, Quality Survey Questionnaire (SURVEY-1007). Here, ‘Quality Survey Questionnaire’ is the survey name and (SURVEY-1007) is the survey/scorecard/certification number.
Applies To	The values populated based on values selected in **Applies To** field of the **Questionnaire** form. The Survey will applicable to the value (object) that you select from this list.

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Field	Description
Manage Surveys	Select one of the following type of plan: • **Keep Open**: Allows you to manage the plan, such as project and reopen and edit the plan details. However, not all the fields are editable. Example: o Manage Survey = Keep Open o Frequency = Daily o Start Date = March 15, 2018 o End By = March 22, 2018 The initiator can edit the plan details until March 22, 2018. If the assignments are already triggered to the respondents and you edit the plan details, the latest changes are reflected only in the next response assignments. **Notes:** - The response assignments are triggered based on the frequency selected. You can submit the plan without selecting the frequency and keep the plan ready and can trigger the response assignments by specifying the details whenever required. - For **Specific Date** and **Run Now** frequencies, edit the plan details till the specified date in the **Close Date** field. - For other frequencies, edit the plan details till the specified date in **End By** field. - When the **Frequency** is set to Daily, Weekly, Monthly, Quarterly, Semi-Annually, Annually, the plan initiator can edit the plan details only for currently open plans until the date specified in the **End By** field. - You cannot keep the plan open for **Live** frequency plans. • **Finalize**: If you want to assign the response assignments immediately and finalize the survey /certification / scorecard plan. **Notes:** - You must select a **Frequency** when you select **Finalize** option. - You cannot edit the plan details after you submit the form. The finalized plans are available in the **Planned Surveys** infoport report. You can only view the details. For more information on planned survey report, see Planned Surveys.
Instructions/Guidelines	Instructions for responding to the survey/scorecard/certification. Helps respondents to answer the survey effectively.
Allow Reopening of Responses *(This option is not available for Live surveys)*	Reopen a closed survey. Authorized users with *Reopen Response* activity can reopen closed responses. Fresh assignments are sent to all the respondents selected in the survey plan. For more information about reopening a survey, see Responses report. **Note:** You can modify the number of days to reopen a response.

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Field	Description
Enable Respondent Feedback	The respondent can provide feedback/rating on the survey.
Distribution Type	You can select respondents based on the Distribution Types. • **Filtered List**: Allows you to select a certain level of organization to respond to a survey/certification/scorecard. You can also filter by Item. For example, in the organization all the teams which are level 4 must be certified for SOX compliance, you can select this option and send the certification assignments to organization which are at level 4 and get the responses. • **Based on Items**: If selected, allows you to send the questions related to an item to a group of people in the organization and get the responses. For example, in an organization, if you want to conduct a survey for Financial risk assessment for Finance department, you can select the related risk and send it to group of people to get the responses.
Enable Respondent Feedback	Rate the acknowledgment page on response submission.

3. Proceed to the **Filters** section, review and modify the details.

   Refer add an Owner Organization for a distributed list, to define filters for a Multidimensional Organization Structure.

Field	Description
Filter By	Filter the respondents based on Organization and Third Parties. • **Organization**: Allows you to send the Survey/Scorecard/ Certification questionnaire to specific organizations. You need to specify the organization details in the **Send Only for Owner Organizations** field. • **Item**: Allows you to select multiple third parties, facilities or audits. Select the items in the "Item Name" field. **Note:** This option appears only if you select the value Third Party, Facility or Audits in the **Applies To** field.
"Item Name"	Select the items applicable for the Survey/Scorecard/Certification. **Note:** The field name varies based on the value selected in the **Applies To** field. For example, if you select the value **Third Party**, the Third Party name, facility, product for instance appears.
Send Only for Owner Organizations	Select the owner organizations to which you want to send the questionnaire. You can specifically mention the users from owner organization from whom you want to get the survey/scorecard/ certification responses.

4. Proceed to the **Respondents & Approver** section, review survey respondents and the first level approvers.

   Refer Respondents & Approvers section for more information when the **Distribution Type** is **Individual Item/Filtered List** and make modifications or add more details if necessary**.**

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5. Proceed to the **Scheduling** section, review scheduled survey/scorecard/certification frequency.

Field	Description
Frequency	Frequency at which you want to trigger the surveys: • Days • Live • Months • Quarterly • Run Now • Semi-Annually • Specific Date • Weeks • Years **Notes:** - Selecting the **Live** option will create a link and will be available in the **Respond to Live Surveys** infoport of **Respond** infocenter to all the selected users. - Selecting the **Run Now** option will hide the **Ownership and Security** section and skip the approval workflow. The assignments are generated to the respondents immediately. - Upon selecting a frequency of **Days, Weeks, Months,** or **Years**, you must provide recurrence count.
Recur Every (in "frequency")	The number of times an assessment is triggered for the selected frequency. **Note:** This field appears only when the values selected for **Frequency** are: **Days, Weeks, Months, Years**.
Start Date	The date by which the survey/scorecard/certification task is scheduled. **Notes:** - **Surveys** triggers the survey/scorecard/certification assignments from the date that you specify. - You must enter date in MM/DD/YYYY format. - If you select the value **Run Now** in **Frequency** field, this field defaults to current system date and this field is not editable.
End By *(this field is not available for* **Run Now** *frequency)*	The end date of the survey/scorecard/certification task recurrence schedule. **Notes:** - You must enter date in MM/DD/YYYY format. - The survey/scorecard/certification task assignments are not generated after the selected date. - You can enter any future date and the end date must be greater than the start date. - After publishing the survey, you can edit this for scheduled recurrence tasks.
Next Scheduled Date	The date by when the next survey/scorecard/certification task assignments must be sent to the respondents. This value is populated based on the **Frequency**, **Start Date**, **Due After** and **End By** field values.

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Field	Description
Due After *(this field is not available for* **Live** *frequency)*	Determines the date by when the response is due. The respondent must respond to the survey/certification/scorecard by the due date. The range of values that you can enter for different type of frequencies are: • Weekly (0 to 6) • Monthly (0 to 31) • Quarterly (0 to 92) • Semi-Annually (0 to 183) • Annually (0 to 365) • Run Now (any number between 0-999) • Specific Date (any number between 0-999) For example: • Frequency = Weekly • Start Date = Feb 29, 2016 • Due After (Calendar Days) = 5 • Survey response is due on = Mar 5, 2016 **Notes:** - Enter date in MM/DD/YYYY format. - Enter any number between 0-999. Avoid negative and decimal numbers.
Close Date *(appears only if* **Manage Survey** *field is* **Keep Open** *and* **Frequency** *is* **Specific Date** *or* **Run Now**)	The date by which you want to close the survey. **Notes:** - You can enter any date which is greater than or equal to the current date. - This field is non editable when you edit a plan after creation. - This field is editable, if the plan is reopened and the Current Date is greater than the Close Date specified during the plan creation.
Reporting Period Type *(available only when the Frequency field is set to* **Run Now**)	The type of reporting period for the current survey/scorecard/ certification. The value is populated based on the value selected in the **Reporting Period Type** field of **Questionnaire** form. There are different reporting periods based on different survey conducted. For example, Financial year is a reporting period, which can be configured from 01st of April to 31st of March.
Reporting Period	The reporting period for which the current survey/scorecard/ certification is valid. **Notes:** - Values are populated based on the **Reporting Period Type** selected during the Questionnaire creation. - Values are populated based on the data table and this field displays different options for each reporting period type. - This field is made unavailable if the **Reporting Period Type** is not selected during the questionnaire. - This field is configurable.

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Field	Description
Prepopulate Response	Indicate whether you want to pre-populate the previous survey/ scorecard/certification responses in the **Response** form or not. The respondent can change the responses, if required. Example: If the survey frequency is annual, in the **Response** form, **Surveys** populates the previous year's responses.
Prepopulate *(This field is available only when you select **Prepopulate Response** check box and appears when you select* **Frequency** *field values as* **Run Now** or **Specific Date**.*)*	Indicate whether you want to prepopulate the previous survey/ scorecard/certification responses in the **Response** form. The available options are: • **Prepopulate My Prior Responses:** Populates the previously entered responses. The previous responses are populated only when the respondent has previously responded to the same questionnaire for the selected object in the **Applies To** field. • **Prepopulate Responses for the Selected Entity**: Select this option to populate the previously entered responses if anyone from the respondent organization has responded to the same questionnaire for the selected object in the **Applies To** field.
The two certification related fields (in the **Certification Options** section) are available if you select the following field values: **Type** = Certification **Applies To** = Organization **Filtered List** is selected in **General** section **Frequency** = Specific Date, Weekly, Monthly, Quarterly, Semi-Annually, Annually, Daily, or Live	
This is a Sub-Certification For	Link two certifications so that one can be a sub-certification to another.
Consider Sub-Certifications From Past 'x' Months	Number of months **Surveys** must scan for the linked past sub-certifications. This field appears only for Certification type. Based on the value entered, **Surveys** displays all the selected sub-certification in the Certification Report section in the Responds To Certification form.

6. Proceed to the **Finding Options** section, review added issues based on the selection made in this section.

Field	Description
Findings can be Added By	The roles that can add findings while responding to the questionnaire. The available options are: • **Respondent**: Allows the respondents to add the findings. • **Approver**: Allows the approvers to add the findings. Selecting any one of the above options, an additional **Findings and Actions** link appears to the respondents or approvers to add findings related to the current survey/certification/scorecard in the Respond To Survey/Scorecard /Certification form.

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Field	Description
Auto-create Findings for Overdue Responses	Select to indicate whether you want to generate the auto Issue assignment for the overdue response assignments or not. **Notes:** - The issue assignment is made available in the **My Tasks** menu. The respondent cannot edit the details of the issue. However they can delegate the issue to the other users. - An e-mail notification is triggered to the respondents indicating that the Issue is assigned to them for further action.

7. Proceed to the **Scoring Options**, review the scores of a survey based on the selection made here. This option displays for the surveys where scoring is enabled.

Field	Description
Show Scores in In-Process Response For	Allows respondents/approvers to view the scores in the **Response** form when the responses are in 'In Progress' status. The available options are: • **Respondents**: Allows to view the scoring related fields in the **Response** form for respondents when the status of the responses are 'In Progress'. • **Approvers**: Allows to view the scoring related fields in the **Response** form for approvers when the status of the responses are 'In Progress'. If you select any one of the option, the following scoring fields are available in the **Response** form. In **Response** Form Title: • Overall Score • Overall Grade In **Section** hierarchical level: • Weight • Weighted Score • Grade In **Questions** hierarchical level: • Score • Weighted Score • Grade **Note:** This is applicable only for scorecards and scoring enabled surveys. The Weight, Weighted Score fields do not appear if weighted scoring is not enabled in the questionnaire.

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Field	Description
Show Scores in Published Response For	Allows respondents/approvers to view the scores in the published **Response** form. The available options are: • **Respondents**: Allows to view the scoring related fields in the published **Response** form for respondents. • **Approvers**: Allows to view the scoring related fields in the published **Response** form for approvers. • **Survey Initiator**: Allows to view the scoring related fields in the published **Response** form for survey initiators. • **Survey Owners**: Allows to view the scoring related fields in the published **Response** form for survey owners. • **Specified Users**: Allows to view the scoring related fields in the published **Response** form for specified users. • **Specified Roles**: Allows to view the scoring related fields in the published **Response** form for specified roles. **Note:** This is applicable only for scorecards and scoring enabled surveys.
Users *(appears only when you select* **Specified Users** *in the* **Show Scores in Published Response For** *field)*	Specify the users who will be able to view the score of the survey in the published **Response** form. The users must have **QSM View All Responses** activity assigned.
Roles *(appears only when you select* **Specified Roles** *in the* **Show Scores in Published Response For** *field)*	Specify the roles who will be able to view the score of the survey in the published **Response** form. The roles must have **QSM View All Responses** activity assigned.

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8. Proceed to the **Owner & Security** section, review the owners for current survey/certification/scorecard and make modifications or add more details if necessary.

Field	Description
Owner Organizations	Perform the following procedure to select one or more organization structure. **1.** Click **Add** icon associated with the field. The **Owner Organizations** window appears. For example, the four dimensions - Organizations, Functions, Locations, and Legal Entity are displayed. **2.** Select the required organization structure, and click **Add**. **Notes:** - You can add multiple Multidimensional Organization Structure. In the **Owner Organizations** window, select the **Add Another** check box, and then select the required organization structure that must be added, and then click **Add to List.** - Selecting the **All** option is equal to selecting all the values in a dimension. However it is not recommended to select the **ALL** option. Instead select the required dimensions individually. - Turn on the **NA** option, if any dimension is not applicable for the organization structure that you want to select. **3.** If multiple organization structure is added to list, then after you have added all the required organization structure, click **Done** to close the **Owner Organizations** window. The selected Organization Structure is displayed in the **Owner Organizations** field. **Notes:** - Click Edit icon to update the added organization structure. - Click Delete icon to remove the added organization structure. - For more information on multidimensional organization structure, refer Multidimensional Organization Structure - Security Model.
Owners	The user who is responsible for the questionnaire. The users listed for selection are based on the configuration of organization structure. For more information, refer Multidimensional Organization Structure - Security Model. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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Field	Description
Approver	Displays two fields for the Level 1 and Level 2 Approvers. Click Search icon or anywhere in the text field, for both the fields. The **Level 1 Approver** and **Level 2 Approver** windows appear, respectively. The lists display the approvers for both levels. There is a radio button beside each of the approvers. You can select only one approver for each level. After selecting the relevant approver, click **Done** to save and submit the selection. **Notes:** - To clear the selected radio button, click **Clear Selected** link. - Click **Cancel** to discard any changes that you made. - If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Restrict Access To	Select one of the following options to control access rights of users for the current questionnaire: • **No Restriction**: All users with QSM - View Questionnaire activity can view this questionnaire and all users with QSM - Manage Questionnaire activity can edit the questionnaire. • **Owner Organization**: Users with owner organization can view the questionnaire if the QSM - View Questionnaire activity is assigned to them and edit it if the QSM - View Questionnaire and QSM - Manage Questionnaire activities are assigned to them.

9. Proceed to **Reminders** section, review and modify the defined reminder e-mail notification frequency.

Field	Description
Reminder Type	Type of reminder e-mail. The available options are: • **Send Before Due Date**: Selecting this option ends a reminder email to the respondents 'X' days before the due date, where 'X' is specified by the **Number of Days** field. • **Send After Due Date**: Sends a reminder email to the respondents 'X' days after the due date, where 'X' is specified by the **Number of Days** field. • **Send On Due Date**: Sends the reminder e-mail to the respondents on the due date. • **Send Now**: Sends the reminder e-mail notification immediately to respondents.

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Field	Description
Send To	The respondents to whom the reminder e-mail notification needs to be triggered. The available options are: • **All Respondents**: Sends the reminder e-mail notification about the survey/scorecard/certification response to all the respondents. **Note:** Based on the reminder type selected, an e-mail reminder notification is triggered to all the respondents selected in the **General** section. • **All Incomplete Responses**: Sends the reminder e-mail notification about the survey/scorecard/certification response to only those respondents who have not submitted their responses. **Note:** The **All Incomplete Responses** option is disabled, if you select the value **Send Now** in the **Reminder Type** field.
Number of Days *(this field is made unavailable for* **Send On Due Date** *and* **Send Now** *reminder types)*	The number of days before or after the due date by which a reminder e-mail notification must be sent to the respondents. Based on the value that you specify the e-mail notification is triggered to the respondents. The number that you specify is always added or subtracted by the response due date. Due date is always calculated as follows: Start Date + Due After = Due Date. Example: Send After Due Date • Frequency = Weekly • Start Date = April 2, 2016 • Due After (Calendar Days) = 5 • Due date = April 2nd + 5 days = April 7th • Reminder Type = Send After Due Date • Number of Days = 5 • Reminder e-mail is triggered on April 12th that is, April 7th + 5 days Example: Send Before Due Date • Frequency = Weekly • Start Date = April 2, 2016 • Due After (Calendar Days) = 5 • Due date = April 2nd + 5 days = April 7th • Reminder Type = Send Before Due Date • Number of Days = 3 • Reminder e-mail is triggered on April 2nd that is, April 7th- 5 days
CC For	Allows the user to choose if the CC field would be by User or Role.
CC Users Related to Item *(appears only if you select* **Third Parties** *in the* **Applies To** *field check box)*	The CC users related to Third Parties will be displayed.

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Field	Description
CC	Allows users to select multiple users or role to be CC'ed on the reminder email. **Note:** This is a mandatory field when a selection is made in **CC For** field.
Subject	The subject of the reminder e-mail notification. Subject text is added as a title of the reminder e-mail notification.
Reminder Text	Body text of the reminder e-mail notification. The text that you enter here is sent as the body of the reminder e-mail notification to the respondents.

10. Proceed to **Advance** section, review the option available for post submission processing of the **Response** form by packages that integrate with **Surveys**.

Field/List Name	Description
Run Business Event Post Response Submission	Indicates whether a business event needs to be run after response submission.
Survey Source Type	The package that contains the event which needs to be run. If the **Run Business Event Post Response Submission** is selected, this is a mandatory field.

11. Click **Submit** to perform any following actions.
    - Click **Approve**.
      The form is published if you are the only approver or the last level approver. Otherwise, the form is submitted to the next level approver.
    - Click **Cancel**.
      The form is closed and no assignments are generated.
    - Click **Request for Clarification.**
      The form will be sent back to the initiator of the form for further clarifications.
      Provide the details of your request in the **Comments** field of the **Request for Clarifications** window that appears.
    - Click **Related Reports** and click **Comments History**.
      Read the comments provided in the Comments column by the owner/approver. Review the fields and sections, and edit the details, as required.

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Refreshing Surveys

You can refresh the survey only when you edit the questionnaire that is linked to the survey. When you refresh the survey, the latest response assignment reflects the questionnaire changes. To refresh the survey, use the **Surveys / Scorecards / Certifications** report.

The conditions to refresh survey are:

- The survey must be in an open status (**Manage Survey** field value is **Keep Open**).
- While editing the questionnaire, you should not increment the questionnaire version.
- To perform refresh, the user must have the **QSM - Manage Survey Assignments** activity.
- The expired surveys cannot be refreshed.
- Both the questionnaire and the survey should be of same type. For example: if the questionnaire is of type Scorecard, then the survey should also be of type Scorecard.

The effect on the refreshed survey are:

- In a recurring survey, the changes in the questionnaire are reflected in the latest and next occurrence of the survey.
- If you refresh a run-now survey, the survey which is already triggered is re-triggered to reflect changes in the questionnaire.

Note: The option to refresh the survey is unavailable if you have not made changes to the questionnaire that is linked to the survey.

1. Open **Setup Surveys** and click **Reports**.

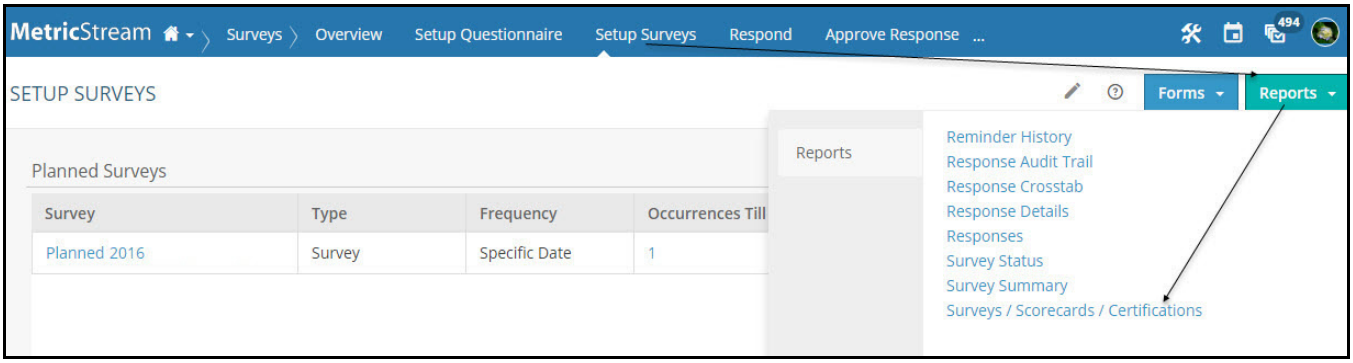

Figure 35 Accessing Surveys / Scorecards / Certifications Report

2. Click the **Surveys / Scorecards / Certifications** link.

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Surveys/Scorecards/Certifications Report

The **Surveys / Scorecards / Certifications** report allows you to view all the surveys and refresh a survey, if required.

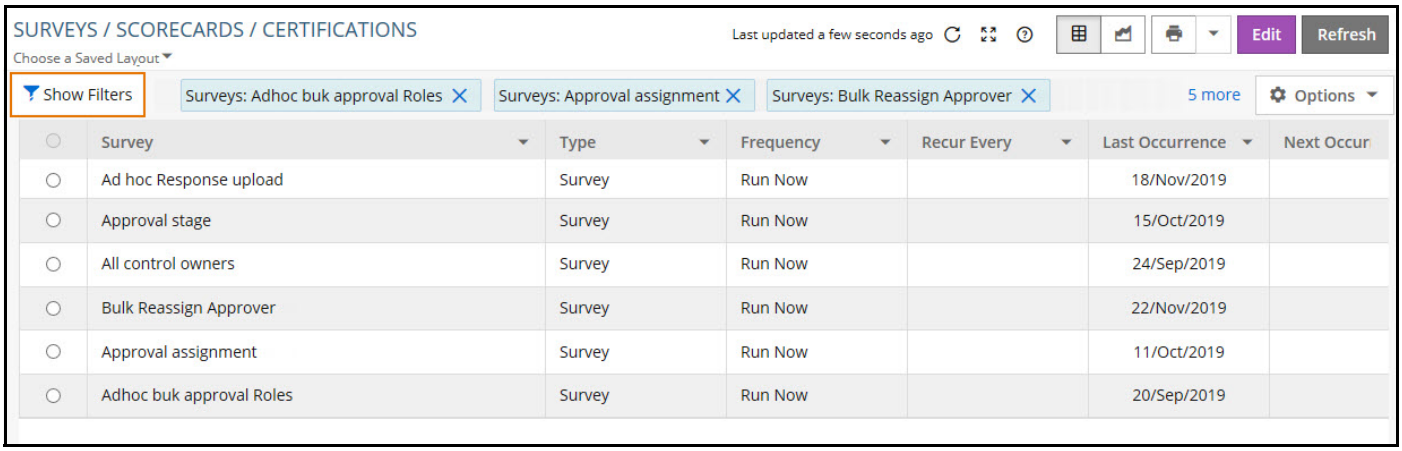

Figure 36 Surveys / Scorecards /Certifications Report

To refresh a survey, select the survey and click **Refresh**.

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Copying Survey Plan

You can copy published **Survey/Scorecard/Certification** forms to new ones so that it saves time and the users do not have to re-enter the same information again in the new form.

To copy a **Survey/Scorecard/Certification** form:

1. Navigate to the **Setup Surveys** infocenter.
2. Under **Reports** click **Surveys/Scorecards/Certifications**.

   The **Surveys/Scorecards/Certifications** report displays.

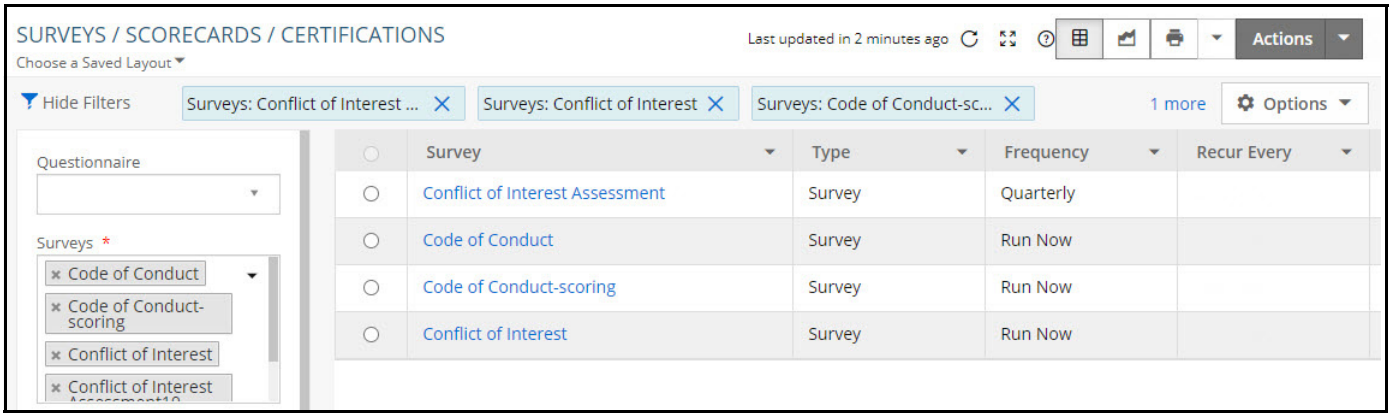

Figure 37 Surveys/Scorecards/Certifications report

3. In the **Survey** column, click on the survey name.

   The **Surveys/Scorecards/Certifications** form displays.

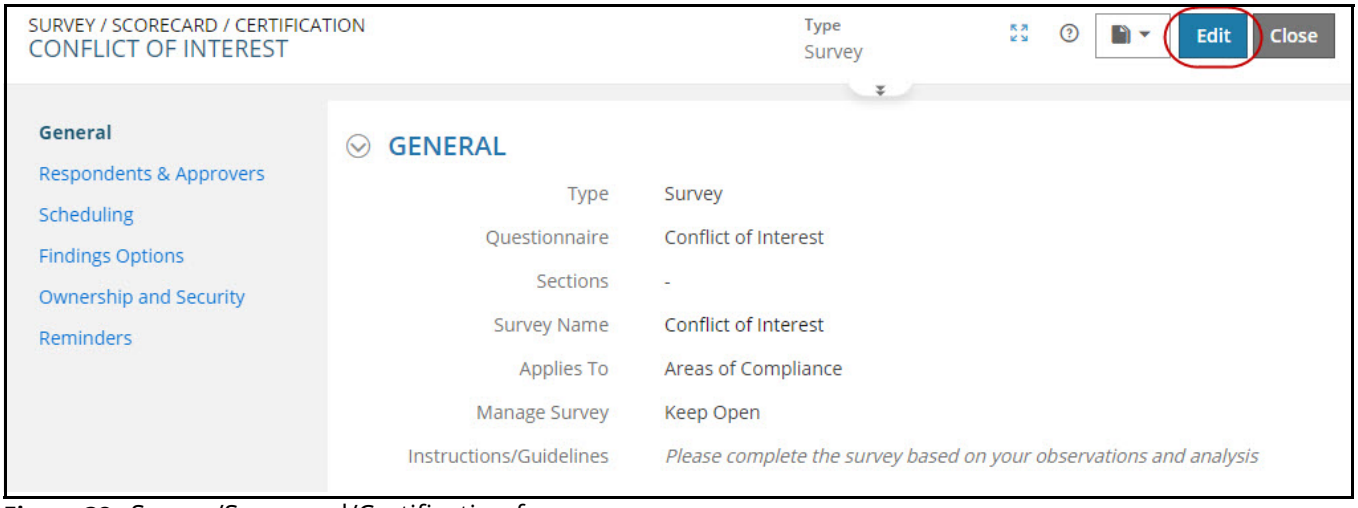

Figure 38 Survey/Scorecard/Certification form

4. Click **Edit**.

   The form opens in editable mode. The **Copy** button is also enabled.

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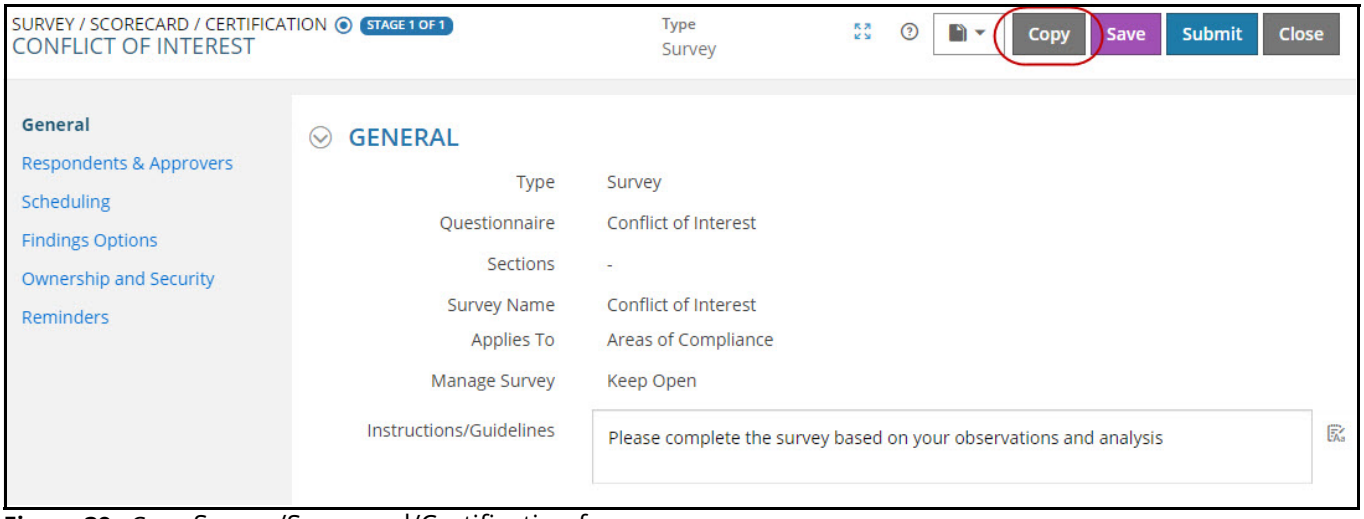

Figure 39 Copy Survey/Scorecard/Certification form

5. Click **Copy** to copy the form to a new form.

The existing form will be duplicated or copied to a new one with prefix Copy in the title and this form can be edited.

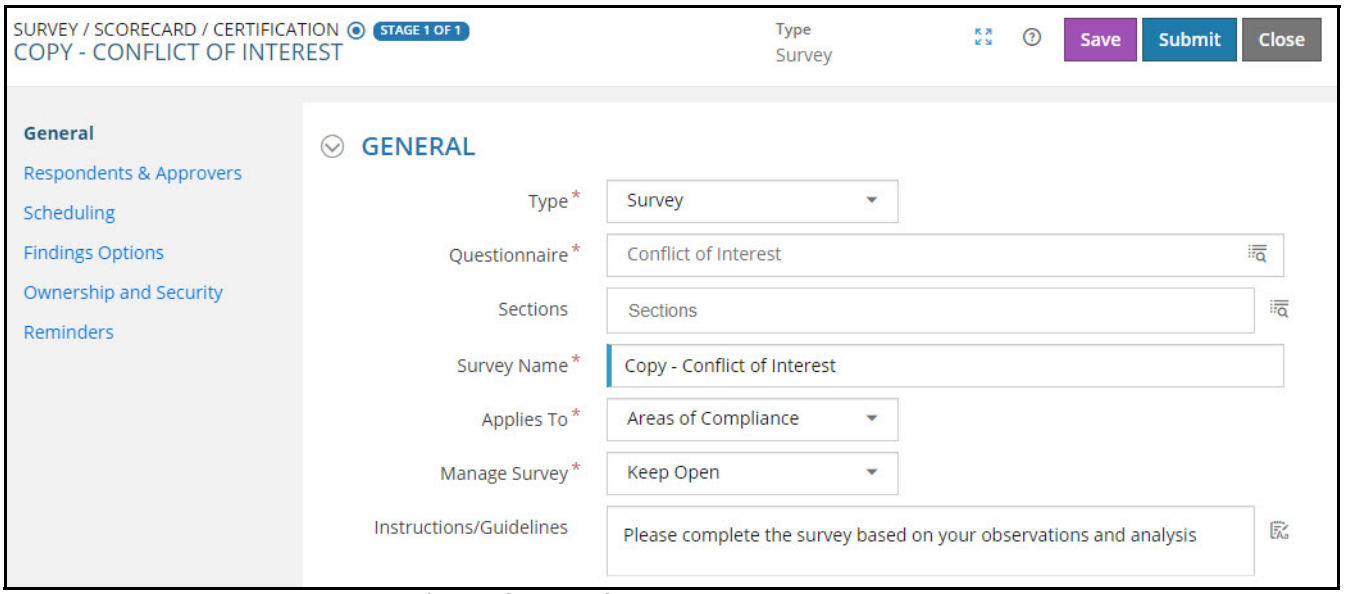

Figure 40 Copied Survey/Scorecard/Certification form

Notes:

- The Copy functionality is available only for the published surveys.
- The Date related fields such as Start Date, End By, Close Date and Next Scheduled Date will be cleared in the copied form.

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Canceling Surveys

You can cancel a survey which is scheduled to start in future. Both open and closed surveys (except **Run Now** frequency surveys) can be canceled whose start date is greater than or equal to current date and no response assignments are triggered.

Note: Only users with **QSM Cancel Published Survey** activity can cancel a survey.

To cancel a survey,

1. Navigate to the **Surveys/Scorecards/Certifications** report (Setup Surveys - Reports - Surveys/Scorecards/Certifications).
2. Select the survey to be canceled and on the top right corner click the **Actions** drop down.
3. Click **Cancel Published Survey**.

   The selected survey is canceled.

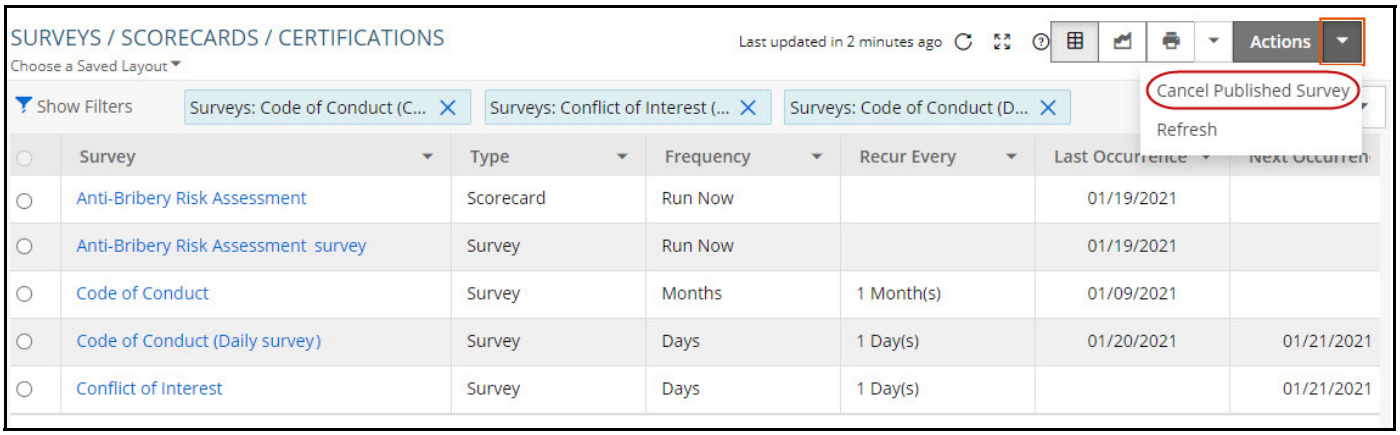

Figure 41 Canceling surveys

Once the survey is canceled, the status of the survey changes to 'Cancelled'. Response assignments will not be triggered after the survey is canceled. Any further changes cannot be made to a canceled survey and these surveys cannot be refreshed as well. If you select a survey which cannot be canceled (For example: **Run Now** frequency surveys) and select **Cancel Published Surveys**, you will receive a message 'Selected survey cannot be cancelled'.

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Bulk Reassignment

As an administrator, you can reassign the open assignments to different users. While reassigning, you can either change the ownership of the assignment or retain the current ownership.

To reassign,

1. Click **Setup Surveys** and click **Forms**.
2. From the **Reassign** menu, click **Bulk Re-assignment**.

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

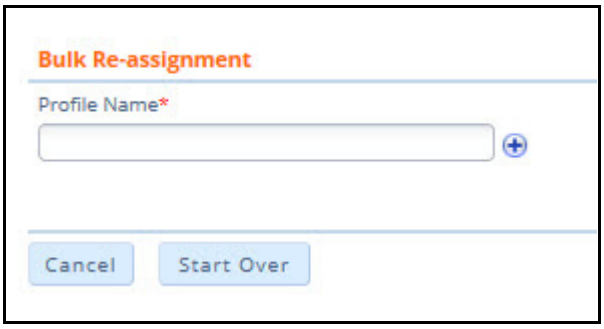

Figure 42 Bulk Re-assignment Form

3. Click the Profile Name icon and select the profile name.

   The following page appears.

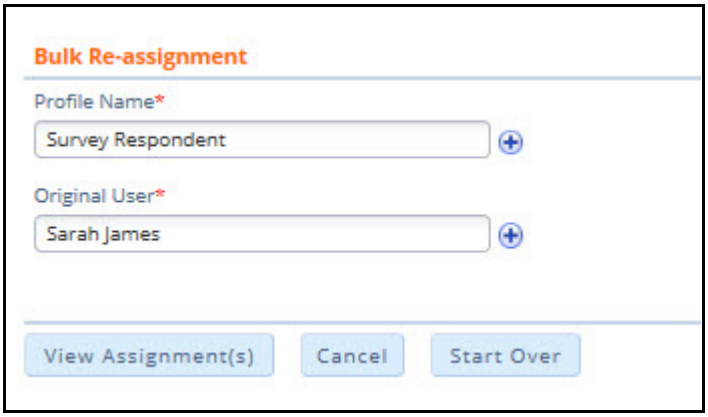

Figure 43 Bulk Re-assignment

4. Select the **Original User** and then click **View Assignment(s)**.

   The assignments of the selected user appear.

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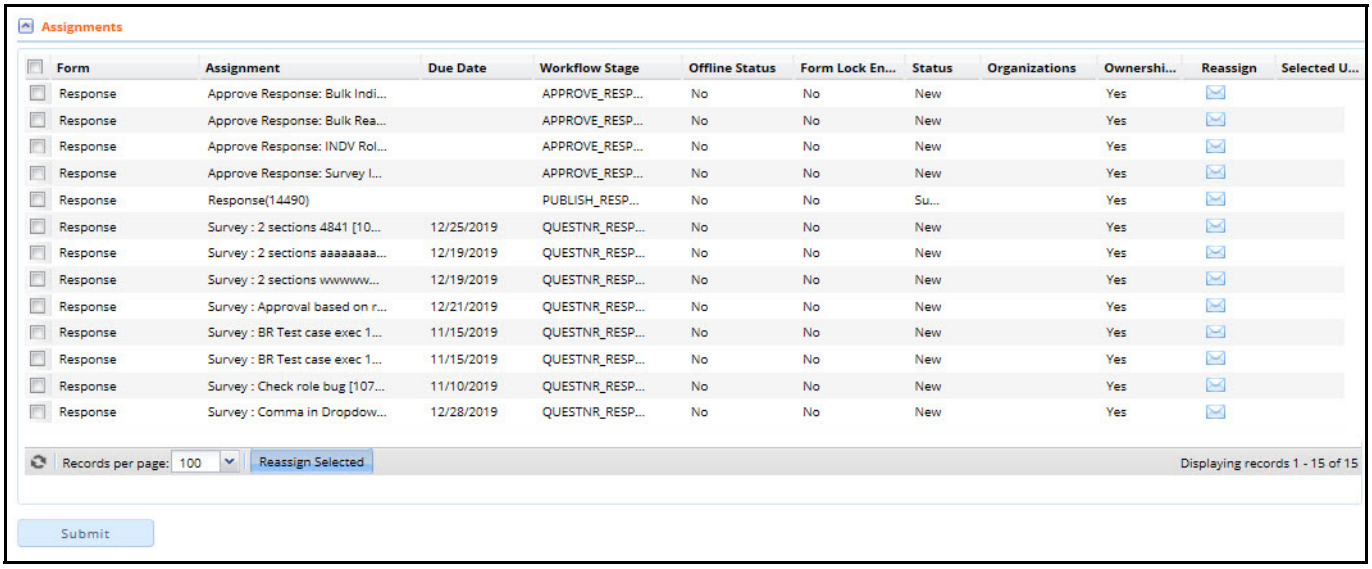

Figure 44 List of Assignments

5. Select the assignments that need to be reassigned, and then click **Reassign** or click the icon in the Reassign column.

   The **Reassign Users** window appears.

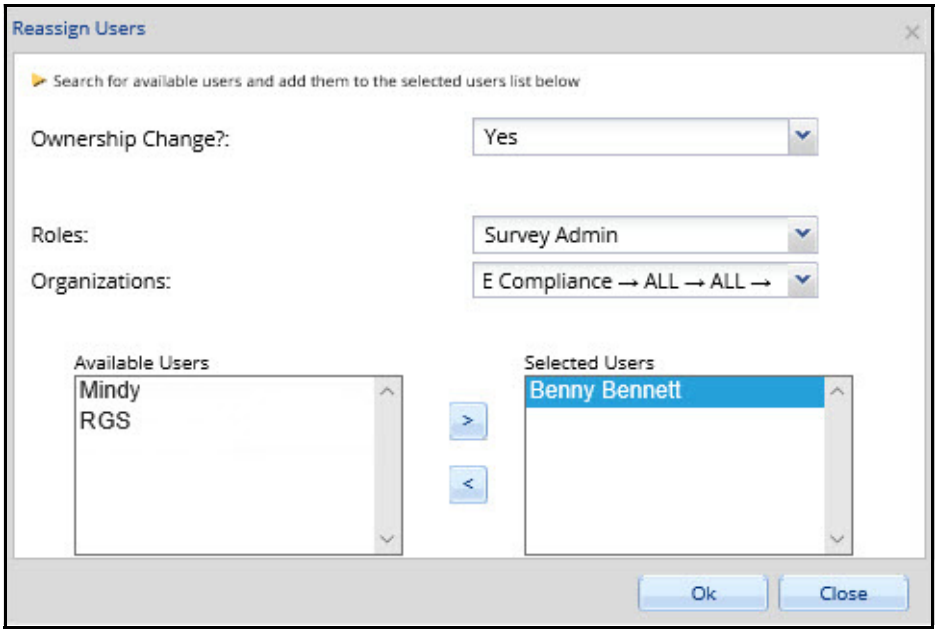

Figure 45 Reassign Users

6. Provide the required information as described in the following table.

Field	Description
Ownership Change?	Selecting **Yes** changes the ownership of the selected assignments to the reassigned user. Selecting **No** retains the ownership of the assignments with the original user.
Roles	Displays the user role to which the user belongs.

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Field	Description
Organizations	Displays the list of users belong to the selected role and organization. Select the user and then click the Right Arrow icon.
Available Users	Displays the available users for the selected organizations.
Selected Users	Displays the selected user. **Note:** Select the user in the **Available Users** section and then click the Right Arrow icon to move to the **Selected Users** section. Use the Left Arrow icon to remove a selected user.

There are following three types of assignments that can be considered for bulk reassignment:

- Respond to survey
- Approve response
- Clarify response

If the 'Transfer of Ownership' is set to Yes, an administrator can permanently reassign an approver's (Response Approver or Overall Approver) assignments. All open 'Pending Approval' assignments with the selected user will be listed. Administrator can choose multiple assignments and click **Reassign**. If the same response comes back to approver again for approval (for example: after respondent requests for clarification), then the assignment will go to the new approver.

If the 'Transfer of Ownership' is set to No, an administrator can temporarily reassign an approver's (Response Approver or Overall Approver) assignments. All open 'Pending Approval' assignments with the selected user will be listed. Administrator can choose multiple assignments and click **Reassign**. If the same response comes back to approver again for approval (for example: after respondent requests for clarification), then the assignment will go to the original approver.

Note: Users available for reassignment are those with **QSM Approve Response** activity and satisfy the conditions defined in the corresponding survey plans for approver selection. If there are multiple assignments chosen, then the conditions defined in each of the corresponding survey plans need to be met.

If the 'Transfer of Ownership' is set to Yes, an administrator can permanently reassign multiple respond to survey assignments of a user. All open 'Respond to Survey' assignments with the selected user will be listed. Administrator can choose multiple assignments and click **Reassign**. If the same response comes back from approver again for clarification (for example: after approver requests for clarification), then the assignment will go to the new respondent.

If the 'Transfer of Ownership' is set to No, an administrator can temporarily reassign multiple respond to survey assignments of a user. All open 'Respond to Survey' assignments with the selected user will be listed. Administrator can choose multiple assignments and click **Reassign**. If the same response comes back from approver again for clarification (for example: after approver requests for clarification), then the assignment will go to the original respondent.

Note: Users available for reassignment are those with **QSM Respond to Survey**, **QSM View Response** activities and satisfy the conditions defined in the corresponding survey plans for respondent selection. If there are multiple assignments chosen, then the conditions defined in each of the corresponding survey plans need to be met.

For details on creating Bulk Reassignment Profiles, refer to MetricStream Arno Release Spring '21 - Platform - Configuration Guide.

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Bulk Reassignment Profiles

There are certain profiles that are used to reassign bulk assignments or responses in the survey management program. The following table includes the profiles along with the description.

Profile	Description
Survey Respondent	This profile is used to reassign the response assignments which are at respondent stage.
Survey Response Approver	This profile is used to reassign the response assignments which are at approver/ overall approver stage.

Note: The users must have the **QSM Bulk Reassignment** activity assigned to get the list of users to reassign the responses.

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Response and Approval

The respondent can respond to the surveys/scorecards/certification.

Sections:

- Response Workflow
- Responding to Surveys/Scorecards/Certifications
- Responding to Surveys/Scorecards/Certifications Offline
- Approving Survey/Scorecard/Certification Responses
- Recalling Surveys/Scorecards/Certifications
- Canceling Survey Responses

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Response Workflow

The response workflow of **Surveys** is as follows:

- There are two approval stages, first level approval and overall approval.
- In first level approval stage, there can be multiple approvers. However, in overall approval stage, there can be only one approver.
- In both the approval stages, the approvers can request for clarification from the respondents.
- Both the approval stages are optional.

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Responding to Surveys/Scorecards/Certifications

The **Survey/Scorecard/Certification Response** form allows the respondent to respond to the surveys/scorecards/certification. Respondents can record and report the details of findings/issues. This setting is done during the plan creation stage. Based on the survey setup, you can also add collaborators and send the response to different users of selected organization to respond to the same survey/scorecard/certification.

1. Open **Surveys** and click **Respond**.

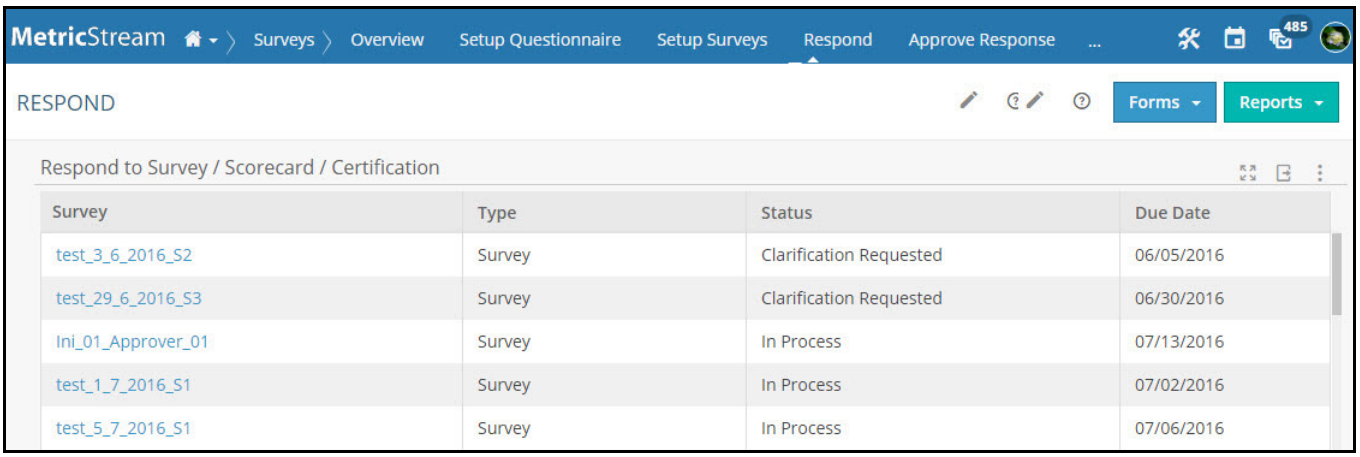

Figure 37 Accessing Survey /Scorecard /Certification Form

2. Click the **Respond To Scorecard** "Scorecard Name" / **Respond To Survey** "Survey Name" / **Respond To Certification** "Certification Name" assignment link.

   Alternatively, you can access from the **My Tasks** menu at the top of the home page.

   For more information, see My Tasks.

   Notes:

   - The current status of the assignment appears in the **Status** column correspond to the assignment name.
   - After you access the form, the lock functionality is enabled.

   For more information on lock functionality, see Lock Functionality.

To access Live Survey/Scorecard/Certification Assignments

1. From **Surveys**, click **Respond** and open **Respond To Live Surveys**.

Figure 38 Accessing Live/Survey/Scorecard/Certification Assignments

2. Click the required assignment link in the **Survey Name** column.

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These live assignments are always available and the respondents can respond to these surveys/scorecards/certifications whenever required. Once you respond to the live survey/scorecard/certification available in this infoport, the system generates the response assignment again for the same survey/scorecard/certification and the assignment is available in the **Respond To Live Surveys** infoport for responding until the end date specified at the time of survey setup.

Survey/Scorecard/Certification Response form

The **Survey Response** form allows you to respond to the survey questionnaire.

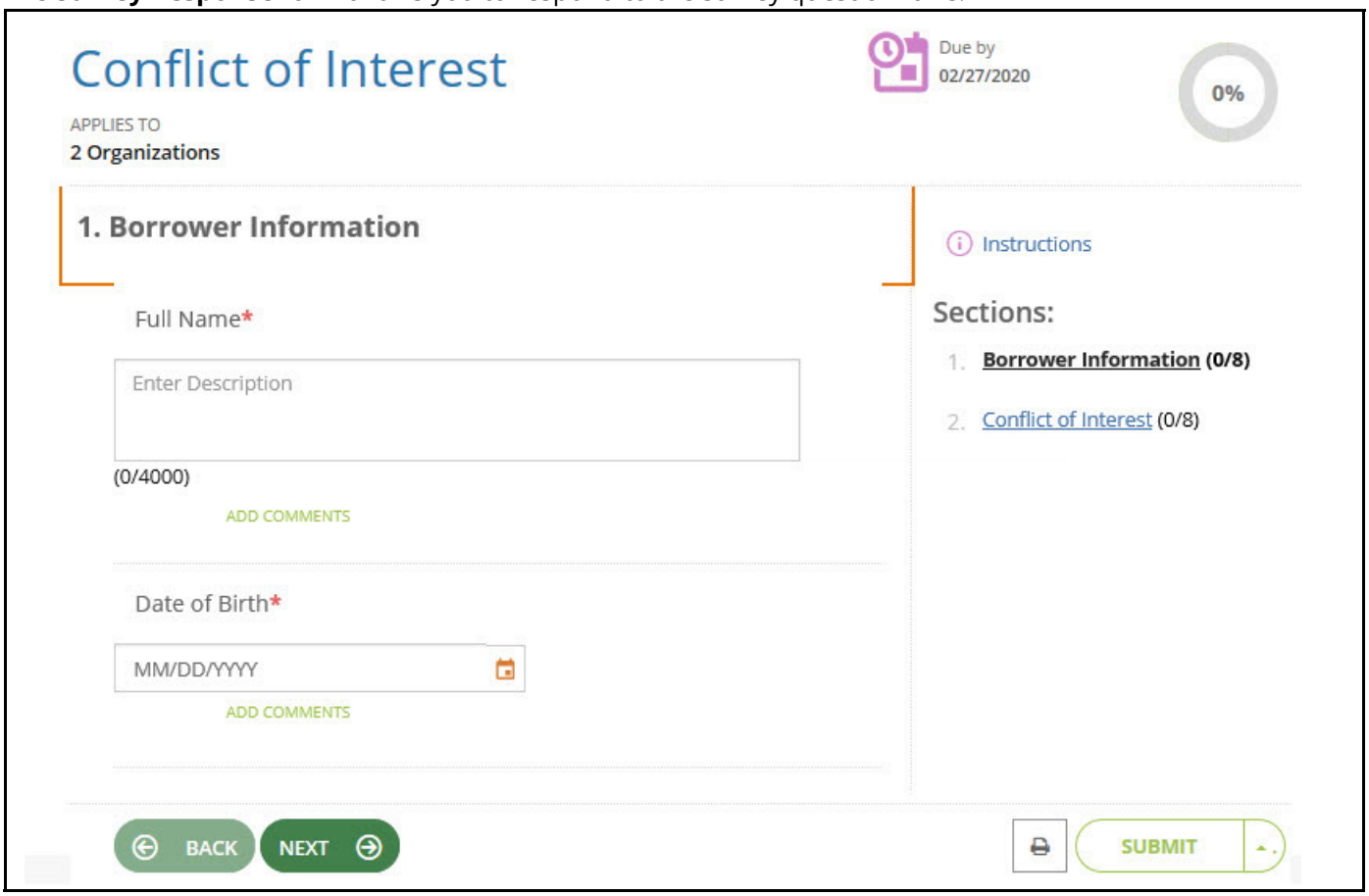

Figure 39 Survey Response section

The **Scorecard Response** form allows you to respond to the scorecard questionnaire.

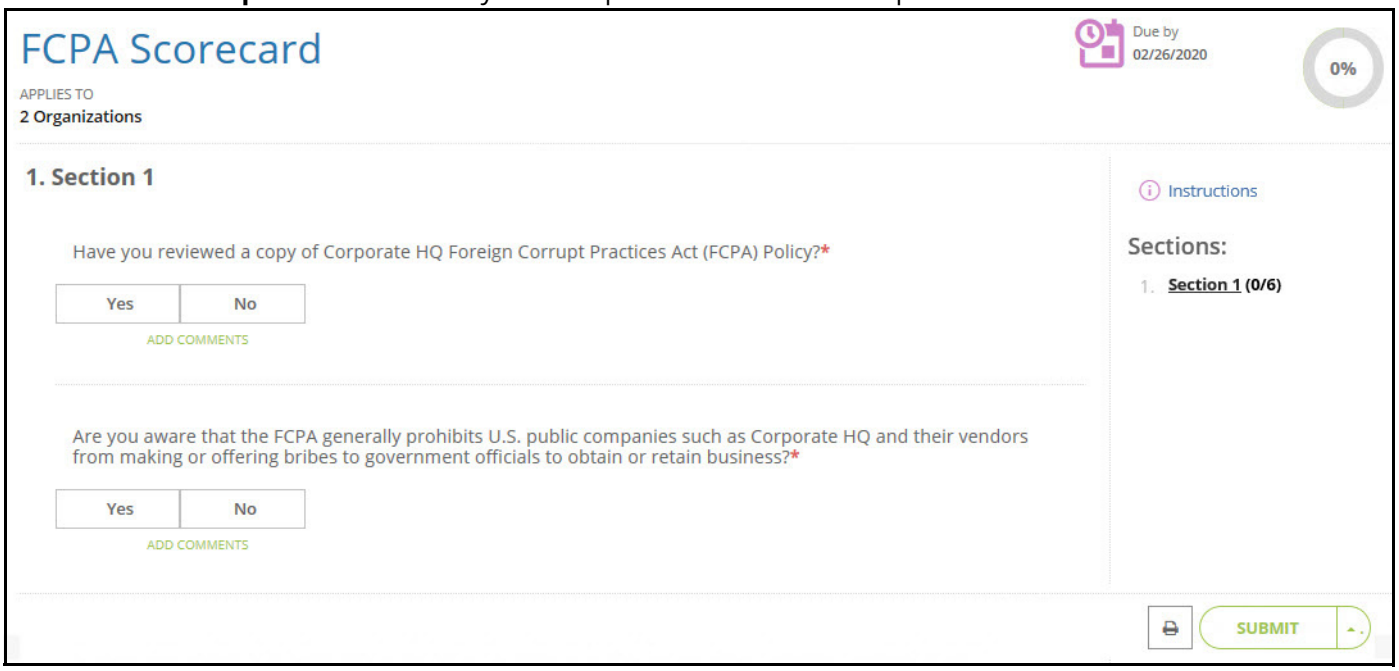

Figure 40 Scorecard Response section

The **Certification Response** form allows you to respond to the certification questionnaire.

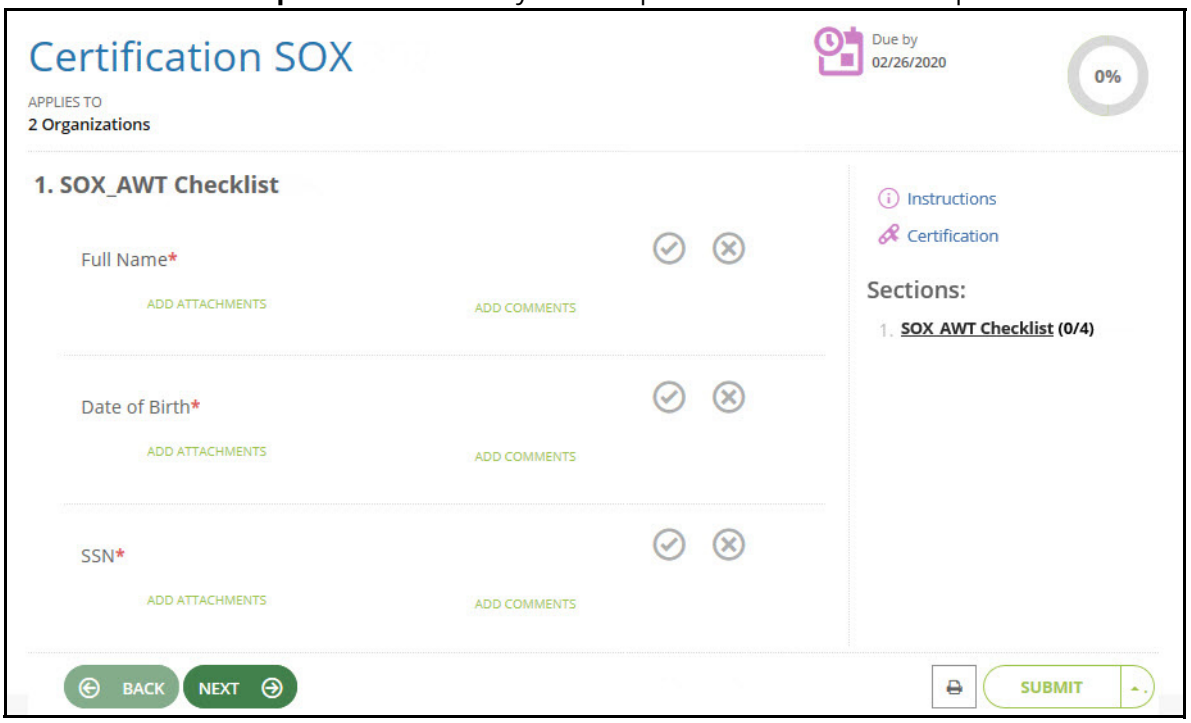

Figure 41 Certification Response section

Header

The header displays the name, due date and related information about survey/scorecard/certification. The header section of the Respond To Survey/Scorecard/Certification form varies based on the type of questionnaire you are responding to.

For example, if you are responding to survey/scorecard based questionnaire, the header section displays the Survey/Scorecard: "Survey/Scorecard Name ". This is available only when the **Show Scores in Response For** field

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is set to Respondent or Approver or both in the **Survey/Scorecard/Certification** form while initiating the survey/scorecard/certification assignments.

After you respond to the questions, based on the responses, the overall score and overall grade in the header section is updated with the overall score and grade.

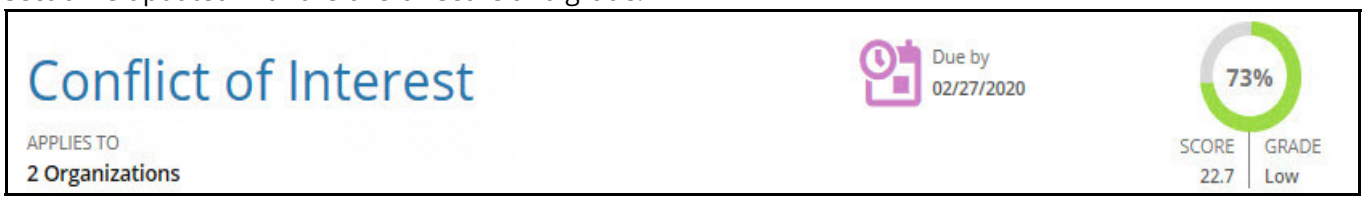

Figure 42 Header Section

Note: Based on the scope defined in the **Applies to** field, if the distribution type is **Individual Item,** the first two or three fields defined for the specific object is displayed in the header.

Field	Description
Due by	The date by which you must respond to this survey/scorecard/certification appears.
Reporting Period *(this field appears only if the initiator selects the value in the* **Reporting Period** *field during survey/scorecard/certification initiation or based on the frequency selected)*	Displays the time frame for which the current survey/scorecard/certification is done. For example, if the survey is initiated in the month of August, the initiator wants to get the responses for the previous quarter (Q2) or Q1 based on the setup.
Percentage Complete	Percentage completion of mandatory questions. The percentage gets updated as and when you respond to a mandatory question.

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Certification Results Report

The **Certification Results** Report allows you to view the response details of the linked sub-certification. This report displays the details such as certifier, organization details, certified on, and the status of the response certification for different organizations.

To view the details, click certifier name. The **Response** form opens in non editable mode.

SUB CERTIFICATION RESULTS

Certifier	Org Level	Certified On	Status
Cody Carlson	ENTERPRISE,LOB,LOB Level1,LOB Level2,Governance,Governance Level1,Governance Level2,System Admin,System Access		In Process
Joby Johnson	ENTERPRISE,LOB,LOB Level1,LOB Level2,Governance,Governance Level1,Governance Level2,System Admin,System Access		In Process
Mindy Mo	ENTERPRISE,LOB,LOB Level1,LOB Level2,Governance,Governance Level1,Governance Level2,System Admin,System Access		In Process
Ramon Ricardo	ENTERPRISE,LOB,LOB Level1,LOB Level2,Governance,Governance Level1,Governance Level2,System Admin,System Access		In Process

Close

Figure 43 Certification Results Report

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Questions

When you open the Survey / Scorecard / Certification form, the Instructions page displays and when you click the **Begin Survey**, the questions of the Survey appear. This section displays the sections and related questions. The mandatory questions are marked with red asterisk.

The questionnaire may contain the conditional questions, which appear based on the condition defined at the setup level to display the conditional question. You can provide comments for each question in this section. You can access the sections using the **Sections** available in **Response** form.

Figure 44 Questions section

Field	Description

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

Field	Description
Sections *(displays on the right side of the* **Response** *form, even on the landing page)*	The section of the questionnaire to navigate and respond. The **Sections** displays all the configured sections of the Setup Survey form as individual links. When you access the form and click the **Begin Survey** link, by default, it displays the first section and its related questions. To navigate to a different section, click the link under **Sections**. You can also use the options available below the questions to navigate to the previous and next sections. The available options are: **1.** Click **Next** to move to next section. **2.** Click **Back** to move to the previous section. **Notes:** - If there is only one section or if you are viewing the first section of the questionnaire, the **Back** option is disabled. - If you are viewing the last section of the questionnaire, the **Next** option is disabled. Beside the name of each section, the number of total questions in the section and the number of answered questions display within parentheses. If you have answered all the mandatory questions in a section, a check mark displays beside the section name. Also, you can hover over the section name to access additional information such as grade, scoring information and so on.
Weighting	The weight of the section. This value is populated from the **Questionnaire** form. This field appears in the response form for the respondent, if **Respondent** option is specified in the **Show Scores in Response For** field in the **Survey/Scorecard/Certification** form.
Weighted Score	Based on the response to the questions of a section, the weighted score for the section is displayed. This field weighting appears in the response form for the respondent, if **Respondent** option is specified in the **Show Scores in Response For** field in the **Survey/Scorecard/Certification** form. For more information on scoring logic, see Scoring Logic.
Grade	System populated grades for the section. The value is populated based on the responses that you specify for each question in the section. For more information on scoring logic, see Scoring Logic.
Question	Question of the survey, provide your response for the question. Based on the response for the questions, conditional questions are displayed if any.
Score	Score of the questions. System displays the score based on response that you enter. System calculates the value based on the scoring logic specified for this question in the **Questionnaire** form. This field weighting appears in the response form for the respondent, if **Respondent** option is specified in the **Show Scores in Response For** field in the **Survey/Scorecard/Certification** form. This is applicable only for scorecards and scoring enabled survey questionnaires.

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Field	Description
Weighting	Weight of the questions. Click weight icon to view the section-question level score information.
Weighted Score	Displays the weighted score for the current question. This field is available only when the **Show Scores in Response For** field is set to **Yes** in the **Survey/Scorecard/Certification** form while initiating the survey/scorecard assignments. This is applicable only for scorecards and scoring enabled survey questionnaires.
Action Plan *(appears only if you select a response that requires action)*	Displays all the actions that are defined for the responses for which an action is required as specified in the **Responses that Require Action** field of the **Questionnaire** form. If you have selected a response that requires action, while submitting the form the system displays an alert message. Click **OK** and review the action plan details and resubmit the form.
Grade	The system populates the grade for this question. The value is populated based on the responses that you specify for each question in the section. Each grade carries a different score which is calculated the final score. For more information, see Scoring Logic.
Description	The instructions/guidelines to answer the question. The value is populated from the **Survey/Scorecard/Certification** form.
Add Comments	Type the comments regarding the response to a question.
Certification Certification details appears only if you are responding to the certification type of questionnaire. You can provide the certification details. Below the certification link, the certification details appear. The values are populated from the questionnaire form.	
Certify	Certification status for the questionnaire. The available options are: • **Yes**: Allows you to comply with the standard, and make the response as certified. • **No**: You are not complying with the standard, and making the response as not certified.
Certified By	Appears logged in user name.
Comments	Comments regarding the certification.

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Tabular Response Templates

Navigate to the section which contains the question with tabular response type.

The **Response** form appears.

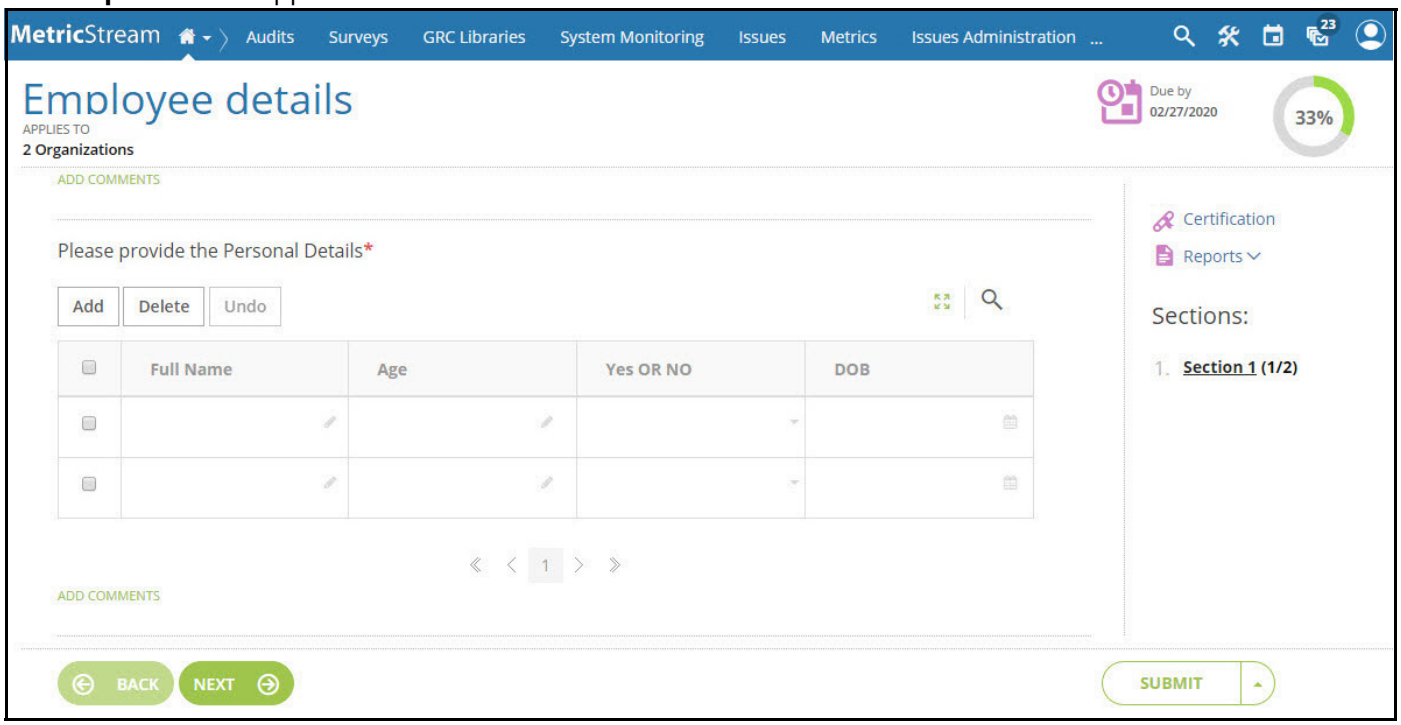

Figure 45 Tabular Response

For more information on Tabular Response template, see Accessing Tabular Response Template Form.

To provide the data for the response spreadsheet, refer to the below table.

Column	Description
Header/Question	View the name of the Tabular Response template. The columns that appear in this tabular response vary based on the configuration done by the initiator during the tabular response template creation.
Buttons This is a multi-row region and you can add any number of rows.	
Add	Add a new row.
Delete	Select the row that you want to delete and click **Delete**.
Undo	Undo the changes made.

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Column	Description
Type	The columns can be any of the following types: • **Data Lookup**: You can select relevant value by clicking the Magnifying icon next to the column. After you click the Magnifying icon, the related list window appears. Select the required value from the window and click the Close icon. **Note:** You can select only one value at a time. • **Date**: You can select date from the calendar for the column. • **Dropdown**: You can select any one of the values from the drop-down list as the response for the column. You can also use the filter option to filter the required values. To search for the required option, type the word or letter that you want to search in the **Filter** field. The options based on the entered filter parameter display. • **Number**: You can enter only numbers as the response for the column. • **Text**: You can enter only text as the response for the column.
Add Comments	Comments regarding the response to a question. To enter comments, click the **Add Comments** link next to the response field. The comments field appears below the response field.

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Collaborate Option

Selecting the **Allow Collaborative Response** in the **Respondents & Approvers** section of the Setup Survey form, you can add users as collaborators for the responses.

Once you add the users, select **Collaborate** in the **Action** field and submit the form. The users that you select here receives the same questionnaire that is assigned to you for responding.

Upon collaborating multiple users and when a collaborator opens the assignment to respond to the questionnaire, the assignment is locked for the other users.

For more information on lock functionality, see Lock Functionality.

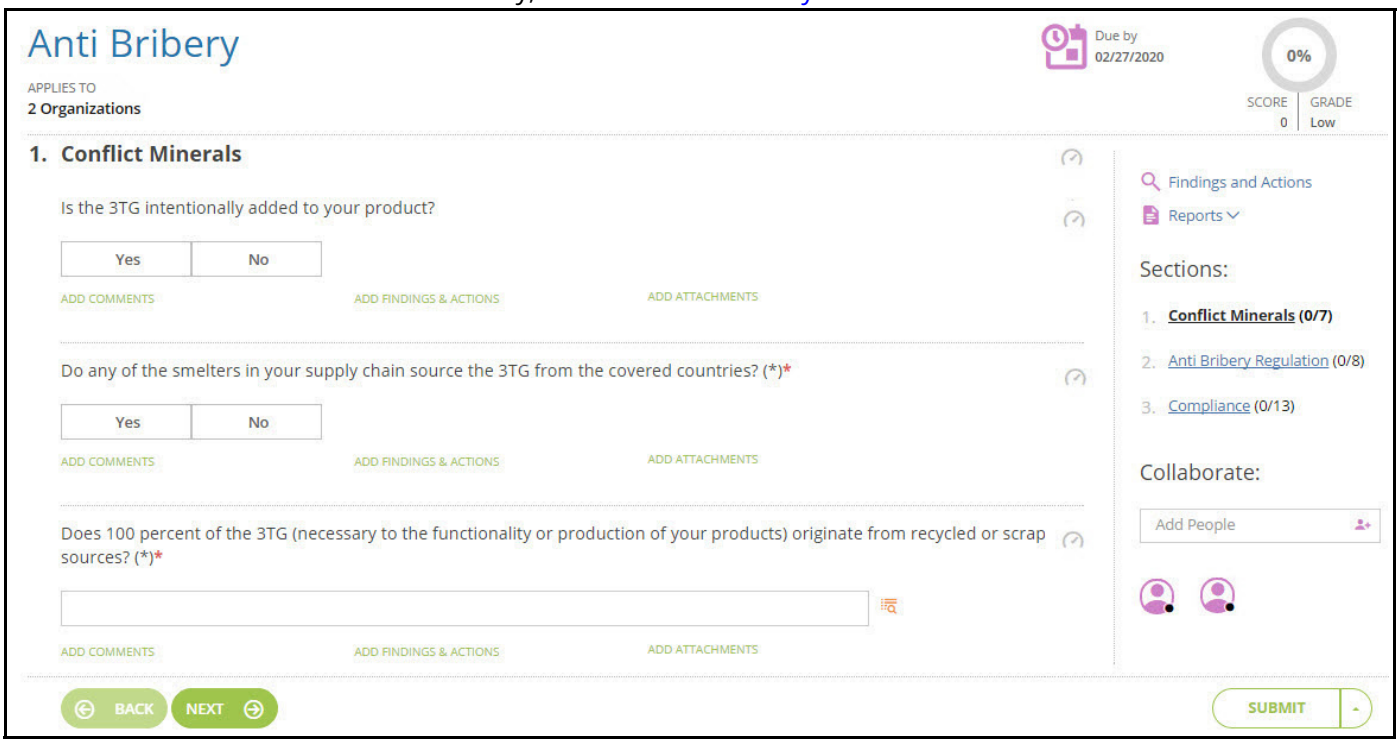

Figure 46 Collaborate Users

After the active collaborator submits the form, other users can work on the form and send their responses. If the current collaborator removes a collaborator and resubmits the form, the assignment for the collaborated user is withdrawn by the system and the assignment is made unavailable to respond to the survey/scorecard/certification questionnaire.

Notes:

- If user_1 collaborates survey response and when user_2 opens the collaborated survey response, response form populates the previously entered responses by user_2, if user_2 had responded for the same questionnaire previously with same survey plan and has **Prepopulate** option enabled.
- If User 1 collaborates survey response and when user 2 opens the collaborated survey response, Prepopulated response is populated only for the empty sections.

Additional Information

The **Additional Information** lists all the reports that are configured in the system. These reports provide additional context to users responding to the assessments. Currently, depending on the scope defined in the **Applies to** (object type like Third Party) during survey setup, an API can be called which in turn returns a list of reports that are registered. These reports are displayed within the response form for the select object.

Note: API is called with parameters that uniquely identify an object.

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Reassign

By selecting the **Allow Response Reassignment** in the **Respondents & Approvers** section of the Setup Survey form, you can add the users to reassign your current response assignment.

In the Response form, once you add the users, select **Reassign** from the submit menu. The assignment is removed from the current user's queue and is added to the reassigned user's queue. The new user who receives this assignment can respond to the questionnaire, and submit the form within the due date specified.

Findings and Actions

The **Findings and Actions** is available only when Respondent is selected in the **Findings Can Be Added By** field while creating the Survey / Scorecard / Certification plan.

By clicking the **Findings and Actions** link, you can add the findings and issues which are noted at the time of responding to the current questionnaire.

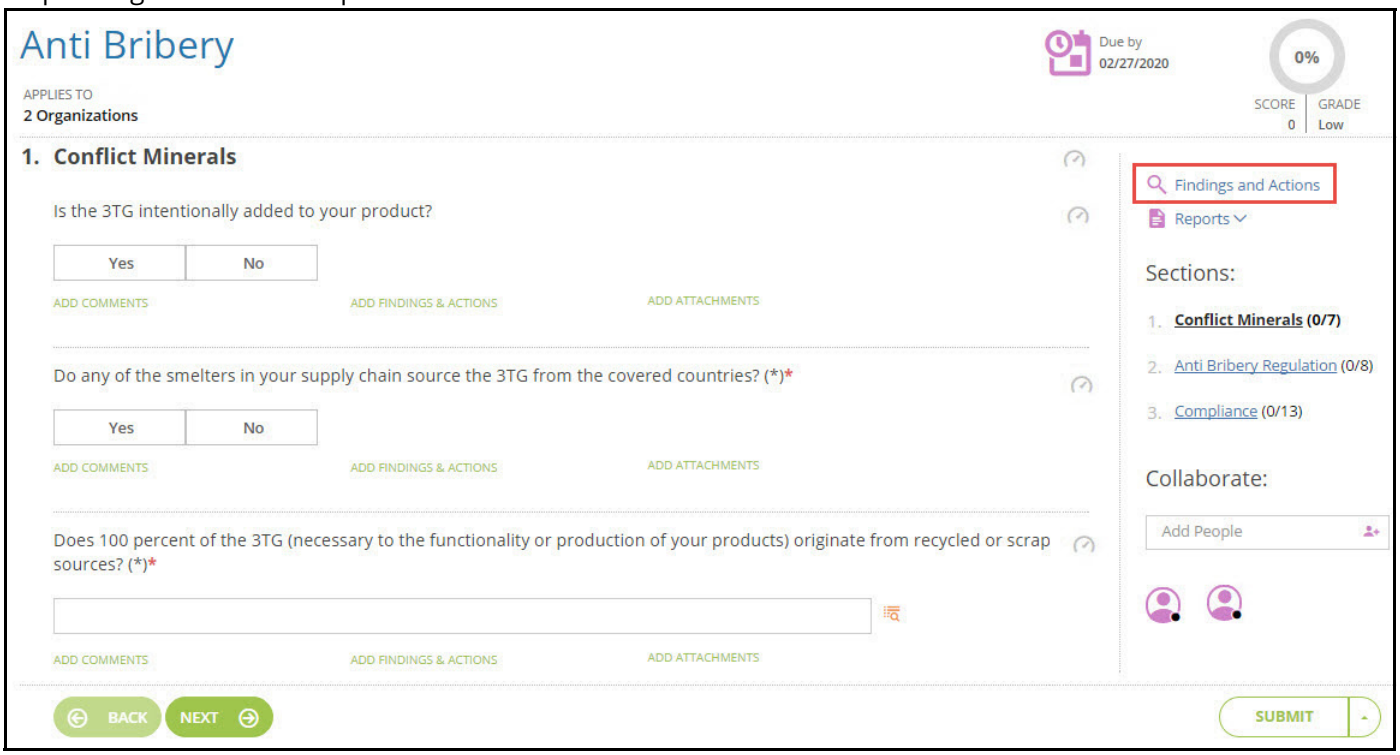

Figure 47 Findings and Actions

To add issues, click the **Findings and Actions**. This is also available at the questions level.

The **Findings/Issues** form allows you to trigger an issue to **Issue Management**. The surveys/scorecards are always applicable to an item type. The findings that you add in the **Findings / Issues** form is automatically mapped to the applies to item in the **Related To** section of **Issue Management**.

1. In **Adding Finding/Issue** section, add finding details.

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a. Click **Add** and click **Add Issue**. The finding-related fields appear.

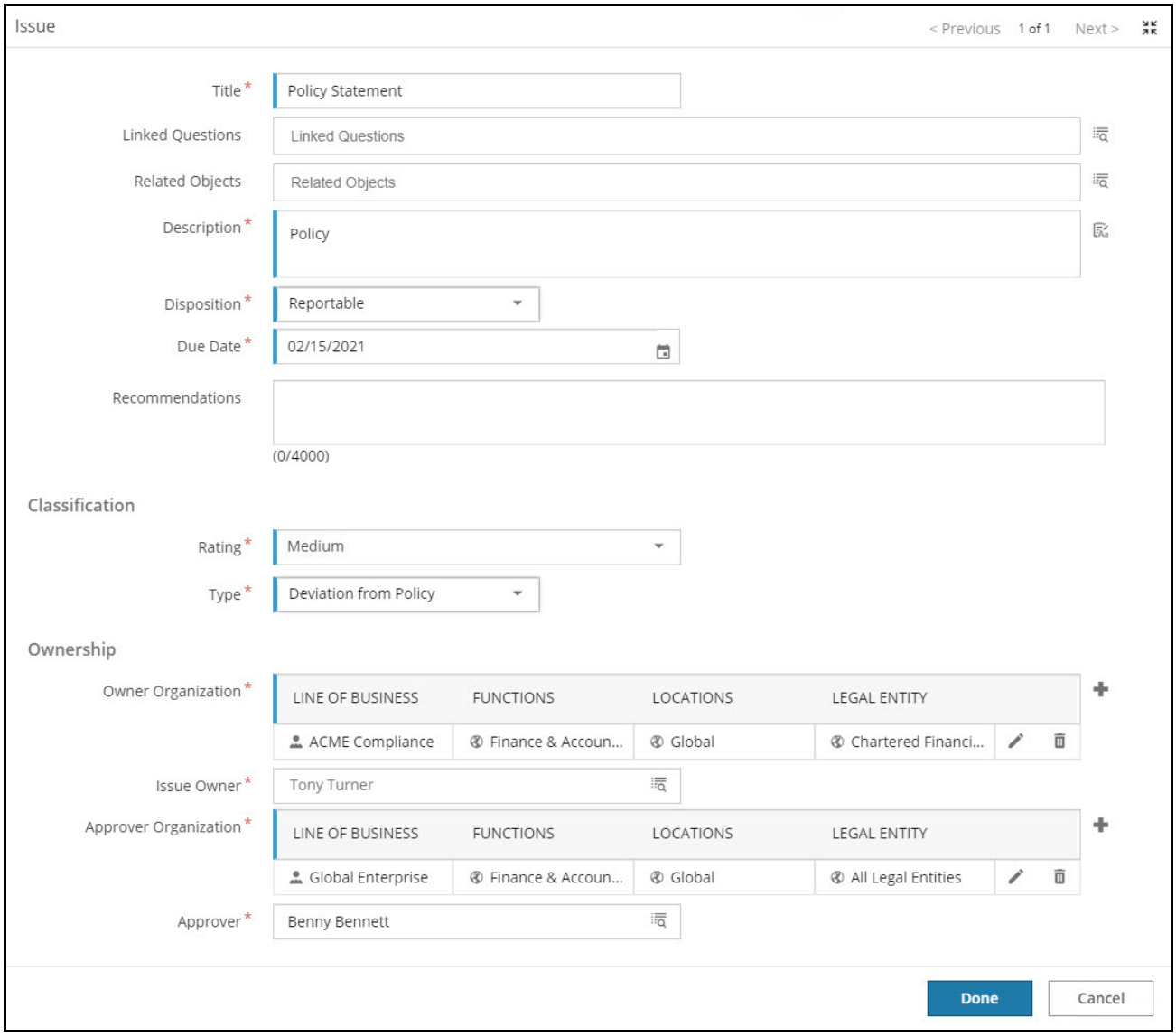

Figure 48 Finding Fields of Findings/Issues section of Survey/Scorecard/Certification Form

Field/List Name	Description
Title	The name of the finding or issue noticed during responding to questionnaire.
Linked Questions	One or more questions to which the current issue can be associated with.
Related Objects	The name of the related objects associated with the issue.
Description	Description about the finding. This is a free-text entry field.

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Field/List Name	Description
Disposition	Select one of the following issue type: • **Reportable**: The issue must be addressed immediately. • **Reportable (already addressed)**: The issues are serious and must be reported, but not triggered through ISM. • **Non-reportable (Discussion Only)**: The issue is not serious and can be discussed internally. **Note:** Surveys triggers the Issue to **Issue Management** only when you select the option **Reportable** in this field. The reportable issues are available in the **Respond To Issue** infoport.
Due Date *(appears only if you select the value* **Reportable** *in the Issue Resolution field)*	Enter the date by which the issue must be addressed. You can enter any future date. **Note:** Use MM/DD/YYYY format to enter the date.
Recommendations	Provide your recommendation regarding the finding.

2. From **Classification** section, select the rating and the type of the issue.

Field/List Name	Description
Rating	Rate the recorded finding. Rate the finding as Critical, High, Medium and Low based on the severity of the issue.
Type	An organization can have different categorization for findings. You need to select the relevant finding type from the drop-down list.

3. From **Ownership** section, select the owners of the issue.

Field/List Name	Description
Owner Organization	Select the organization responsible for maintaining this issue. This is not the set of organizations that this issue applies to.
Issue Owner *(appears only if you select the value* **Reportable** *in the Issue Resolution field)*	Select the owner of this issue. On form submission the selected issue owner receives an assignment to review the issue. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.
Approver Organization *(appears only if you select the value* **Reportable** *in the Issue Resolution field)*	Select the organization to which the approver belongs to.
Approver *(appears only if you select the value* **Reportable** *in the Issue Resolution field)*	Select the approver for the current issue. On submission of the issue, the selected approver receives an assignment to approve the issue. **Note:** If the selected owner organization structure is a child level dimension, then the system lists all the users associated with the selected organization structure including the users associated with the parent of the selected level dimension.

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4. In the **Adding Actions** section, the **Findings/Issues** form allows you to add actions.

   You can add actions for a finding in the second node. You can add multiple actions to the same findings in this node. Each action item is assigned to the action owner to take action on the finding.

   To add action details, click the **Add** icon. The action-related fields appear in a new window. To work on the action fields, refer to the following section.

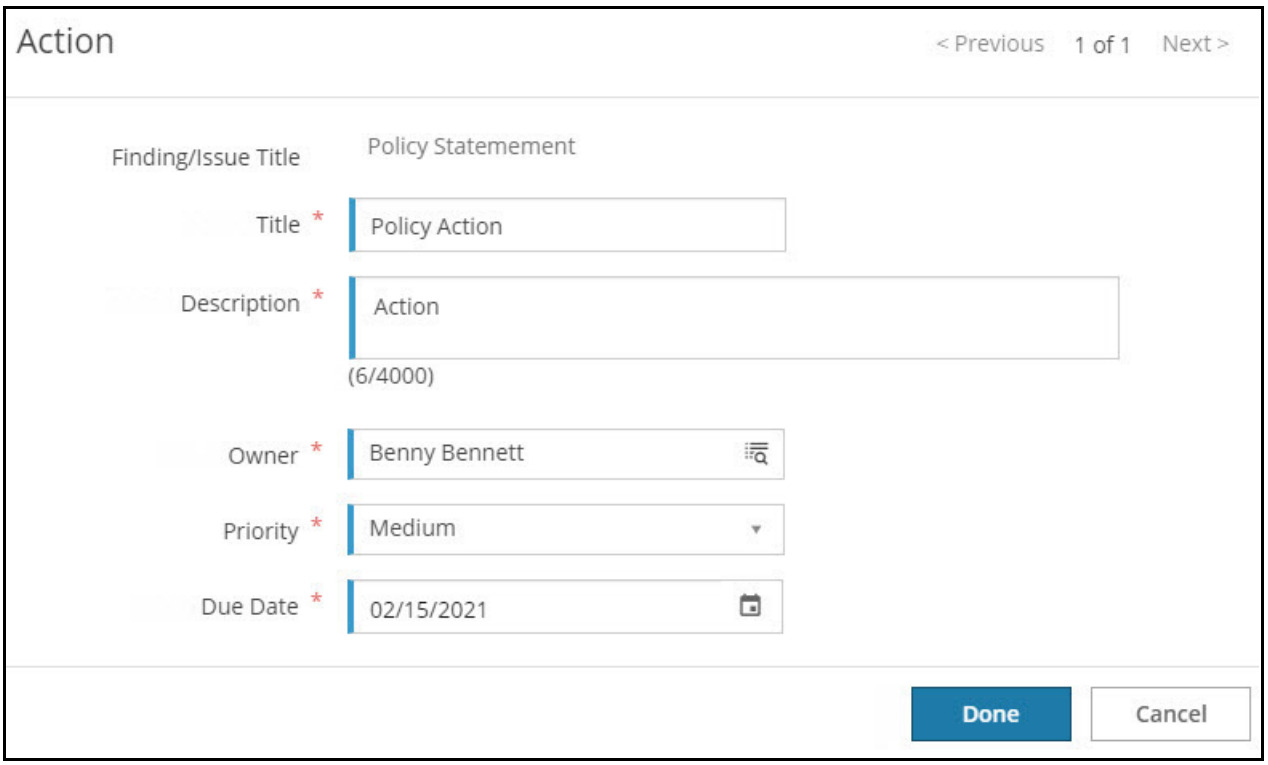

Figure 49 Action Fields of Finding/Issues of Survey/Scorecard/Certification Form

Field	Description
Finding/Issue Title	The name of the survey/scorecard/certification appears.
Title	Action title for the issue noticed during responding to questionnaire.
Description	Description about the action.
Owner	Select the required action owner. **Notes:** - On form submission, the selected action owner gets an assignment to work on the action item. - All the users with the activity **ISM Implement Action** are displayed.
Priority	Select the priority of the action. You can select the priority as High, Medium and Low based on the severity of the action.
Due Date	The date by when the action is due. **Note:** Enter any date which is equal to or lesser then the issue **Due Date**.

After entering all the required details in the form, click **Submit** to submit the form. For more information on the form toolbar icons, see Elements of a Sample Form.

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5. Upon **Survey / Scorecard / Certification** form is completed, you can perform following actions on the form:
   - Click **Print** icon to print the form before submitting for approval.
   - Click the **Submit** button, to submit the form.

   a. Click **Collaborate** to collaborate with users.
   b. Click **Reassign** to reassign the **Response** form to selected user.
   c. Click **Save** to save the information.
   d. Click **Close** to close the PDF form.

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Responding to Surveys/Scorecards/Certifications Offline

After the **Respond to Survey/Scorecard/Certification** form is submitted by the initiator, the selected set of respondents receive an assignment to respond to the Survey /Scorecards /Certification. You can access the assignment online and respond to the Survey /Scorecards /Certification or choose to use the **Download Response** report to download the response in MS Excel format, and provide your responses offline.

After filling the responses, use the **Response Upload** form to upload the response details for the Survey/ Scorecards/Certification.

Notes: Following are some of the limitations while responding to the surveys offline:

- You cannot add issues while responding to a survey offline.
- When you download the excel that has been updated using the collaborate option, you will not see the pre-filled data.

You can download and respond to any survey offline. The following table captures the status and behavior of the survey in the offline-mode:

Response Status	Respondent views this when:	Description
In Process	• A Fresh Survey is assigned • Existing Survey is Reassigned	The excel download does not contain any data/ attachments. A blank file with the questions is available for your response.
Reopened	A closed survey is reopened.	The pre-filled excel file that contains data that the previous respondent had added. In addition to this, if there are attachments or supporting documents, they will also get downloaded.
Clarification Requested	A response has been assigned back requesting for clarification.	All the responses that you had earlier entered along with the attachments/supporting documents get downloaded. Additionally, you can view the comments from the approver, for which you must provide clarification.

Note: This functionality is not supported for live surveys.

Downloading and Working on Response Assignments

To work on a response assignment in your queue offline, follow these steps:

1. From **Survey**, click **Respond**
2. Click **Reports** and click **Download Response**.

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The **Download Response** report is displayed:

Response ID	Survey	Type	Due Date	Response Approver	Response Status
100111	AS1	Survey	05-Aug-2018	Tony Turner	In Process
100109	DU Questionnaire	Survey	05-Aug-2018		Reopened
100107	Reopen_Role1	Survey	05-Aug-2018		Reopened
100105	RFC_OverallApprover	Survey	05-Aug-2018	Tony Turner	Clarification Requested
100103	RFC_Approver	Survey	05-Aug-2018	Tony Turner	Clarification Requested
100095	FridayReassign	Survey	05-Aug-2018		In Process
100093	Reassignchecknew	Survey	05-Aug-2018		In Process

Figure 50 Download Response Report

3. Select one or more responses, and click **Download**. Download multiple response and the files are saved in your local drive zip format.

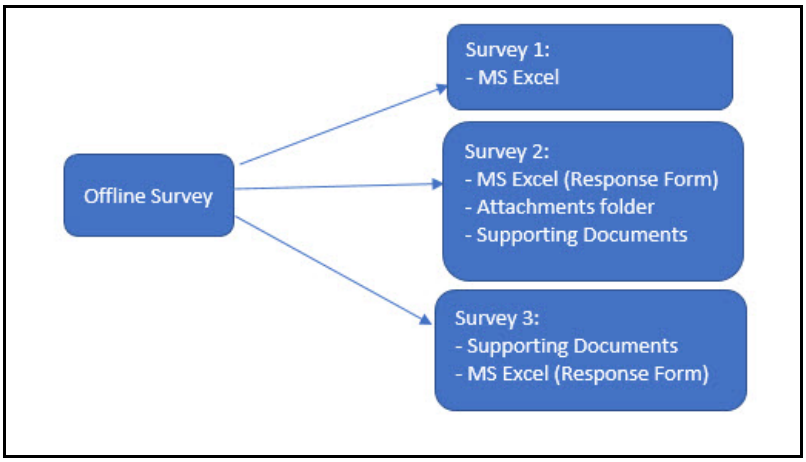
Notes:

- If you are facing problems downloading the excel file, see Troubleshooting - Downloading Response File.
- You must enable the macros on your system if they are disabled. To do so, see Enabling Macros.

If you download three response files such that:

- Response 1 contains just the downloaded excel
- Response 2 contains the downloaded excel, attachments folder and supporting documents folder
- Response 3 contains downloaded excel and supporting documents folder

Once you download the zip file to your desktop, the files/folders are organized as follows:



4. Click **Save** to save the response questionnaire.
5. Access the saved response excel file from your computer.
6. Provide responses for all the mandatory questions.

The question that is defined during questionnaire creation appears. The conditional questions are also displayed directly in the Excel template, and you need to provide the response for the conditional question.

You can enter comments, if any. To add comments:

a. Click **Comments** next to the Question.

b. Type the comments.

If the question is of tabular response type, to add the responses in the table:

c. Click the **Click On** below the Answer to Spreadsheet text. The Spreadsheet appears.

d. Provide the response for each column. You can add rows and delete rows using the **Add Rows** and **Delete Rows**.

Note: The tabular response questions are displayed in separate worksheet. After you click **Click On**, the respective tabular response template present in a different worksheet appears.

7. Click **Save** to save the responses. Click **Close** to close the offline response file.

Notes:

- For more information on responding to Survey and scorecards, see Questions.
- For more information on responding to tabular response, see Tabular Response Templates.

Uploading Offline Responses

After you complete responding to the survey offline, you can upload the responses using the **Response Upload** form. After you upload the response using this form, the online response task assignment that is available in **My Tasks** menu and respective infoports of the **Respond** infocenter is withdrawn and made unavailable to the respondents.

1. From the **Respond** tab, click **Forms**.
2. Click the **Response Upload** link.

   The **Response Upload** form allows you to upload the response for a survey.

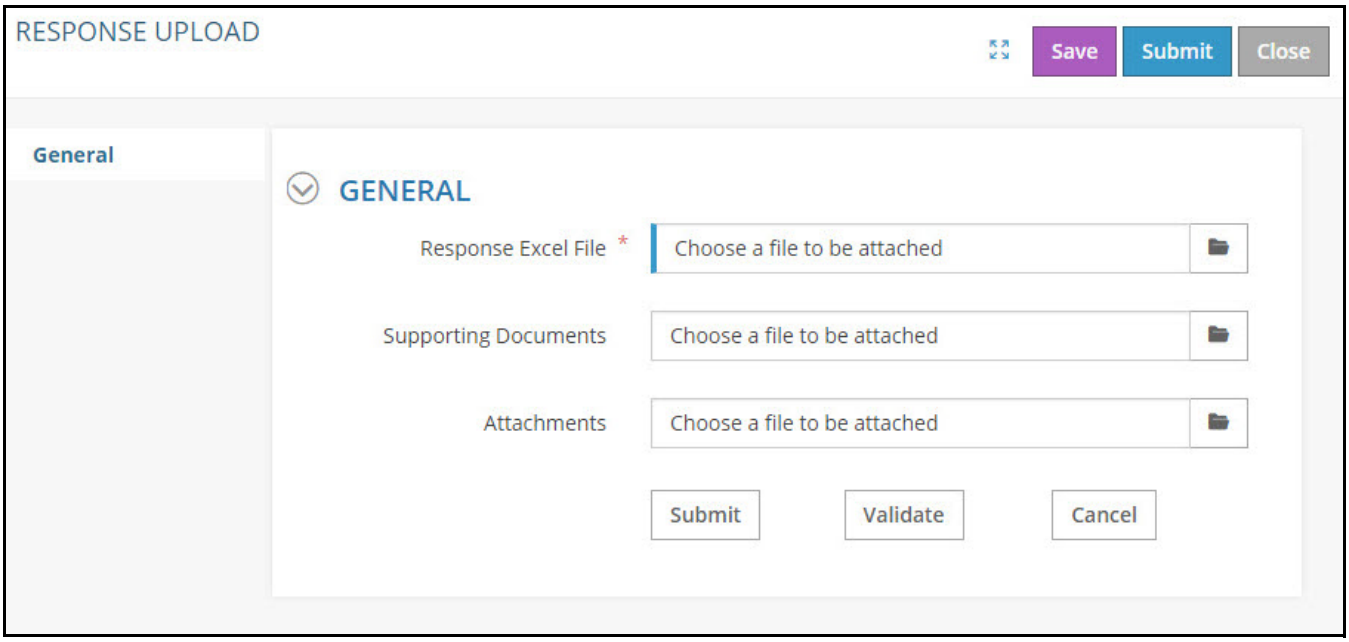


Figure 51 Response Upload Form

Field/List Name	Description
Response Excel File	To upload the responses and select the file from your local drive.
Supporting Documents	To upload the supporting documents and select the file from your local drive.

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Field/List Name	Description
Attachments	To attach additional reference documents and select the file from your local drive.
Submit *(appears only if the documents are valid when you click the* **Validate** *button)*	Upload the Survey/Scorecard/Certification response. You can use the Response Upload Log report to view the status of the upload. For more information on Response Upload Log report, see Response Upload Log.
Validate	Validates the **Response** form with the entered data.
Cancel	Cancel the changes made to the form and exit the form.

Printing Responses

After you submit the response for a survey/scorecard/certification questionnaire you can print the responses in PDF using the **My Prior Responses** report.

1. From **Respond**, click **Reports**.
2. Click the **My Prior Responses** report.

   The **My Prior Responses** report appears.

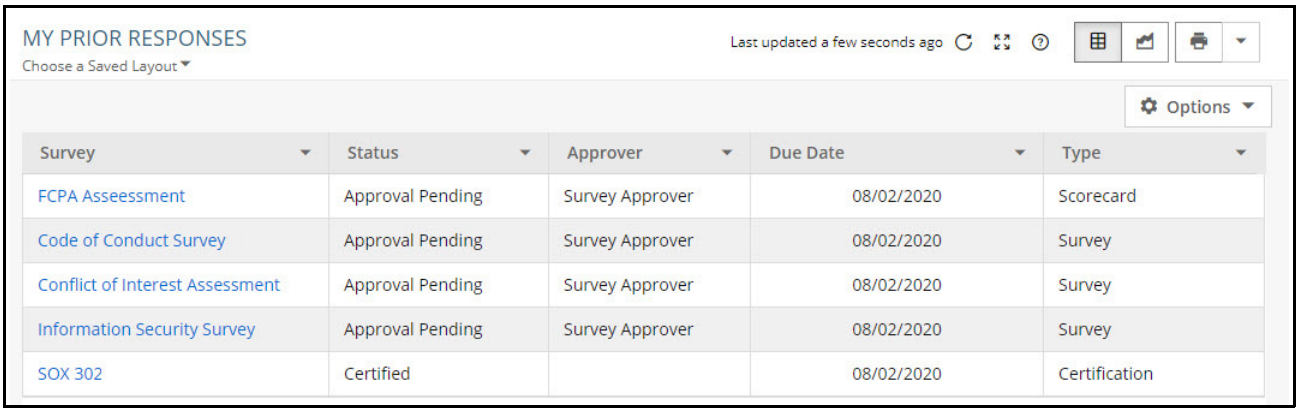

Figure 52 My Prior Responses Report

3. Click the survey/scorecard/certification name to be opened in the **Survey** column. The **Response** form displays.

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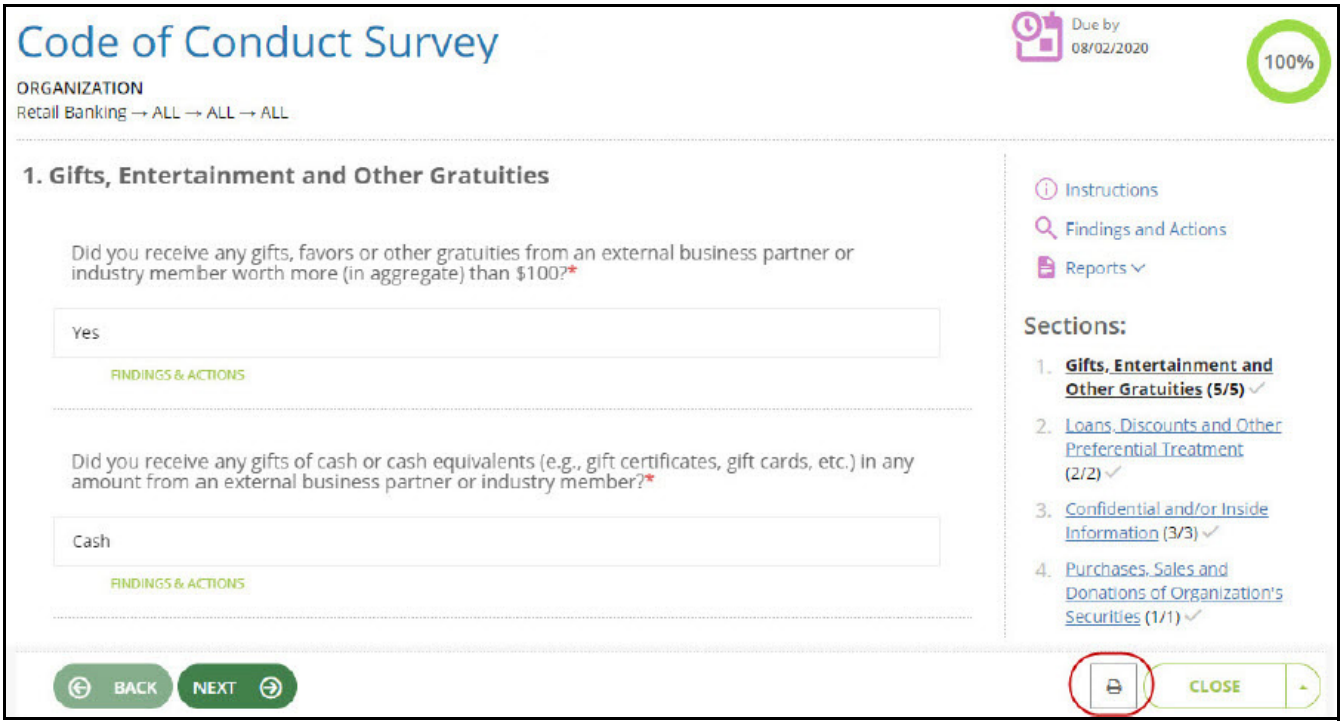

Figure 53 Response form

4. Click 🖶 .

The Response is printed in PDF format.

Note: The printed response PDF lists all the items to which the response applies to.

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Certification: SOX 302

Status

In Progress

Due Date

10/25/2020

Respondent(s)

Survey Admin

Organizations

ACME Compliance ALL ALL ALL

Certification

Certification Text

The purpose of this certification is to identify any changes in the process flow of internal controls that have taken place since the process/controls were documented and tested. Please complete and sign the Certification.

Certify*

Yes

Certified By

Survey Admin

Certification Comments

completed the certification

Instruction/Guidelines

Please complete the Questionnaire based on your analysis/observations

SOX 302_AWT Checklist

Full Name*

Response:

Date of Birth*

Response:

SSN*

Response:

Occupational Status*

Response:

Figure 54 Response PDF

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Approving Survey/Scorecard/Certification Responses

The three types of response approvals are:

- Approving Individual Survey/Scorecard/Certification Responses: Approving each line item
- Approving Specific Responses: Approving responses that requires approval
- Approving Overall Responses: Approving all the responses individually from each respondent

Approving Individual Survey/Scorecard/Certification Responses

After the respondent submits the **Survey / Scorecard / Certification** form, the selected response approver selected for each line item receives an assignment to review responses. As a response approver, you can add issue/findings for the findings enabled survey/scorecard/certification survey.

The **Findings and Actions** section and the **Add/View Findings/Issues** link is available to add your findings. This link is available based on the settings whether the Approver can add findings or not.

If the respondent selects any response to a question that requires approval, after the respondent submits the **Survey / Scorecard / Certification** form, the selected response approver receives an assignment to review responses by the respondents for survey/scorecard/certification. The responses that require approval are highlighted, which enables the approver to identify the question(s) that triggered the approval process. You need to provide the approval comments for each responses in the **Approver Comments** field. You can request for clarification from the respondent if you require additional information.

Approving Overall Responses

After all the responses approved by the individual or specific approvers, the overall approver selected during the plan stage receives an assignment to approve the responses. If the individual or specific approvers are not specified, the overall approver receives an assignment directly to approve the individual responses. You can review each response for a question and request for clarification from the individual responses and get additional information from the respondents. After the approval of all the responses, the status of the response changes to Approved.

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To access Survey /Scorecard / Certification Form:

1. From **Surveys**, click **Approve Response**.

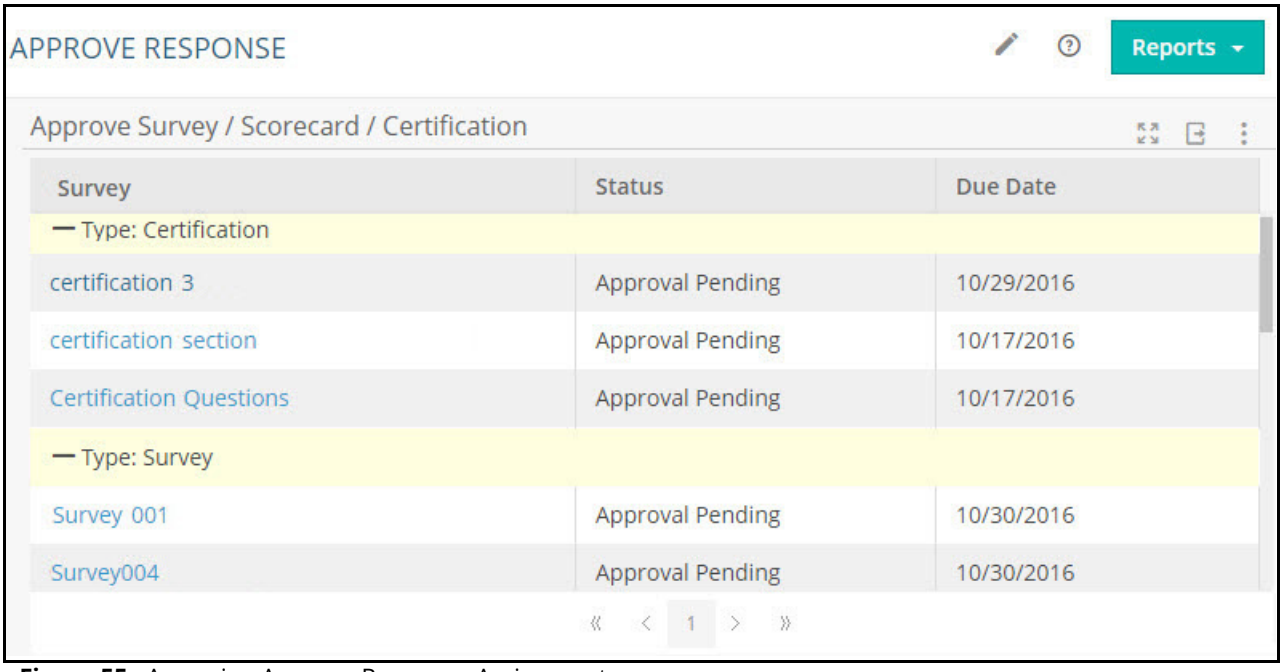

Figure 55 Accessing Approve Response Assignment

2. Click the “Scorecard Name” / “Survey Name” / “Certification Name” assignment link.

   Alternatively, you can access form the **My Tasks** at the top of the home page.

   For more information on **My Tasks** functions, refer to the My Tasks.

   Notes:

   - The current status of the assignment appears in the **Status** column.
   - After you access the form, all the questions for which the comments are specified are displayed in expanded view.

To approve Survey/Scorecard/Certification Form

The Survey /Scorecard /Certification form allows you to approve the survey/scorecard/certification response. You can click the **Ask for Clarification** at each question level for clarification from the respondent and, the clarification text will be highlighted for the respondent.

The **Add Notes** is available to the approver to add notes that is visible only to the approvers.

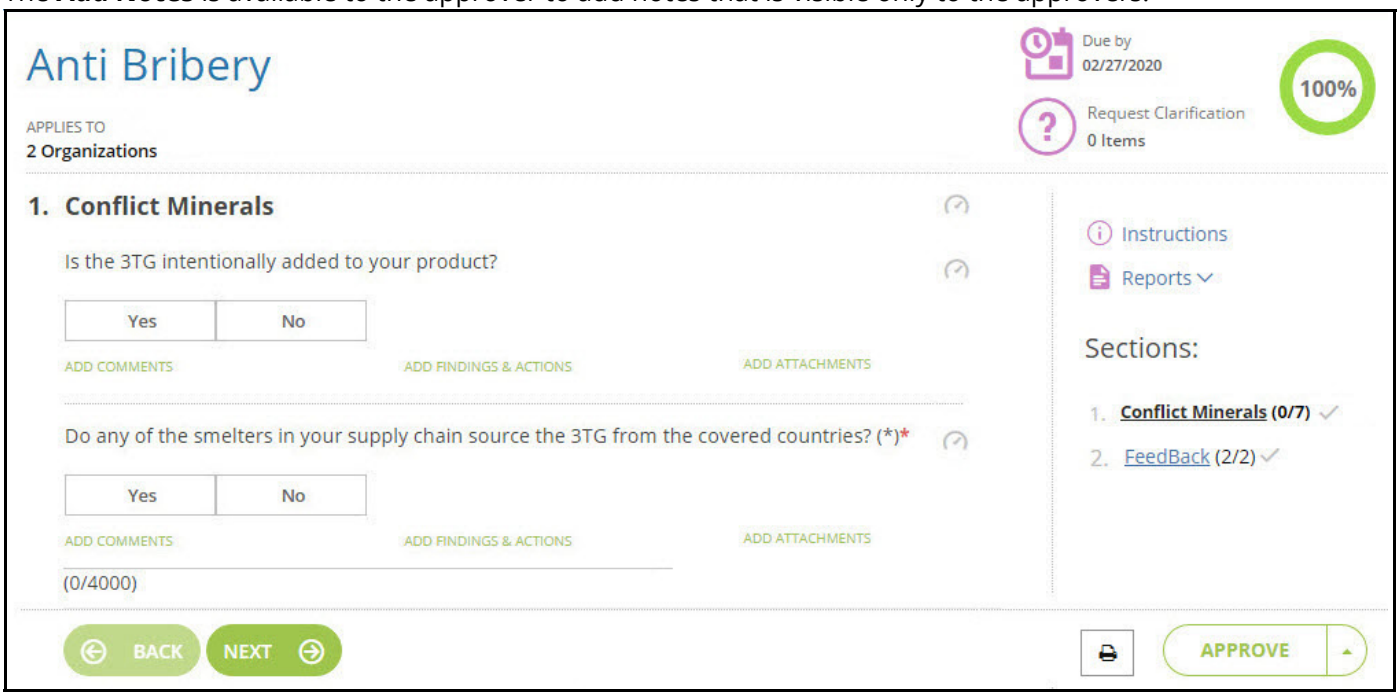

Figure 56 Assigned to Approver of Survey/Scorecard/Certification Form

Following actions allows you to take action on the responses by respondents on the Survey/Scorecard/Certification.

1. Click **Submit** to submit the current form.
   - Click **Cancel.**
     The **Survey/Scorecard/Certification** form will be canceled.
   - Click **Approve**.
     The **Survey/Scorecard/Certification** form will be approved.
   - Click **Print** icon.
     To print the form.
   - Click **Request for Clarification**.
     Allows to get more clarification from the respondent.

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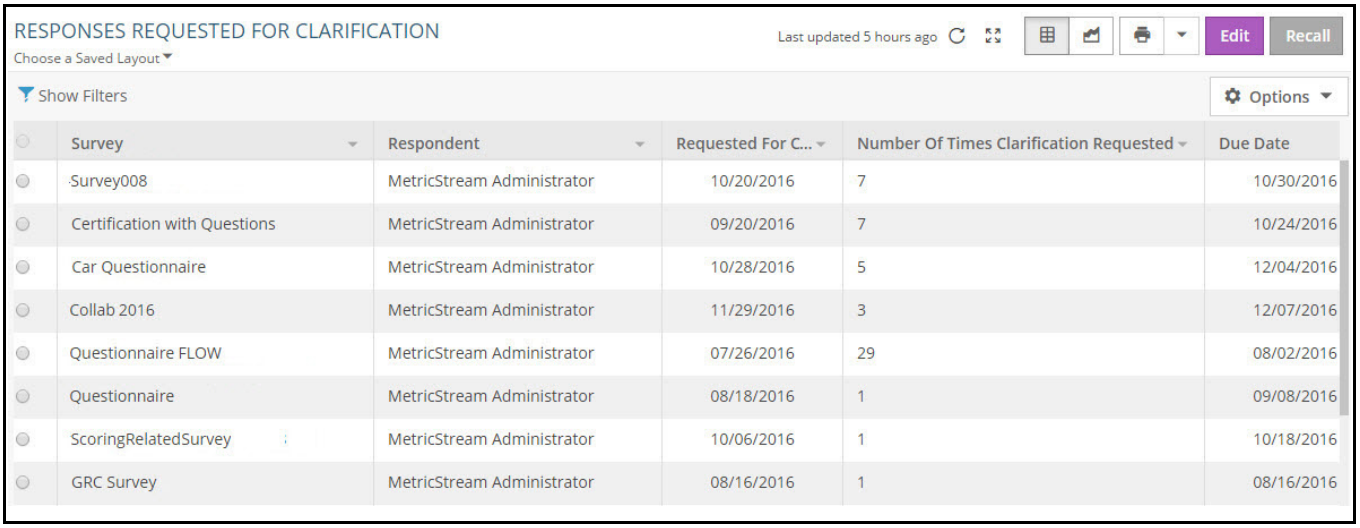
Recalling Surveys/Scorecards/Certifications

As an approver, if you have requested for clarifications on a survey, an assignment is sent to the respondent for providing clarifications. However, at a later date, if you do not require clarifications from the respondent, you can recall the clarification assignment and approve the survey.

To recall the clarification assignment, use the **Responses Requested for Clarification** report.

1. From **Approve Response**, click **Responses Requested for Clarification** report.



Survey	Respondent	Requested For C...	Number Of Times Clarification Requested	Due Date
Survey008	MetricStream Administrator	10/20/2016	7	10/30/2016
Certification with Questions	MetricStream Administrator	09/20/2016	7	10/24/2016
Car Questionnaire	MetricStream Administrator	10/28/2016	5	12/04/2016
Collab 2016	MetricStream Administrator	11/29/2016	3	12/07/2016
Questionnaire FLOW	MetricStream Administrator	07/26/2016	29	08/02/2016
Questionnaire	MetricStream Administrator	08/18/2016	1	09/08/2016
ScoringRelatedSurvey	MetricStream Administrator	10/06/2016	1	10/18/2016
GRC Survey	MetricStream Administrator	08/16/2016	1	08/16/2016

Figure 57 Accessing Responses Requested for Clarification Report

2. Select the response to be recalled and click **Recall**.
3. Click **OK** to recall the clarification.

   The respective clarification assignment is removed from respondent's queue.

   Note: For more information on approving survey/scorecard/certification using the **Survey/Scorecard/Certification** form, see Approving Survey/Scorecard/Certification Responses.

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Canceling Survey Responses

If the response to a survey no longer required, you can cancel the response. The response can be canceled only for surveys that are not completed, that is, surveys that are in the Approval Pending, In Process, and Request for Clarification statuses.

To cancel the survey response, use the **Responses** report.

1. From **Setup Surveys**, click **Reports**.

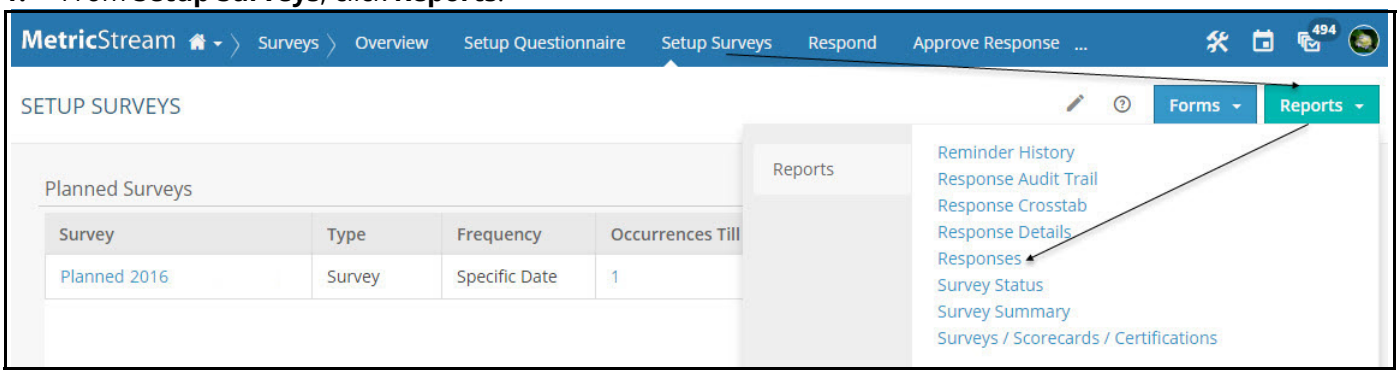

Figure 58 Accessing Responses Report

2. Click the **Responses** link.

To cancel the survey response:

1. Select the check box corresponding to the response that you want to cancel.

   The **Cancel** button appears at the top-right corner of the report.

2. Click **Cancel**.
3. Click **OK** to cancel the response.

After the survey response is canceled, the status of the survey is changed to Canceled.

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Scoring Logic

This section provides information on the scoring algorithm used for calculating the survey /scorecard scores.

Sections:

- Question Level
- Section Level
- Questionnaire Level

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Question Level

Question Weighted Score Calculation:

$$\frac{\text{Value provided for question Weighting X Score obtained for the question response}}{\text{Sum of weighting values of all questions in the section}}$$

If a question is optional, that question is considered for scoring when responded.

Example of question weighted score calculation

Consider the following three conditions:

1. Five questions in a section - Q1, Q2, Q3, Q4, and Q5. Each question has 20 as the Weighting. Q4 is a conditional question.
2. Q1, Q2, Q3, and Q5 are the only questions that have a response and the condition to display Q4 is not satisfied.
3. The score obtained for Q1 response is 10.

The weighted score for Q1 is calculated as follows:

20/(20+20+20+20)X10

=(20/80)X10

=2.5

The same scoring logic is applied to the whole questionnaire and the sections.

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Section Level

Section Weighted Score Calculation:

$$\frac{\text{Section Weighting x Sum of Weighted scores of all questions in the section}}{\text{Sum of Weightings of all sections in the questionnaire}}$$

Average Calculation (Simple Scoring)

Section Score = Sum of Question Scores / Number of Questions Considered for Scoring

Note: Questions are considered for scoring only when there is a score obtained for that question based on responses provided or default score. Similarly section is considered for scoring if there is a score obtained for that section based on question scores obtained.

Min Calculation (Simple Scoring)

Section Score = Lowest score obtained for a question in a section

Max Calculation (Simple Scoring)

Section Score = Highest score obtained for a question in a section

Sum Calculation (Simple Scoring)

Section Score = Sum of Question Scores

Min Calculation (Weighted Scoring)

Weighted Section Score = (Lowest weighted score obtained for a question in a section) * (Section Weight) / (Sum of Weights of all Sections)

Max Calculation (Weighted Scoring)

Weighted Section Score = (Maximum weighted score obtained for a question in a section) * (Section Weight) / (Sum of Weights of all Sections)

Sum Calculation (Weighted Scoring)

Weighted Section Score = (Sum of weighted scores of questions in the section) * (Section Weight) / (Sum of Weights of all Sections)

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Questionnaire Level

Questionnaire scores are calculated as: sum of weighted scores of all sections

Score Calculation without Weighting

When weighting is disabled for a questionnaire, the calculation is as follows:

Scores obtained for all the question responses of a section are added to calculate the section score.

The overall score is calculated by adding the scores obtained for all the sections.

Average Calculation (Simple Scoring)

Overall Score = Sum of Section Scores / Number of Sections Considered for Scoring

Note: Questions are considered for scoring only when there is a score obtained for that question based on responses provided or default score. Similarly section is considered for scoring if there is a score obtained for that section based on question scores obtained.

Min Calculation (Simple Scoring)

Overall Score = Lowest score obtained for a section in a survey

Max Calculation (Simple Scoring)

Overall Score = Highest score obtained for a section in a survey

Sum Calculation (Simple Scoring)

Overall Score = Sum of Section Scores

Min Calculation (Weighted Scoring)

Weighted Overall Score = Lowest weighted score obtained for a section in a survey

Max Calculation (Weighted Scoring)

Weighted Overall Score = Maximum weighted score obtained for a section in a survey

Sum Calculation (Weighted Scoring)

Weighted Overall Score = Sum of all weighted section scores

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Reports

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

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

Sections:

- Questionnaires
- Tabular Response Templates
- Surveys / Scorecards / Certifications
- Responses
- Response Change History
- My Prior Responses
- Download Responses
- Survey Summary
- List of Respondent Users
- Response Upload Log
- Response Crosstab
- Response Details
- Reminder History
- Reminder History - Respondents
- Survey Status
- Survey Status Drill-Down Report
- Response Audit Trail
- Recurring Surveys
- Responses Drill-Down Report
- Issues
- Non-Recurring Surveys
- Linked Surveys
- Planned Surveys
- Occurrences
- Open Surveys
- Respond to Survey / Scorecard /Certification
- Respond to Live Surveys
- Approve Survey / Scorecard /Certification
- Responses - Requested for Clarification
- Overall Score Details
- Responses
- Change History Report

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Questionnaires

The **Questionnaires** infoport report displays all the published questionnaires in **Surveys**.

Key Columns

Column	Description
Questionnaire	Name of the questionnaire.
Version	Version number of the questionnaire.
Linked Surveys	Number of survey/scorecard/certification plans for which the questionnaire is used. **Drill-down**: Linked Surveys
Type	Types of the questionnaires: • Survey • Scorecard • Certification
Sections	Number of sections in the questionnaire.
Questions	Number of questions in the questionnaire.
Applies To	The GRCF entities like Risk, Control and so on, to which the questionnaire applies to.
Owner Organizations	Organizations responsible for maintaining this questionnaire.
Owners	Owners who maintains the questionnaire.
Valid From	Date from when this questionnaire will be available.
Valid Until	Date to which this questionnaire will be available.
Questionnaire ID	Displays the questionnaire ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Tabular Response Templates

The **Tabular Response Template** Report displays the tabular response templates in **Surveys**.

Key Columns

Column	Description
Tabular Response Template	Name of the tabular response template. **Drill-down**: Tabular Response Template form
Version	Version number of the tabular response template. **Note:** You can edit only the latest version of the tabular response template and a hyperlink appears for the latest version to edit the details.
Created On	Date on which the tabular response template is created.
Created By	Name of the user who created the template.

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Surveys / Scorecards / Certifications

The **Surveys /Scorecards / Certifications** report displays the list of all the published surveys/scorecards/ certifications plans in **Surveys**.

Key Columns

Column	Description
Survey	Name of the survey/scorecard/certification plan. • **Drill-down**: Survey /Scorecard /Certification form
Type	Type of plan such as survey/scorecard/certification.
Frequency	Frequency at which the survey plan will be triggered.
Recur Every	Number of times an assessment must be triggered for the selected frequency.
Last Occurrence	Date on which the last survey/scorecard/certification was triggered.
Next Occurrence	Next triggering date of the survey/scorecard/certification.
Sent	Number of surveys/scorecards/certifications that are triggered for a plan. **Drill-down**: Responses
In Progress	Number of surveys/scorecards/certifications that are in progress. **Drill-down**: Responses Drill-Down Report
Completed	Number of surveys/scorecards/certifications that are completed. • **Drill-down:** Responses • **Open Issues**: Displays the number of issues that are reported for a survey/ scorecard/certification plan, which are in open state. • **Drill-down**: Issues
Action	**Refresh:** If the questionnaire attached to the Survey has been updated, then you can click **Refresh** to include the latest updates. Until you manually enable this, the survey is triggered with the old questionnaire.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Responses

Use this report to view all the response assignments triggered to respondents for the selected survey.

Mandatory Filters:

- Type
- Surveys

Key Columns

Column	Description
Survey	Name of the survey/scorecard/certification. **Drill-down**: Response form (for responding)
Respondent	Name of the respondent.
Respondent On	Nate on which the response is submitted.
Due Date	Date on which the response is due.
Status	Following status of the response: • In Process • Completed • Approved • Request For Clarification • Certified • Not Certified • Response Canceled
Type	Type of the plan.
Grade	Overall grade determined for the given survey/scorecard response.
Overall Score	Overall score determined for the given survey/scorecard response. **Drill-down**: Overall Score Details
Overall Percentage	Displays overall percentage determined for the given survey/scorecard.
Applies To	The GRCF entity to which the survey/scorecard/certification applies to.
Linked To	The specific entity which is being assessed in the given response.
Approvers	The name of the response approver for survey/scorecard/certification.
Overall Approver	Name of the overall approver of the survey/scorecard.
Issues	The number of issues for a survey/scorecard. **Drill-down**: Issues
Change History Report	The response change history report. Click **View** to get the details.

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Column	Description
Actions	You can perform the following actions from this report: • **Cancel**: All the responses that are currently in progress can be canceled. Once canceled the assignment will be removed from the respondent's queue. • **Reopen**: All the responses that were closed within certain number of days (X days) are available to be reopened. The option to reopen a response is displayed only if Allow Reopening of Responses was selected while setting up the survey. For more information, see Survey/Scorecard/Certification. **Note:** Only users with *Reopen Response* activity, who have the access to view all responses, will be able to reopen the closed responses. The value X is determined in the system using a configuration parameter.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.
Response ID	Displays the response ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

Notes:

- Users with the QSM View All Response activity can view all the responses of survey plans they have access to.
- Users with the QSM View All Surveys and QSM View All Responses activity can view all survey plans created in the system and all responses triggered for these survey plans irrespective of organization restriction.
- Users with the QSM View Response activity can view the Submitted/Approved responses for the survey plans they have access to.

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Response Change History

The **Response Change History Report** displays the details of all the changes performed by Respondent in the **Response** form. This report is a drilled-down of the **Responses** report and appears when you click the **Open Link** in the **Change History Report** column. Based on the workflow, this report displays the following details at different stages of the workflow:

- Does not display any details - When it is assigned to the respondent for the first time
- Displays the specified responses in the **Current Value** column - When the responses are submitted by the respondents for approval
- Displays the questions for which the responses are modified by the respondents at the beginning of the report - When the assignment is sent again for approval after clarification (from respondents).

Note: The report is grouped by the stage at which the form is modified, user who modified the content of the form, and the date on which the content is modified. You can expand each row and view the details by clicking the right-pointing arrow.

Key Columns

Column	Description
Field Name	Displays the name of the question for which the response is entered by the respondent. All the questions in a questionnaire are displayed in a separate row along with the section details.
Previous Value	Displays the value of the respondent's response to a question, prior to responding to a request for clarification.
Current Value	Displays the value of the respondent's response to a question post responding to a request for clarification.

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My Prior Responses

The **My Prior Responses** report displays the response details for surveys/scorecards/certifications questionnaires that you have submitted.

Key Columns

Column	Description
Survey	Displays the name of the survey/scorecard/certification.
Status	Displays the status of the response.
Approver	Displays the name of the response approver for survey/scorecard/certification.
Due Date	Displays the date on which the response must be submitted.
Type	Displays the type of plan.

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Download Responses

Use the **Download Responses** report to download the offline response excel file(s) for the respond to survey assignments assigned to the respondent.

Key Columns

Column	Description
Response ID	Displays the ID to uniquely identify a response assignment. This can be used to track upload status.
Survey	Displays the name of the survey/scorecard/certification.
Type	Displays the type of plan.
Due Date	Displays the date on which the response must be submitted.
Response Approver	Displays the full name of the Response Approver (if defined).
Response Status	Displays the current status of the response. It can have one of the following status: • **Reopened**: This status is displayed, when a completed survey is reopened. • **In Process**: This status is displayed when a fresh survey is assigned or an existing survey is reassigned to the respondent. • **Clarification Requested**: This status is displayed, when an approver assigns the response back to a respondent requesting for further clarification.

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Survey Summary

Use the **Survey Summary** report to view the details of the surveys and questionnaires in the Surveys. This report displays the details of all the section, questions and responses for the questions based on the filter values. The records are grouped by survey.

Mandatory Filters:

- Based On
- Questionnaire/Survey

Key Columns

Column	Description
Response	Displays the response for a question in a section. The questions are grouped based on the section and all the questions related to a section are grouped and displayed as a collapsible section.
Supporting Documents	Displays the attached supporting documents.
Number of Users Responded	Displays the total number of respondents who have responded to a question. **Drill-down**: List of Respondent Users
Percentage	Displays the percentage of users respondent to a question. For example, if 100 surveys assignments are triggered to 100 respondents out of which 75 respondents are answered for a question, this column displays the percentage as 75.

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List of Respondent Users

The **List of Respondent Users** report displays the users who responded to a question. This report is a drill-down of the **Survey Summary** report and appears when you click the Number in the **Number of Users Responded** column.

Key Columns

Column	Description
Survey	Displays the name of the survey. **Drill-down**: Survey Response form
Responded By	Displays the name of the user who responded to the survey.
Responded On	Displays the date on which the response is submitted.
Response Comments	Displays the comments regarding the response.

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Response Upload Log

The **Response Upload Log** report displays the log details of the responses that are uploaded using the Excel template.

Mandatory Filters:

- Response ID

Key Columns

Column	Description
Response ID	Displays the sequence number in which the system has processed the upload.
Message	Displays the details of the log message.
Message Type	Displays the type of log. If the upload is not successful, this column displays the error details.

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Response Crosstab

The **Response Crosstab** report displays the responses to all questions in the survey by each of the respondents (who responded). If a respondent has responded multiple times to a survey, there will be multiple rows corresponding to the respondent.

Example: If a respondent has responded to the same survey three times, the details are displayed in three separate rows.

Mandatory Filter:

- Survey

Key Columns

Column	Description
Respondent	Displays the name of the respondents in a separate row who have responded to the survey.
Questions	Displays the questions and the response for the question from respondent in different columns.

Notes:

- Users with View All response activity can view all the responses of urvey plans they have access to.
- Users with View All Surveys and View All Responses can view all survey plans created in the system and all responses triggered for these survey plans irrespective of organization restriction.
- Users with View response activity can view the responses they have Submitted/Approved for the survey plans they have access to.

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Response Details

Use the **Response Details** report to view the details of the responses from respondents.

This report displays the details of all the responses based on the filter values.

Mandatory Filter:

- Based On
- Questionnaire/Survey

Key Columns

Column	Description
Respondent	Displays the name of the respondent who has respondent to the survey/scorecard/certification.
Response	Displays the response for a question in a section. The questions are grouped based on the section and all the questions related to a section are grouped and displayed as a collapsible section.
Tabular Response Data	Displays the tabular response data entered by the respondent.
Response Comments	Displays the response commented by the respondent for a question.

Notes:

- Users with View All response activity can view all the responses of survey plans they have access to.
- Users with View All Surveys and View All Responses can view all survey plans created in the system and all responses triggered for these survey plans irrespective of organization restriction.
- Users with View response activity can view the responses they have Submitted/Approved for the survey plans they have access to.

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Reminder History

Use the **Reminder History** report to view the reminders sent for a survey.

Mandatory Filter:

- Surveys

Key Columns

Column	Description
Survey	Displays the name of the survey.
Respondents	Displays the total number of respondents to whom the reminder is sent. **Drill-down**: Reminder History - Respondents
Reminder Date	Displays the date on which the reminder is sent.
Survey Initiator	Displays the name of the user who is initiated the survey.
Survey Due Date	Displays the date by which the survey is due.
Subject	Displays the subject of the reminder.
Reminder Text	Displays the reminder text of the reminder.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Reminder History - Respondents

The **Reminder History -Respondents** is a drill-down report that displays the details of the reminders sent to the respondents. For example, in the **Reminder History** report, if you click the number of respondents in the **Respondents** column corresponding to the survey name, notification details along with the respondents are displayed in this report.

Key Columns

Column	Description
Survey	Displays the name of the survey.
Respondents	Displays the name of the respondents to whom the reminder is sent.
Reminder Date	Displays the date on which the reminder is sent.
Survey Initiator	Displays the name of the user who is initiated the survey.
Survey Due Date	Displays the date by which the survey is due.
Subject	Displays the subject of the reminder.
Reminder Text	Displays the reminder text of the reminder.
Carbon Copied To	Displays one or more users who receive the carbon copy of the reminder.

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Survey Status

The **Survey Status** report displays the details of the surveys for the specified date range.

Mandatory Filters:

- Start Date
- End Date

Key Columns

Column	Description
Survey	Displays the name of the survey.
Sent	Displays the number of responses sent for a survey /scorecard /certification.
Waiting for First Response	Displays the date on which the reminder is sent.
Approval Pending	Displays the name of the user who is initiated the survey.
Clarification Requested	Displays the date by which the survey is due.
Completed	Displays the subject of the reminder.
Reopened	Displays the reminder text of the reminder.
Cancelled	Displays one or more users who receive the carbon copy of the reminder.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

Note: For more information, refer Survey Status Drill-Down Report.

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Survey Status Drill-Down Report

The **Survey Status** report drills-down to the respective detailed report based on the column that you click in the **Survey Status** report. The available drill-down reports are:

- Survey Status - Sent Report
- Survey Status - Waiting for First Response Report
- Survey Status - Approval Pending Report
- Survey Status - Clarification Requested Report
- Survey Status - Approved Report
- Survey Status - Reopened Report
- Survey Status - Canceled Report

Key Columns

Column	Description
ID	Displays the survey identification number.
Name	Displays the name of the survey/scorecard/certification. **Drill-down**: Response form
Respondent	Displays the name of the user who responded to the survey/scorecard/ certification.
Responded On	Displays the date on which the response is submitted.
Due Date	Displays the date on which the survey/scorecard/certification is due.
Status	Displays the status of the survey/scorecard/certification.
Approver	Displays the name of the survey/scorecard/certification approver.

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Response Audit Trail

The **Response Audit Trail** report displays the different actions taken on a response form along with the action date and name of the user.

Note: The number of times different actions are taken on the survey are displayed in the report in the Occurrence row.

Mandatory Filter:

- Survey

Key Columns

Column	Description
Survey	Displays the name of the survey on which one or more actions are taken. **Drill-down**: Survey / Scorecard / Certification form
Respondent Name	Displays the name of the Respondent.
Action	Displays the name of the user who responded to the survey/scorecard/ certification.
User	Displays the name of the user who is responsible for taking the action.
Occurrence	Displays the number of times the survey has been sent.
Date	Displays the date on which the action has been taken.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.
Response ID	Displays the response ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

Notes:

- Users with View All response activity can view all the responses of urvey plans they have access to.
- Users with View All Surveys and View All Responses can view all survey plans created in the system and all responses triggered for these survey plans irrespective of organization restriction.
- Users with View response activity can view the responses they have Submitted/Approved for the survey plans they have access to.

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Recurring Surveys

The **Recurring Surveys** report displays the surveys/certifications/scorecards that are initiated as per a planned frequency, that is, all survey/certification/scorecards that are initiated with the frequency as: Daily, Weekly, Monthly, Quarterly, Semi-Annually or Annually.

Key Columns

Column	Description
Survey	Displays the name of the survey on which one or more actions are taken. **Drill-down**: Survey / Scorecard / Certification form
Questionnaire	Displays the name of the Questionnaire used for the survey.
Type	Displays the following type of plan: o Survey o Scorecard o Certification
Frequency	Displays the name of the user who is responsible for taking the action.
Recur Every	Displays the number of times the survey has been sent.
Last Occurrence	Displays the date on which the action has been taken.
Next Occurrence	Displays the frequency at which the survey plan will be triggered.
Sent	Displays the number of times an assessment must be triggered for the selected frequency. **Drill-down**: Responses Drill-Down Report
In Progress	Displays the number of surveys/scorecards/certifications that are in progress. **Drill-down**: Responses Drill-Down Report
Completed	Displays the number of surveys/scorecards/certifications that are completed. **Drill-down**: Responses Drill-Down Report
Open Issues	Displays the number of issues that are reported for a survey/scorecard/certification plan, which are in open state. **Drill-down**: Issues
Issues Past Due	Displays the number of issues that are reported for a survey/scorecard/certification plan, which passed the due date. **Drill-down**: Issues
Questionnaire ID	Displays the questionnaire ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Responses Drill-Down Report

The Responses drill-down report displays the details of responses of a survey/scorecard/certification plan that are in different stages of a workflow. The available drill-down reports are:

- Responses - Sent Report
- Responses - In progress Report
- Responses - Completed Report
- Responses - Issues Report

Key Columns

Column	Description
Survey	Displays the name of the survey on which one or more actions are taken. **Drill-down**: Survey / Scorecard / Certification form
Respondent	Displays the name of the Respondent.
Responded On	Displays the date on which the response is submitted.
Due Date	Displays the date on which the survey/scorecard/certification is due.
Status	Displays the status of the survey/scorecard/certification.
Type	Displays the following type of plan: • Survey • Scorecard • Certification
Grade	Displays the grade or rating based of a survey/scorecard. **Note:** The grade is populated based on the response score.
Overall Score	Displays the overall score of a survey/scorecard.
Applies To	Displays the GRCF entity to which the survey/scorecard/certification applies to.
Applies To Object	Displays the specific entity which is being assessed in the given response.
Approver	Displays the name of the response approver.
Issues	Displays the number of findings are reported for a survey/scorecard/certification plan. **Drill-down**: Issues

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Issues

The Issues is a drill-down report that contains of the **Open Issues** column. It is displayed when you click on the number of issues under the Open Issues column. The Issues report displays the details of an open issues.

Key Columns

Column	Description
Issue Title	Displays the name of the issue.
Issue Status	Displays the status of the issue.
Issue Owner	Displays the name of the issue owner.
Reported On	Displays the date on which the issue is initiated.
Due Date	Displays the date by which the issue must be completed.
Linked Questions	Displays the associated questions for the issue and the response.
Issue ID	Displays the issue ID for the issues that are triggered to Issue Management.

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Non-Recurring Surveys

The **Non-Recurring Surveys** report displays the surveys/certifications/scorecards that are initiated using the **Run Now** and **Scheduled Date** frequency.

Key Columns

Column	Description
Survey	Displays the name of the Survey /Scorecard / Certification.
Questionnaire	Displays the name of the Questionnaire used for the survey.
Type	Displays the type of plan. The possible values are: • Survey • Scorecard • Certification
Frequency	Displays the following frequency of the plan: • Run Now • Specific Date
Run Date	Displays the date on which the survey was last run.
Sent	Displays the number of surveys/scorecards/certifications that are triggered for a plan. **Drill-down**: Responses Drill-Down Report
In Progress	Displays the number of surveys/scorecards/certifications that are in progress. **Drill-down**: Responses Drill-Down Report
Completed	Displays the number of surveys/scorecards/certifications that are completed.
Open Issues	Displays the number of issues that are reported for a survey/scorecard/certification plan, which are in open state. **Drill-down**: Issues
Issues Past Due	Displays the number of issues that are reported for a survey/scorecard/certification plan, which passed the due date. **Drill-down**: Issues
Questionnaire ID	Displays the questionnaire ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Linked Surveys

The **Linked Surveys** is a drill-down report that displays the surveys/certifications/scorecards plans detail that are tagged for a questionnaire.

Key Columns

Column	Description
Survey	Displays the name of the Survey /Scorecard / Certification.
Questionnaire	Displays the name of the Questionnaire used for the survey.
Type	Displays the type of plan. The possible values are: • Survey • Scorecard • Certification
Frequency	Displays the following frequency of the plan: • Specific Date • Weekly • Monthly • Quarterly • Semi-Annually • Daily • Annually
Last Run Date	Displays the date on which the last survey/scorecard/certification is triggered.
Next Run Date	Displays the next scheduled date of the survey/scorecard/certification.
Sent	Displays the number of surveys/scorecards/certifications that are triggered for a plan. **Drill-down**: Responses Drill-Down Report
In Progress	Displays the number of surveys/scorecards/certifications that are in progress. **Drill-down**: Responses Drill-Down Report
Completed	Displays the number of surveys/scorecards/certifications that are completed.
Open Issues	Displays the number of issues that are reported for a survey/scorecard/certification plan, which are in open state. **Drill-down**: Issues
Issues Past Due	Displays the number of issues that are reported for a survey/scorecard/certification plan, which passed the due date. **Drill-down**: Issues

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Planned Surveys

The **Planned Surveys** report displays all the survey/scorecard/certification plans that are finalized. You can only view the details of the plans using this report and cannot edit the details of the plan. This report displays all the plans that are finalized except the **Run Now** frequency plans.

Key Columns

Column	Description
Survey	Displays the name of the Survey /Scorecard / Certification.
Questionnaire	Displays the name of the Questionnaire used for the survey.
Type	Displays the type of plan. The possible values are: • Survey • Scorecard • Certification
Frequency	Displays the frequency at which the survey plan will be triggered.
Recur Every	Displays the number of times an assessment must be triggered for the selected frequency.
Occurrences Till Date	Displays the count of response assignments triggered for a plan. **Drill-down**: Occurrences
Applies To	Displays the mapping between this survey and the GRC object to determine the scope of the survey.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Occurrences

The **Occurrences** is a drill-down report of the **Planned Surveys** report. The **Occurrences** report displays the details of response assignments events that are triggered for a survey/scorecard/certification plan. If for a plan, if two response assignments are triggered, this report displays the details of all the two response assignment details.

Key Columns

Column	Description
Survey	Displays the name of the Survey / Scorecard / Certification.
Occurrence	Displays the date on which the response assignment is triggered.
Responses	Displays the number of responses for a survey/scorecard/certification. **Drill-down**: Responses Drill-Down Report
Frequency	Displays the frequency at which the survey plan will be triggered.
Recur Every	Displays the number of times an assessment must be triggered for the selected frequency.
Occurrences Till Date	Displays the count of response assignments triggered for a plan. **Drill-down**: Occurrences
Applies To	Displays the mapping between this survey and the GRC object to determine the scope of the survey.

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Open Surveys

The **Open Surveys** report displays all the survey/scorecard/certification plans that are in open state. You can only view and edit the details of the survey/scorecard/certification plans using this report. This plan details are displayed based on the **Close Date** specified in the Survey / Scorecard / Certification plan form.

Key Columns

Column	Description
Survey	Displays the name of the Survey / Scorecard / Certification. **Drill-down**: Survey / Scorecard /Certification form **Note:** When you navigate to the Survey / Scorecard /Certification, you can edit the details of the plan and add the new items and trigger the response assignments.
Type	Displays the following type of plan: • Survey • Scorecard • Certification
Frequency	Displays the frequency at which the survey plan will be triggered.
Recur Every	Displays the number of times an assessment must be triggered for the selected frequency.
Applies To	Displays the mapping between this survey and the GRC object to determine the scope of the survey.
Manage Survey	Displays the text **Keep Open**.
Survey ID	Displays the survey ID. **Note:** By default, this column is hidden. However, this column is available under the **Options** in report. You can unhide this column using the **Options** drop down.

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Respond to Survey / Scorecard /Certification

The **Respond to Survey / Scorecard /Certification** infoport report displays all the response assignments that are assigned to the logged-in user.

Key Columns

Column	Description
Survey	Displays the name of the survey /scorecard /certification. All the response assignments are grouped based on the type and displayed as a collapsible section.
Type	Displays the following type of plan: • Survey • Scorecard • Certification
Status	Displays the status of the Response assignment.
Due Date	Displays the date by which the response must be sent.

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Respond to Live Surveys

The **Respond to Live Surveys** infoport report displays the links to all live surveys/certifications/scorecards that have been created with **Frequency** as **Live**.

Key Columns

Column	Description
Survey	Displays the name of the survey /scorecard /certification. **Drill-down**: Survey / Scorecard /Certification form (Response form)
Status	Displays the status of the survey assigned to the logged in user.

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Approve Survey / Scorecard /Certification

The **Approve Survey / Scorecard /Certification** infoport report displays all the responses that are submitted for approval for the logged-in user.

Key Columns

Column	Description
Survey	Displays the name of the survey /scorecard /certification. All the response assignments are grouped based on the type and displayed as a collapsible section. **Drill-down**: Survey / Scorecard /Certification form (Response form)
Respondent	Displays the full name of the primary respondent of the survey.
Status	Displays the status of the response.
Due Date	Displays the survey due date.

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Responses - Requested for Clarification

The **Responses - Requested for Clarification** report displays the surveys/scorecards/certifications for which the clarifications from the respondent are awaited.

Key Columns

Column	Description
Survey	Displays the name of the survey for which the clarification is requested by the approver.
Respondent	Displays the name of the respondent to whom the clarification assignment is sent.
Requested For Clarification On	Displays the date on which the request for clarification is sent.
Number Of Times Clarification Requested	Displays the total number of times clarifications are requested by the approver.
Due Date	Displays the survey due date.

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Overall Score Details

The **Overall Score Details** report is a drill-down of the reports that contains the **Overall Score** column. It is displayed when you click on the score under the **Overall Score** column. This report displays the score details of a survey/scorecard.

Key Columns

Column	Description
Section	Displays the name of the section in the questionnaire.
Question	Displays the question text.
Score	Displays the score for the question.
Grade	Displays the grade for the section and question.
Respondent	Displays the name of the respondent to whom the assignment is sent.

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Responses

Use this report to view all the response assignments triggered to respondents for the selected survey.

Note: You can access this report from Third Parties > Due Diligence > Reports.

Mandatory Filters:

- Type
- Surveys

Key Columns

Column	Description
Survey	Name of the survey/scorecard/certification. **Drill-down**: Response form (for responding)
Respondent	Name of the respondent.
Respondent On	Date on which the response is submitted.
Due Date	Date on which the response is due.
Status	Following status of the response: • In Process • Completed • Approved • Request For Clarification • Certified • Not Certified • Response Canceled
Type	Type of the plan.
Grade	Overall grade determined for the given survey/scorecard response.
Applies To	The GRCF entity to which the survey/scorecard/certification applies to.
Linked To	The specific entity which is being assessed in the given response.
Approvers	The name of the response approver for survey/scorecard/certification.
Issues	The number of issues for a survey/scorecard. **Drill-down**: Issues
Change History Report	The response change history report. Click **View** to get the details.

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Change History Report

Use this report to view details of changes made to the **Questionnaire** form during various workflow stages. This is a related report and can be accessed by clicking the Related Reports icon in the form.

Key Columns

Column	Description
Modified On	The date on which the form was last updated.
Modified By	Displays the name of the user who last updated the form.
Type of Activity	Displays the type of activity performed in the form.
Section	Displays the updated section in the form.
Field Name	Displays the name of the updated field.
Old Value	Displays the previous value (before modifying) of the field.
New Value	Displays the current or modified value of the field.
Workflow Stage	Displays the current stage of the form.

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Charts and Dashboards

A chart is a graphical representation of data, which allows you to view the interpretation of the data to understand and predict current and future data. There are several types of charts such as bar chart, line chart and pie chart.

A dashboard is a page that displays one or more charts.

Section:

- Ongoing Surveys Chart
- Ongoing Certifications Chart
- Ongoing Scorecards Chart

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Ongoing Surveys Chart

The Ongoing Surveys chart is a pie chart.

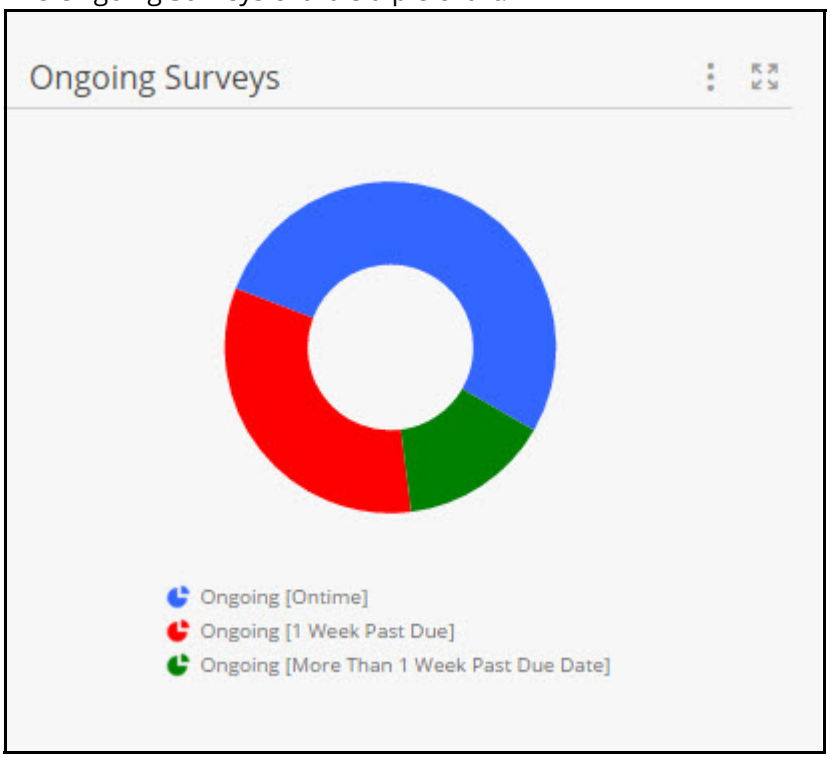

Figure 58 Ongoing Surveys Chart

Description

Displays the status of all completed and in-process surveys for the previous month based on the due date.

For example, if today is February 20, 2021 then this chart displays all the survey details created from January 20, 2021 till today.

The chart displays the following:

- Ongoing [Ontime]: Displays the number of surveys that are sent but have not passed the due date.
- Ongoing [1 Week Past Due]: Displays the number of surveys that are lesser than seven days passed the due date.
- Ongoing [>1 Week Past Due]: Displays the number of surveys that are greater than seven days passed the due date.

Drill down:

Responses

Note: Run Now and Live frequency surveys are not displayed in this chart.

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Ongoing Certifications Chart

The Ongoing Certifications chart is a pie chart.

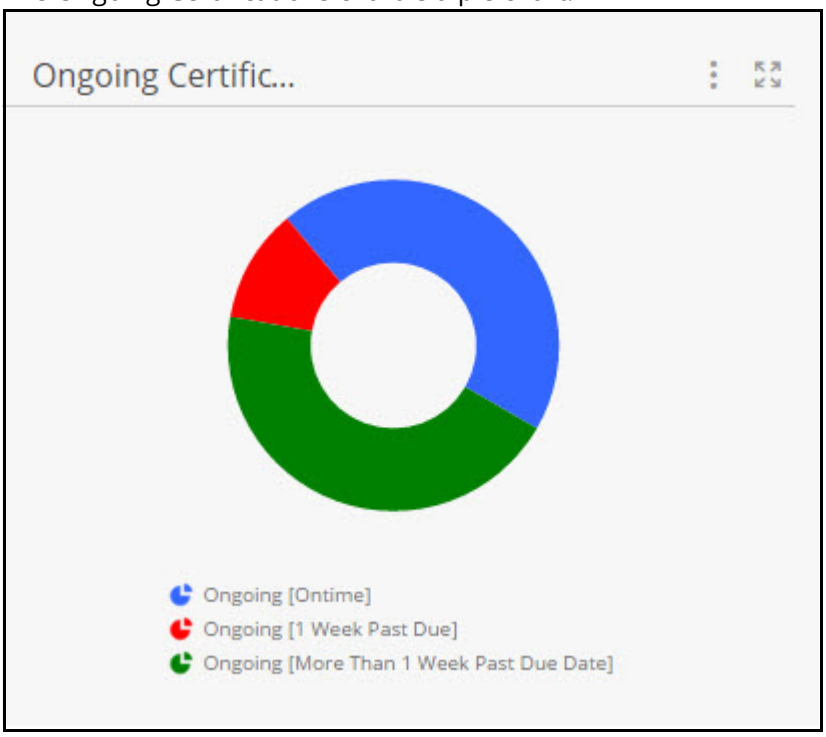

Figure 59 Ongoing Certifications Chart

Description

Displays the status of all completed and in-process certifications for the previous month based on the due date.

For example, if today is February 20, 2021 then this chart displays all the certification details created from January 20, 2021 till today.

The chart displays the following:

- Ongoing [Ontime]: Displays the number of certifications that are sent but have not passed the due date.
- Ongoing [1 Week Past Due]: Displays the number of certifications that are lesser than seven days passed the due date.
- Ongoing [>1 Week Past Due]: Displays the number of certifications that are greater than seven days passed the due date.

Drill down:

Responses

Note: Run Now and Live frequency surveys are not displayed in this chart.

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Ongoing Scorecards Chart

The Ongoing Scorecards chart is a pie chart.

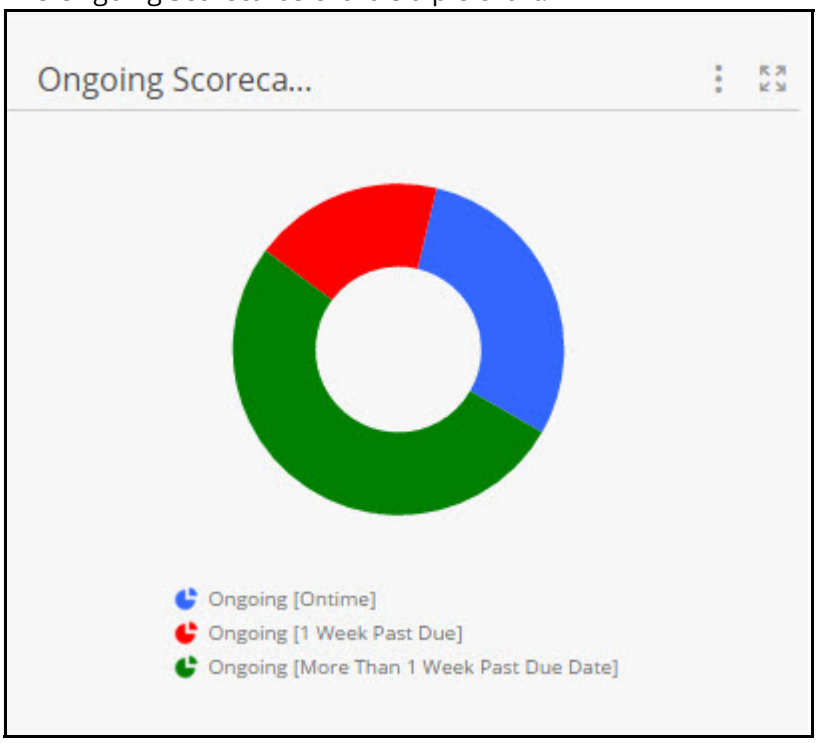

Figure 60 Ongoing Scorecards Chart

Description

Displays the status of all completed and in-process scorecards for the previous month based on the due date.

For example, if today is February 20, 2021 then this chart displays all the scorecard details created from January 20, 2021 till today.

The chart displays the following:

- Ongoing [Ontime]: Displays the number of scorecards that are sent but have not passed the due date.
- Ongoing [1 Week Past Due]: Displays the number of scorecards that are lesser than seven days passed the due date.
- Ongoing [>1 Week Past Due]: Displays the number of scorecards that are greater than seven days passed the due date.

Drill down:

Responses

Note: Run Now and Live frequency surveys are not displayed in this chart.

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Appendix

This section provides information about the common functions and features of **Surveys**.

Sections:

- Multidimensional Organization Structure - Security Model
- My Tasks
- Hover Cards
- About Reports
- About Charts and Dashboards
- Lock Functionality
- Email Notifications
- Restricted Special Characters
- Troubleshooting - Downloading Response File

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Multidimensional Organization Structure - Security Model

If your organization has a single dimension or multi dimensional structure based on business units, geographical locations, lines of business, legal entities, accounts, projects or any other dimension, this structure can be configured by the administrator. After the required structure is set up by the administrator, you can use various forms and sections to view or capture the required organization details

Consider an organization structure with two dimensions, Location and Function.

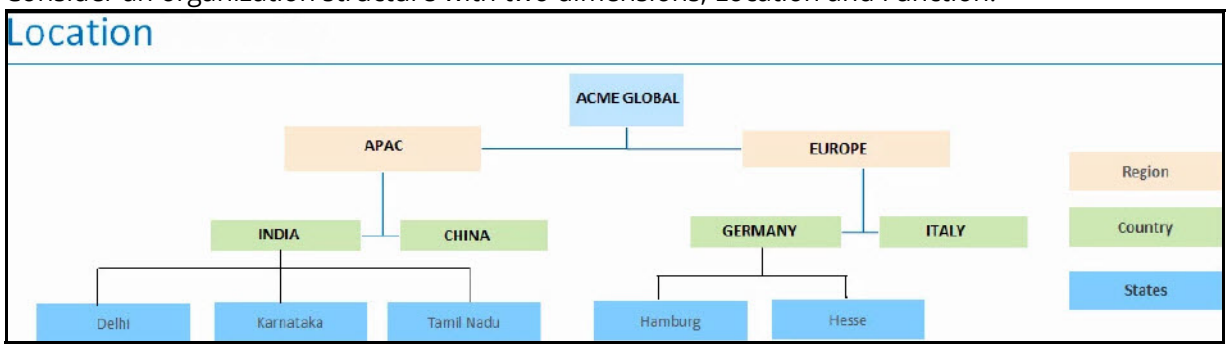

Figure 61 Sample Organization-Location Structure

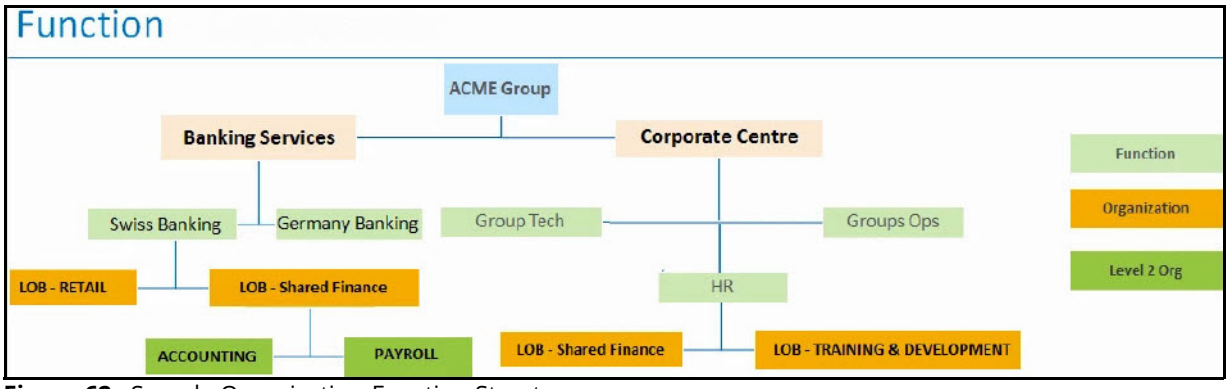

Figure 62 Sample Organization-Function Structure

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Scenario1: Creating a Questionnaire

Restrict Access to:	Create Questionnaire with (dimensions)	Who can own this (Owners)	Who can edit this?	Who can view this
No Restriction	**APAC - INDIA - SWISS BANKING - LOB - Shared Finance**	Users in the **APAC - India-Swiss Banking - LOB-Shared Finance** organization with Manage Questionnaire or Manage All Questionnaire activities are listed as the owners	Users belonging to **APAC - INDIA - SWISS BANKING - LOB - Shared Finance** combination of dimensions with Manage Questionnaire or Manage All Questionnaire activities will be able to edit the this questionnaire. - Users with Manage All Questionnaire activity who are part of any organization can edit the questionnaire.	Users belonging to **APAC - INDIA - SWISS BANKING - LOB - Shared Finance** combination of dimensions with Manage Questionnaire or View Questionnaire activities can view this questionnaire. - Users with Manage All Questionnaire or View All Questionnaire activity who are part of any organization can view the questionnaire.
Owner Organizations	**APAC - INDIA - SWISS BANKING - LOB - Shared Finance**	Users in the **APAC - India - Swiss Banking - LOB - Shared Finance** organization with Manage Questionnaire or Manage All Questionnaire activities are listed as the owners	Only users belonging to **APAC - INDIA - SWISS BANKING - LOB - Shared Finance** combination of dimension with Manage Questionnaire or Manage All Questionnaire will be able to be the owner of this control - Users with Manage All Questionnaire activity who are part of any organization can edit the questionnaire.	Only users belonging to **APAC - INDIA - SWISS BANKING - LOB - Shared Finance** combination of dimension with View Questionnaire or Manage Questionnaire will be able to view it. - Users with Manage All Questionnaire or View All Questionnaire activity who are part of any organization can view the questionnaire.

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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:

1. Move the pointer over **My Tasks** icon. A list of assignments appears.

   The **My Tasks** list appears with task assignments that are assigned to you as shown in the following figure.

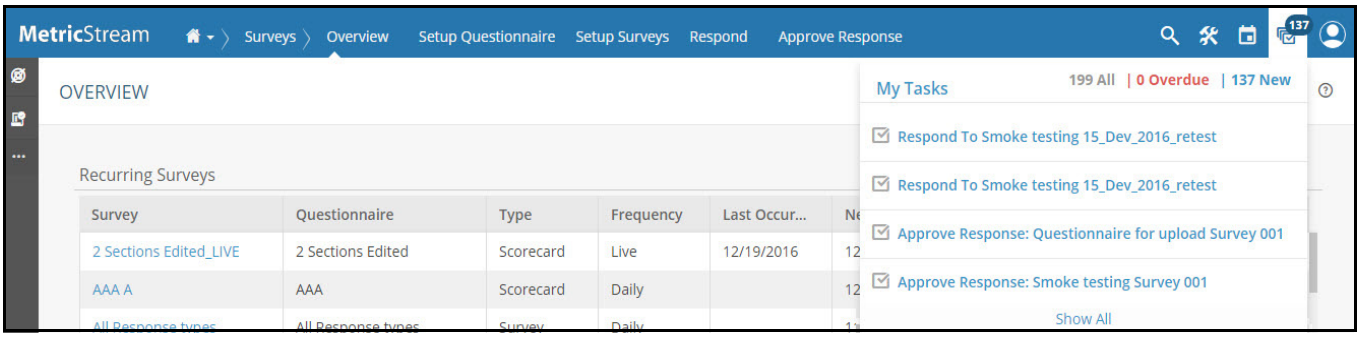

Figure 63 My Tasks

The **My Tasks** list displays the following:

- Count of all the assignments in black. In the preceding figure, the total number of task assignments are 23.
- Count of the assignments that have passed the due date in red. In the preceding figure, the total number of task assignments that have passed the due date are 17.
- Count of task assignments that are new in blue. In the preceding figure, the total number of newly assigned tasks are 20.
- All the task assignments with an appropriate syntax for an easy identification of the nature of task. These assignments are clickable.

2. Click the assignment link.

   The relevant form appears. You can review the details and perform the required action on the form.

   If you want to view all the assignments, click the **Show All** link at the bottom of the **My Tasks** list.

   You can search for the required assignment. You can also apply filters and narrow down the assignments based on the filter parameters.

For more information on My Tasks, refer to MetricStream Arno Release Spring '21 - Platform - User Guide.

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Hover Cards

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

Hover cards appear when you move the mouse pointer over:

- User names
- Titles

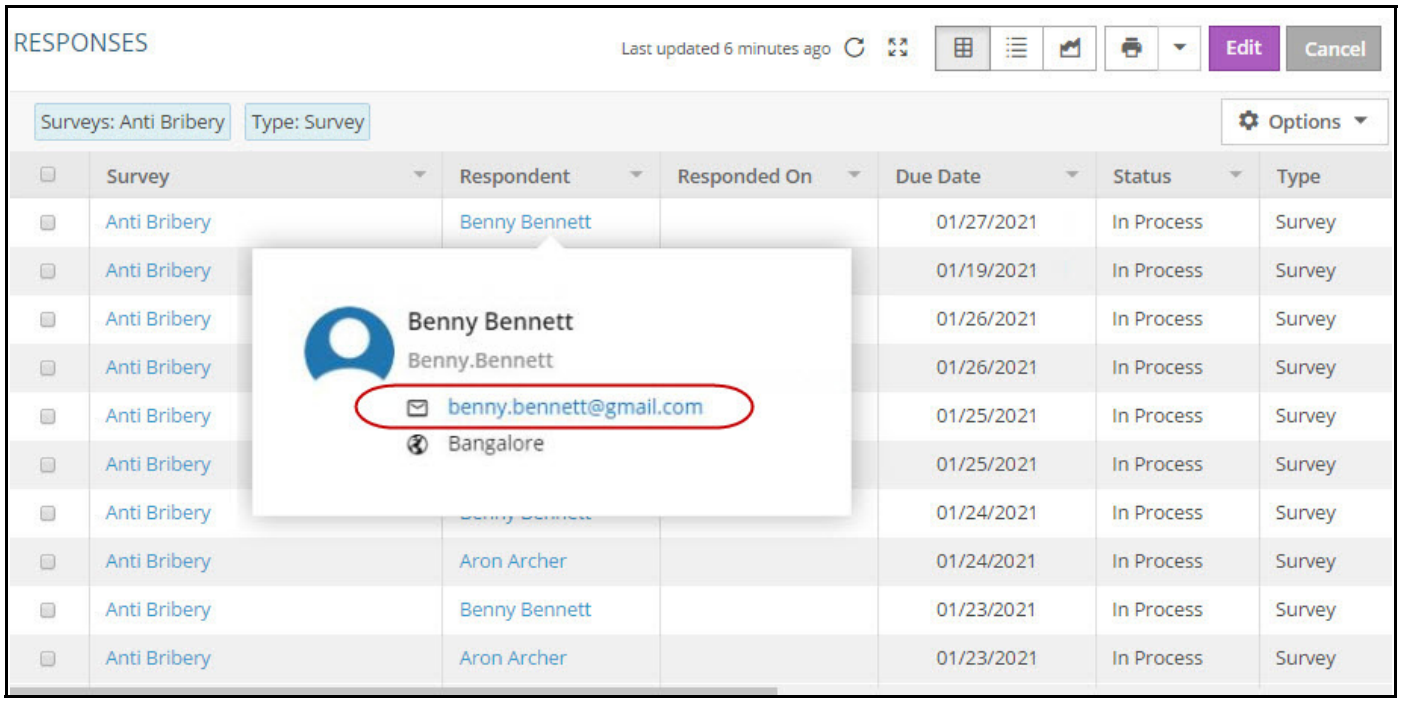

Figure 64 Hover Card - User Name

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

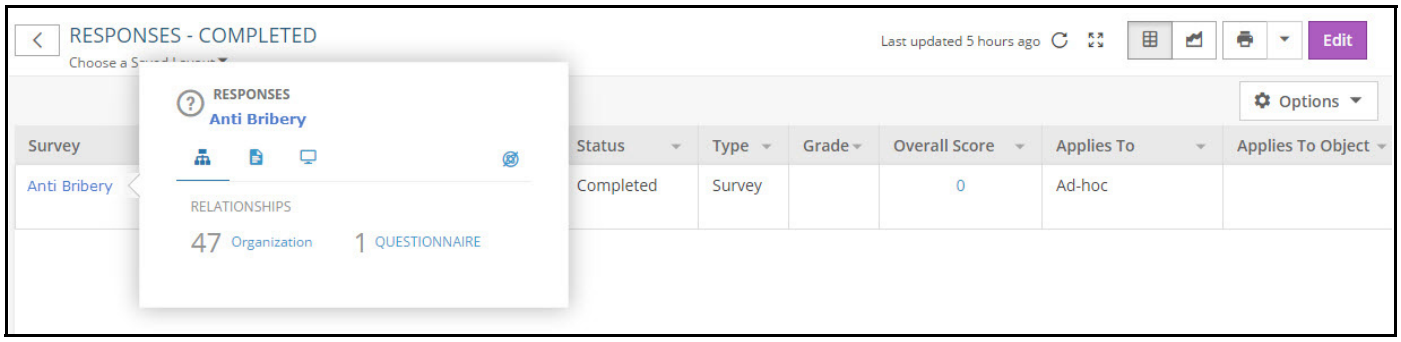

Figure 65 Hover Card - Title

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About Reports

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

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

Accessing Reports

You can access the reports by clicking specific links within an infoport or forms. However, some reports such as **Questionnaires** report are directly displayed in the infoport. To access such reports, navigate to the required infocenter and goto infoport.

Accessing Reports Through Links Within Infoports

Click the required **Infocenter Name** and click **Reports** as shown in the following figure.

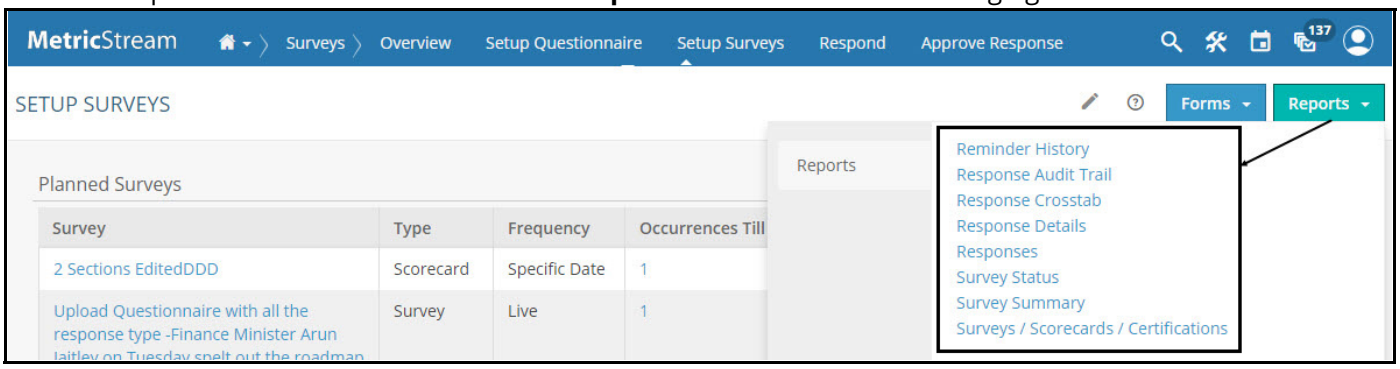

Figure 66 Accessing Reports Through Links Within Infoports

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.

Accessing Reports Through Links Within Forms

Click **Reports** icon in the required form, as shown in the following figure.

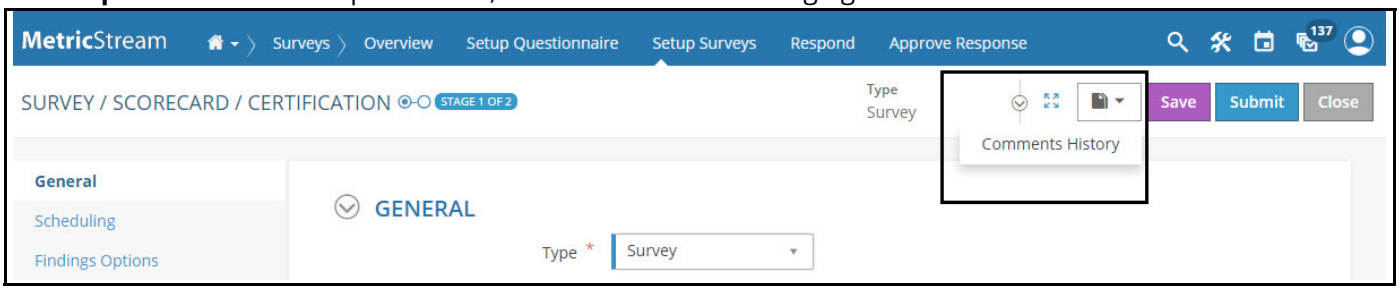

Figure 67 Accessing Reports Through Links Within Forms

The selected report appears.

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Filters

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

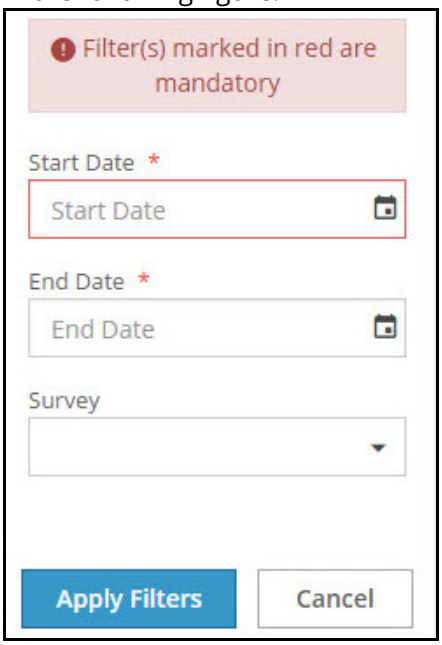

Figure 68 Report Filter

Note: If the report consists of any mandatory filters, the filters window appears along with the report. The report appears blank. Otherwise, the filters window is hidden and the report appears with content. You can access the filters window by clicking **Show Filters**.

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

   The available types of filters are:

   - **Mandatory filters**: You must provide data.
   - **Optional filters**: You can provide data in the filters or leave them blank.

Notes:

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

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

   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.

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

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

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

   The report retrieves the records based on the data entered in the filters.

   Note: To hide the filters, click **Hide Filters**.

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Display/Hide Columns in Reports

You can also filter the columns that you want to view or hide in the reports.

To view or hide columns, perform the following steps:

1. Click **Options** button in the report.

   The list of columns appears. The list of columns appears based on the current report.

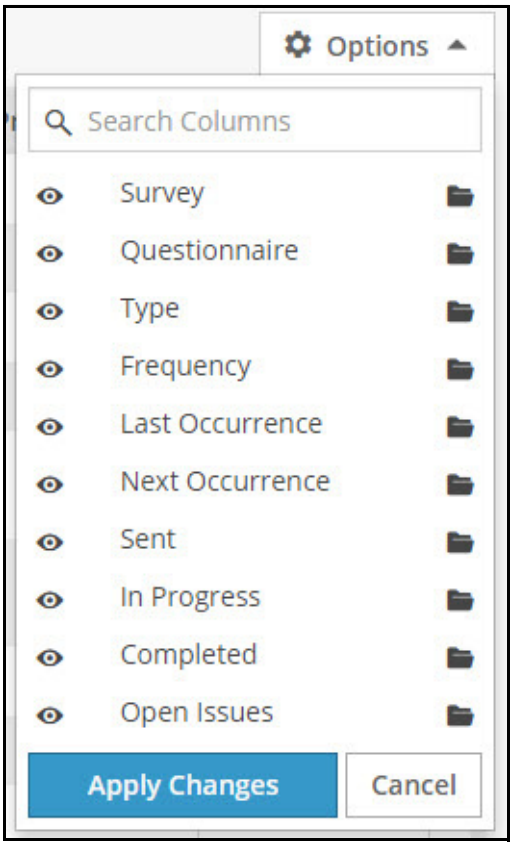

Figure 69 The Filter section

   By default, all column names are listed in the **Options** list.

2. Click **View** icon to hide the required column in the report.
3. Click **View** icon to make the column appear again in the report.
4. Click the **Apply Changes** button to apply the changes.

For more information on report options, column options, report views, export options, and pagination, refer to the 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 through bars in a bar chart, lines in a line chart, or slices in a pie chart.

Dashboards enable you to make informed decisions.

- You can access charts by clicking the **Overview** Infocenter and scrolling down to the bottom of the page.

Chart Drill Downs

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

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

Lock Functionality

Surveys allows multiple users logging in from their individual computers, work on the same form simultaneously at different stages of the Surveys life cycle. When multiple users are working on the same form, there is a possibility that the entered data might be lost. The lock functionality enables locking of the form so that only one user can work on the form at a time. The other users assigned to the same stage cannot work on it until the user who acquired the lock submits or closes it. This functionality is applicable only for those Surveys / Scorecards/ Certifications for which the value **One Copy** is selected in the **Send Option** field while creating the plan or when the respondents add collaborators while responding to a questionnaire.

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Email Notifications

As part of the pre-defined Surveys process flow, appropriate email notifications are generated and sent to the appropriate users.

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

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

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

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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					
• **Survey Name** field in the **Setup Survey** form • **Issue Title** field in the **Findings/ Issues** form • **Action Title** field in the **Findings/ Issues** form	^&^	, and ~	#_#	@@	@@<-	>@@
	$^^$	\\\|\\\|\\\|	$#$	|||	@#@	_$$_
	$$$	%#%	&#&	;#~	;#,	#~#
	[|]	|@^|	||^||	!^()^!	^^	<~>
	||!||	<!>	<::>	<*	|?	|#|

Notes:

- The special character "~" cannot be used in the list of values in any of the questions in a **Questionnaire** form.
- In a Data Lookup response type, if the stored values contain “~”, “_”, or space, then the values will not list in the **Response** form.

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

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Troubleshooting - Downloading Response File

If you are not able to download the file, make the following updates to the Internet Explorer settings:

1. Go to **Tools**, open **Internet Options** and click **Security** tab.
2. Click the **Custom Level...**button. The **Security Settings - Internet Zone** window appears.

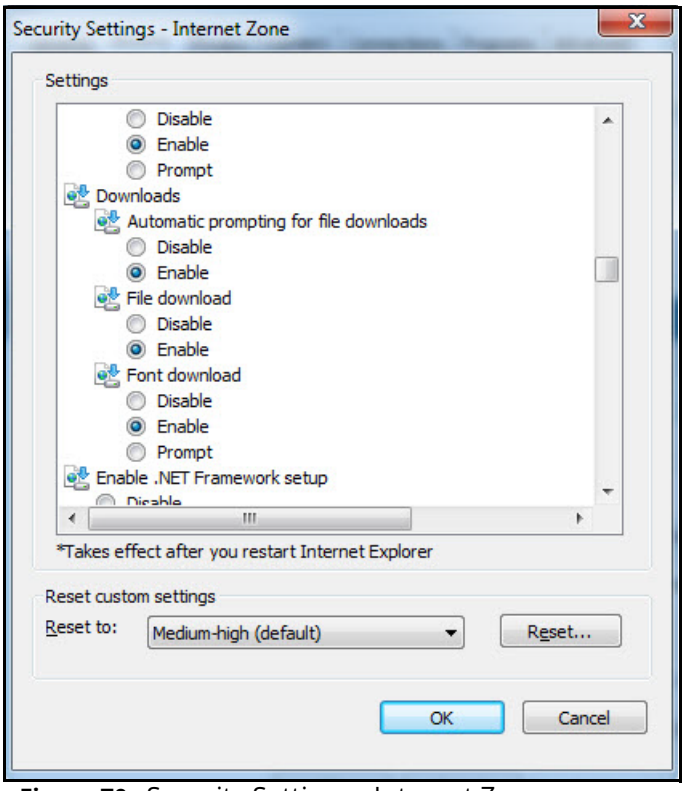

Figure 70 Security Settings - Internet Zone

3. Navigate to Downloads and select the following:

   In the Automatic prompting for file downloads and File Downloads select **Enable** option. The **File Download** dialog box appears.

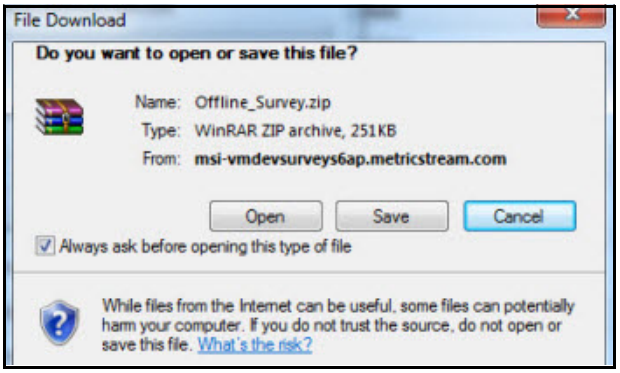

Figure 71 File Download Dialog Box

The Response assignment opens in MS Excel.

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Enabling Macros

After opening the Excel file, if macros are disabled, the Excel file displays the following message:

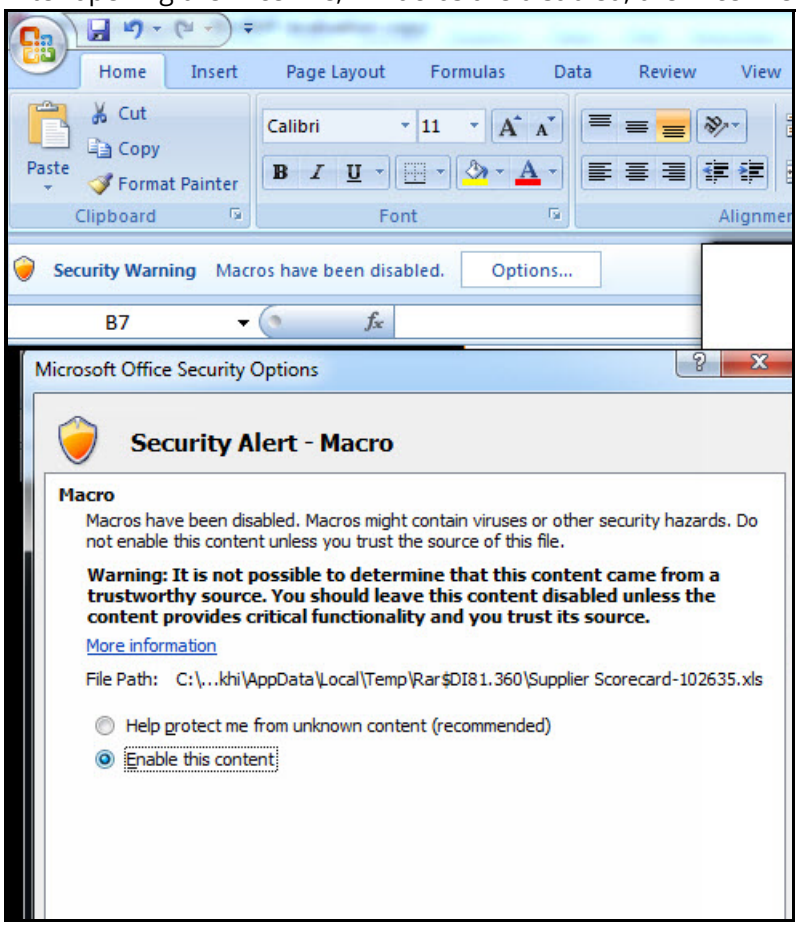

Figure 72 Macro - Security Alert

To enable macros:

1. Click the **Options...**button next to the Security Warning message. The Microsoft Office Security Options window appears.
2. Select the **Enable this content** option button.
3. Click **OK**.

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Glossary

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 - Surveys - Administrator Guide
- MetricStream Arno Release Spring ’21 - Platform - User Guide
- MetricStream Arno Release Spring ’21 - Platform - Configuration Guide
- MetricStream Arno Release Spring ’21 - Platform - Administrator Guide

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