

Version 25.2ab (Compliance Management)

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Improvements

Compliance Management

- AI Quick Actions set up for both Summarize Regulatory Text and find Similar Requirements on requirement forms:
 - Requirement - CM - 1 - Library
 - Requirement - CM - 1a - Library (New/Updated Requirement)
 - Requirement - CM - 2 - Risk Assessment
- Simplified the Compliance Management User Interface by renaming workflows, repositioning actions, and adding contextual guidance.
 - Renaming Workflows to improve clarity.
 - Created an orchestrated event to move all requirements from Assign Compliance to Assess Compliance.
 - Guidance text added to recommend running the Supporting Information trigger.
 - Removed the description column from the Regulatory Update report.
 - Progress and control coverage is now visible at the framework level.
 - Configuration Details:
 - Compliance Assessment - Requirement Workflow:
 - Renamed workflow state Assign Compliance Owner → Assign Compliance. Within this workflow renamed button Send for Risk Assessment → Send for Compliance Assessment
 - Renamed workflow state Assess Risk → Assess Compliance
 - Compliance Assessment workflow:
 - Added button "Assess Compliance" and OE: Assess Compliance from Compliance Assessment in Progress. Consumed OE on Compliance Assessment - Requirement Workflow- Assign Compliance
 - Gave access to Compliance Team
 - Added button and description to Compliance Assessment - 1 - Overview
 - Regulatory Updates Report:
 - Created new data definition Regulatory Updates, Alert, Requirement
 - Removed requirement description column from all tables and added date updated
 - Requirement - CM - 2 - Risk Assessment form
 - Added a section for description and made it collapsable.
 - Sub Topic - CM - Assessment in Progress

- Added column "Compliance Level" on requirements relationship table
- Compliance Framework - Library Form:
 - Reordered reports on tabs
 - Created a separate collapsable section for Supporting Information
- Compliance Team User permissions:
 - Removed "assign" permission from requirement OT - Regulatory Update workflow state
 - Added "assign" permissions on Alert OT - Regulatory Update workflow state
- Parent OTs in read-only pills on Compliance Forms:
 - Requirement - CM - 1 - Library
 - Sub Topic - Library
 - Topic - Library
 - Requirement - CM - 2 - Risk Assessment
 - Sub Topic - CM - Assessment in Progress
 - Topic - CM - Assessment in Progress
- Progress & Control Coverage # Requirements Library:
 - On Subtopic OT created formula # Active Requirements with variable relationship - requirement - active status component - count AND variable relationship - requirement - regulatory update status component - count. Sum of active requirements.
 - On Topic OT created formula # Active Requirements with variable REQUIREMENTS.
 - On Compliance Framework OT created # Active Requirements with variable REQUIREMENTS.
- Assessments:
 - On Subtopic OT created # Requirements with SUM
(ASSIGNCOMPLIANCEREQUIREMENT) + SUM
(ASSESSCOMPLIANCEREQUIREMENT) + SUM
(COMPLIANCETEAMREVIEWREQUIREMENT) + SUM
(REMIEDIATIONREQUIREMENT) + SUM (MONITORINGREQUIREMENT)
 - On Topic created # of Requirements with variable REQUIREMENTS
 - On Compliance Framework created # of Requirements with variable REQUIREMENTS
 - Compliance Assessment created # of Requirements with variable REQUIREMENTS
- # Controls:
 - On requirement OT created formula #controls with variable SUM (COUNT)
 - On sub topic OT created formula #controls with relationship requirement and

control formula sum

- On topic OT created formula # controls with relationship sub topic and control formula sum
- On framework OT created formula # controls with relationship topic and control formula sum
- On compliance assessments created formula # controls with relationship framework and control formula sum
- Control Coverage:
 - On requirement OT created formula Control Coverage with relationship controls and COUNT>=1?1:0
 - On requirement OT created Library Controls formula any DRAFTCONTROL OR ACTIVECONTROL
 - On sub topic OT created Library Controls formula LIBRARYCONTROLS
 - On topic OT created Library Controls formula LIBRARYCONTROLS
 - On compliance framework OT created Library Controls formula sum LIBRARYCONTROLS
 - On requirement OT created RCM Controls formula any ASSIGNCONTROLOWNERCONTROL OR SELFASSESSMENTCONTROL OR REVIEWCONTROL OR REMEDIATIONCONTROL OR COMPLETECONTROL
 - On sub topic OT created Library Controls formula RCMCONTROLS
 - On topic OT created Library Controls formula RCMCONTROLS
 - On compliance framework OT created Library Controls formula RCMCONTROLS
 - On sub topic OT created Control Coverage formula RCMCONTROLS/REQUIREMENTS
 - On sub topic OT created Active Control Coverage formula LIBRARYCONTROLS/ACTIVEREQUIREMENTS
 - On topic OT created Control Coverage formula RCMCONTROLS/REQUIREMENTS
 - On topic OT created Active Control Coverage formula LIBRARYCONTROLS/ACTIVEREQUIREMENTS
 - On Compliance Framework OT created Control Coverage formula RCMCONTROLS/REQUIREMENTS
 - On Compliance Framework OT created Active Control Coverage formula LIBRARYCONTROLS/ACTIVEREQUIREMENTS
 - On Compliance Assessment created Control Coverage formula RCMCONTROLS/REQUIREMENTS
- Added formulas in the following forms:
 - Regulator Library – Library

- Compliance Framework – Library
 - Topic – Library
 - Sub Topic – Library
 - Requirement - CM - 1 – Library
 - Compliance Assessment - 1 – Overview
 - Compliance Framework - CM - Assessment In Progress
 - Topic - CM - Assessment in Progress
 - Sub Topic - CM - Assessment in Progress
 - Requirement - CM - 2 - Risk Assessment
- Standardized the Compliance Management application by eliminating inconsistent naming and improving form design and report structure.
 - Configuration Details:
 - View and Activities:
 - Renamed activities Assign Compliance Owner → Assign Compliance (updated description); Assess Risk → Assess Compliance.
 - Within Assign Compliance Activity renamed views Assign Compliance Owner Report→ Assign Compliance Report; Assign Compliance Owner → Assign Compliance and updated description.
 - Within Assess Compliance activity renamed Requirements Pending Risk Assessment → Requirements Pending Compliance Assessment and updated description.
 - Removed Requirements Overview Report view from activities Assess Compliance, Review and Remediation.
 - Reporting:
 - Removed role "compliance team" from Executive Dashboard.
 - Removed role "compliance team" from Management Dashboard.
 - Removed role Compliance Management Administrator and Compliance Team from "Compliance Management" activity on "Reports".
 - Created activity "reports" and added the following views:
 - Removed role "compliance team" from Executive Dashboard.
 - Removed role "compliance team" from Management Dashboard.
 - Removed role Compliance Management Administrator and Compliance Team from "Compliance Management" activity on "Reports" App.

All Applications

- Application Data import files were updated to match the Risk Management Data Import file (unless otherwise stated), creating an integrated story across the GRC suite of applications.
- Created two new dashboard views to include all GRC application data, allowing users to

view all GRC data in one place.

- GRC Executive Dashboard
- GRC Management Dashboard
- Applied changes to form design across all GRC applications to ensure that all forms follow a consistent standard, creating a better user experience.
- Enabled View Latest Update on the following forms:
 - Requirement - CM - 1a - Library (New/Updated Requirement): Automatically enable the view latest updates toggle when opening this form
 - Requirement - CM - 2 - Risk Assessment
 - Requirement - CM - 1 - Library
 - Requirement Detail - Library
 - Requirement Detail - Library (New/Updated Requirement)
 - Requirement Detail - New/Updated Requirement
 - Control - GRC - 2 - Control Self-Assessment
 - Risk - RM - 5a - Assess Risk
 - Risk - RM - 5c - Assess Risk (Step by Step)
 - Internal Audit Project - 3 - Fieldwork, Reporting, Complete and Archive
 - Internal Audit Project - 2- Planning Memo
 - Process - IA - Process Overview
 - Risk - IA - Risk Overview
 - Control - IA - Testing Working Paper
 - Test - IA - Testing Working Paper
 - IC - Financial Statement Account Overview
 - IC - Financial Statement Sub Account Overview
 - Process - IC - 1 - Process Overview
 - Process - IC - 2 - Process Owner Overview
 - Sub Process - IC - Overview
 - Control - IC - 2a - Control Walkthrough and Testing
 - Request - IA & IC - 1 - Auditor
 - Policy - GRC - Overview - Policy Reviewer
 - Citation - IT Compliance - 3 - Internal Assessment
 - Control - IT Risk & Compliance - 3 - Assessment
 - Control - GRC - 1 - Library
 - Control - GRC - Report (Pallet)
 - Control - IA - Audit Client Overview
 - Control - IA - Document Requests (Pallet)
 - Control - IC - 2b - Document Requests (Pallet)
 - Control - IC - 3 - Control Owner Overview

- Control - IC - 5 - External Auditor Overview
- Control - IT Risk & Compliance - 2 - IT Control Owner Assignment
- Issue - GRC - Overview
 - Corrective Action - GRC - Overview