INTRODUCTION

The **HOPEX Compliance** solution covers the entire regulatory compliance management process.

This solution allows you to identify, implement and follow up regulations and requirements. The objective is to measure the degree of compliance of your enterprise to regulations. If requirements are not correctly met, the compliance manager can create issues and action plans.

The solution is intended for compliance managers, internal controllers, process and operational managers throughout the regulatory compliance management process.

- ✓ "Compliance Management Process", page 2
- ✓ "Profiles", page 4
- ✓ "About This Guide", page 6

Compliance Management Process

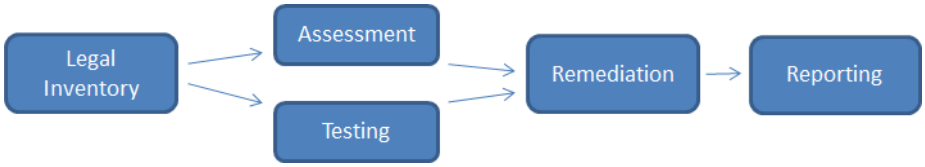
Compliance allows employees of an enterprise to comply with external laws and regulations, as well as with procedures, policies and directives of their organizations and with ethical principles.

HOPEX Compliance covers different phases of the regulatory compliance management process and simplifies compliance setting.

Compliance Steps

Compliance phases are the following:

- Definition of legal inventory of the enterprise
- Implementation of the compliance management process via:
  - Assessment of requirements
  - Compliance tests (testing)
- Issue processing using action plans



☛ *Reporting functions are available at all times, either globally or for each compliance management process step.*

Defining the Legal Inventory

Legal inventory definition is a prerequisite to assessment of requirements.

The solution enables definition of the compliance level of the enterprise, using identification of the regulatory framework universe of the organization and identification of impacts of regulations and requirements on processes, risks and controls.

HOPEX Compliance allows compliance managers to:

- identify and define regulations and requirements
- contextualize controls in the enterprise repository, that is to connect them to regulations and other appropriate context objects.

☛ *For more details, see "Managing the Legal Inventory", page 21.*

Implementation

The implementation phase comprises:

- assessment of requirements directly or via assessment campaigns.
- testing of requirements via compliance tests.

☛ *Assessment and testing of requirements can be carried out independently.*

Assessing requirements

The objective of assessing requirements is to assess the potential risk of non-compliance with regulatory requirements. In this framework, questionnaires are sent to operational management.

☛ *For more details, see "Assessing Requirements", page 35.*

Testing requirements

Compliance controllers can execute tests to determine effectiveness of process control.

☛ *For more details, see "Testing Requirements", page 67.*

Monitoring and Remediation

Generating reports

Numerous reports supplied as standard enable identification of non-compliances and assure efficient follow-up during compliance management phases.

☛ *For more details, see "HOPEX Compliance Reports", page 105.*

Remediating non-compliances

Issue solving is formalized by implementation of action plans. These action plans enable organization and restructuring of processes in order to comply with the defined level. For more details, see "Managing Issues and Action Plans", page 57.

☛ *In the case of testing requirements via compliance tests, controllers process non-compliances by means of recommendations and actions. See "Test Follow-Up", page 99.*

ACCESSING HOPEX COMPLIANCE

Connecting to HOPEX Compliance

Pour connect to HOPEX, see **HOPEX Common Features**, "HOPEX desktop", "Accessing HOPEX (Web Front-End)".

Profiles

In **HOPEX Compliance** , there are, by default, profiles with which specific activities are associated.

The profiles used are:

- Compliance Manager
- Compliance Controller
- Business User - Compliance
- Compliance Functional Administrator

Presentation of the solution interface depends on the profile selected by the user at connection to the application; the tree of menus and functions varies from one profile to another.

The **HOPEX Compliance** solution allows the compliance department to manage relations with business users.

Profiles	Tasks
Compliance Manager	- Manages legal inventory - Prepares and validates campaigns - Prepares compliance plans - Validates and follows up recommendations - Has all compliance controller rights
Compliance Controller	- Answers assessment questionnaires - Executes compliance testing (specify work program, assess requirements, create findings and recommendations) - Validates and follows up actions
Compliance Functional Administrator	- Has all rights on workflows, objects and menus of the solution
Business User - Compliance	- Answers evaluation questionnaires on requirements - Owns recommendations resulting from the testing activity - Defines and implements actions

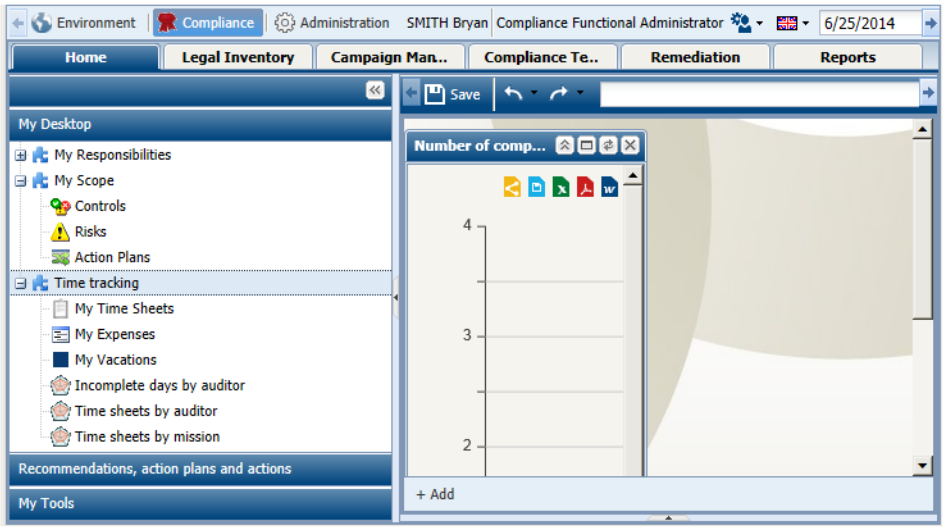
Presentation of the HOPEX Compliance Interface

The menus and commands available in **HOPEX Compliance** depend on the profile with which you are connected.

☛ *For more details on profiles, see "Profiles", page 4.*

The navigation tabs available at the top of the page relate to the different phases of compliance management:

- Legal Inventory
  See "Managing the Legal Inventory", page 21.
- Campaign Management
  See "Assessing Requirements", page 35.
- Compliance Testing
  See "Testing Requirements", page 67.
- Remediation
  See "Managing Issues and Action Plans", page 57.
- Reports
  See "HOPEX Compliance Reports", page 105.



☛ *For more details on how to use the interface, see the **HOPEX Common Features** guide.*

About This Guide

This guide presents the features of **HOPEX Compliance** solution. It follows the main steps described in paragraph "Compliance Management Process", page 2.

✓ "Guide Structure", page 6
✓ "Additional Resources", page 6

Guide Structure

This guide comprises the following chapters:

- ✓ "Functional Administration", page 9: managing the control environment, defining calendars required for execution of campaigns, managing teams, managing currencies and configuring timesheets.
- ✓ "Defining the Environment for HOPEX Solutions", page 19: describes the different elements of the environment elements used in **HOPEX** solutions.
- ✓ "Managing the Legal Inventory", page 21: defining regulations and requirements and their application scope.
- ✓ "Assessing Requirements", page 35: directly assessing requirements, managing requirement assessment campaigns.
- ✓ "Testing Requirements", page 67: preparing, executing and following up compliance testing.
- ✓ "Managing Issues and Action Plans", page 57: managing issues and action plans.
- ✓ "HOPEX Compliance Reports", page 105
- ✓ "Glossary", page 163
- ✓ "Appendix - Workflows", page 123: presents workflows used in the solution.

Additional Resources

This guide is supplemented by:

- the **HOPEX Common Features** guide, which describes the **HOPEX** general interface and specificities of solutions.

  ☛ *It can be useful to consult this guide for a more detailed general presentation of the interface.*

- the **HOPEX Power Supervisor** administration guide.

FUNCTIONAL ADMINISTRATION

So that the different participants can play their roles, the functional administrator must first create and manage the elements required for preparation of the tasks for each of them.

- ✓ "Environment Management", page 10
- ✓ "Managing Campaign Calendars", page 11
- ✓ "Managing Teams", page 13
- ✓ "Managing Currencies", page 16
- ✓ "Configuring Time Sheets", page 19

ENVIRONMENT MANAGEMENT

The functional administrator is authorized to update all information concerning the environment.

To access information concerning the environment of the enterprise:

- At top left in the application, click the button corresponding to the **Environment** desktop.

  ☛ *For a detailed description of the environment, see* *"Defining the Environment for HOPEX Solutions", page 19*

MANAGING CAMPAIGN CALENDARS

Assessment campaigns are based on calendars divided into calendar periods.

> ☛ *For more details on assessment campaigns, see "Assessing Requirements by Questionnaires", page 41*
>
> 🕮 *A campaign calendar enables planning of campaigns and their division into periods called calendar periods. Campaign calendars can also be used in reports or to plan audits/tests/compliance.*

A calendar often covers a period of one year, either a fiscal year or a calendar year. In the latter case, a calendar period can correspond to a quarter.

Creating Calendars

To create a calendar:

1. In the **Compliance** desktop, select **Compliance Testing > Preparation > Calendars**.
2. In the right pane of the window, click **New**.
3. Enter the **Name** of the calendar and its begin and end dates.
4. Click **OK**.

You can then define calendar periods.

Creating calendar periods

To create calendar periods:

1. Open the **Properties** of the calendar.
2. Click the **Characteristics** tab.
3. In the **Calendar Period** section, click **New**.
4. Enter the **Name** of the calendar period and its begin and end dates.
5. Click **OK**.
6. Create other calendar periods in the same way.

The calendar is created. It can then be connected to a compliance plan.

Connecting a Calendar to a Plan

To connect a calendar to a plan:

1. In the **Compliance** desktop, select **Compliance Testing > Plans**.
2. Open the properties of the compliance plan that interests you.
3. Click **Characteristics**.
4. In the **Calendar** field, click the arrow and select **List** to display the list of calendars.
5. Select the calendar to be connected to the plan.

6. Click **OK**.

MANAGING TEAMS

Before planning compliance testing, appropriate teams must be set up and roles and responsibilities assigned.

> ☛ *For more details on compliance testing, see "Testing Requirements", page 67.*

Tools are available that enable definition and display of the skills of team members.

Creating Controllers

To create a controller, you must create a person and associate the "Compliance Controller" profile.

> ☛ *For more information on creating of users and role assignations, see "Managing Users" in **HOPEX Power Supervisor** guide.*

Managing Controller Skills

HOPEX Compliance enables management and viewing of skills for each controller.

To do this, you must previously have defined:

- skill types
- skills list
- skill levels

Creating skill types

To create a skill type:

1. In the **Administration** desktop, select **Skill Management** > **Skill Types**.
2. Click **New**.
3. Enter a **Name** for the skill type, for example "Languages".
4. Click **OK**.

Creating skills

To create a skill:

1. In the **Administration** desktop, select **Skill Management** > **All Skills.**
2. Click **New**.
3. Enter a **Name** for the skill, for example "English".
4. Click **OK**.
   The new skill is added to the list of skills.
   In properties of the skill you can indicate the **Skill Type** to which it is attached, for example "Languages".

Creating skill levels

You must now create skill levels to be associated with each skill type.

To create a skill level:

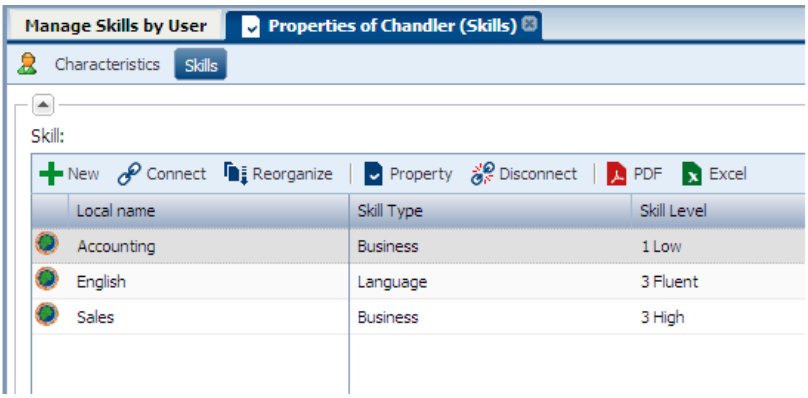
1. In the **Administration** desktop, select **Skill Management > Skill Levels**.
2. Click **New**.
3. Enter a **Name** for example "Beginner" for "Languages" skill type.
4. Click **OK**.
5. In skill level properties, select the **Skill Type** to which it is attached, here "Languages".
6. In **Skill Level Internal Value**, enter a figure corresponding to the skill level, for example "1" for "Beginner" (while "4" could correspond with "Experienced" in our example).

   ☛ *This figure gives a graphic view of the extent of controller skills in the compliance test assignment page.*
7. Click **Apply**.
8. Close skill level properties.

Defining skills for each user

To define the skills of a user:

1. In the **Administration** desktop, select **Skill Management** > **Manage Skills by User**.
2. Select a user and click the **Properties** button.
3. In the properties page, click **Skills**.
   In the page that appears, you can specify user skills as a function of previously defined skill types and skill levels.



Example of skills

Viewing skills

To view the skills and skill levels available within the team:

- In the **Administration** desktop, select **Skill Management** > **View Users and Skills**.

A list appears. You can sort the list by skill, skill level and user by clicking the header of the corresponding column.

View Users With Skills

Skill	Skill Level	Person (System)
Accounting	1 Low	Chandler
Sales	3 High	Chandler
English	3 Fluent	Chandler
Sales	3 High	Ernesto
English	3 Fluent	Ernesto
French	2 Read/Written/Spoken	Ernesto
Accounting	3 High	Ernesto
Sales	2 Medium	Kim
English	3 Fluent	Kim
Accounting	2 Medium	Kim
Sales	3 High	Luca
Accounting	3 High	Luca
English	3 Fluent	Luca

MANAGING CURRENCIES

Currencies are used in the framework of compliance testing for completion of expense sheets.

☛ *For more details on use of this information in compliance testing, see "Managing expenses", page 92.*

The following points explain how to manage these currencies.

Currency Use Principle

Two currency types should be distinguished:

- central currency
- local currency

Central currency

Central currency is the currency adopted as reference currency.

Local currency

A local currency is defined for each user. By default it is the same as central currency.

Defining Central Currency

To define central currency:

1. In the Administration application (administration.exe) connect to the environment in which you wish to work.
2. Right-click the repository and select **Options > Modify**.
   The repository options window opens.
3. Select the **Installation > Currency** folder.
   The list of currencies available as standard appears on the right.
4. In the **Monetary Symbol** field, specify the symbol of your consolidation currency, for example "$".
5. In the **Central Currency** field, select your consolidation currency, for example "US Dollar".
6. Click **OK**.
7. Exit the Administration application.

Defining Local Currency

You can choose a local currency different from the central currency. To do this, you must connect to **HOPEX Windows Front-End** with your login.

To modify user local currency:

1. Start **HOPEX Windows Front-End** and connect with your login.
2. In the desktop, select **Tools > Currency** and select the currency that interests you.
3. Exit **HOPEX**, dispatching your private workspace.

When you reconnect to **Web Front-End** with your login, the currency proposed by default for your expense sheet expenses is the currency you have just defined.

Modifying User Local Currency

Local currencies proposed to users of the application are defined with the **HOPEX** Administration application.

To define the list of local currencies:

1. In the folder where **HOPEX** is installed, launch "Administration.exe" and connect with a user that has data administration authorization rights.
2. Select the environment then the repository on which you want to work.
3. Right-click the repository and select **Options**.
   The repository options window opens.
4. Select the **Installation > Currency** folder.
   The list of currencies available as standard appears on the right.
5. Then select all the currencies that will be used locally by your users.
6. Click **OK**.
7. Exit the Administration application.

Managing Exchange Rates

Entering an exchange rate

To enter an exchange rate:

1. In the **Administration** desktop, select **Currencies > Exchange Rate**.
2. Click **New**.
3. Select the line created and select **Properties**.

4. In the window that appears, enter:
   - the **Currency Code To**.
   - the **Rate** of the source currency related to the final currency.
   - the **Rate Date Begin**.

☛ *Several exchange rate periods can be entered for the same currency. When entering expenses, the most recent exchange rate is taken into account.*

☛ *You must enter the exchange rate in both directions, for example:*

- *EUR->USD*
- *USD->EUR*

Viewing an exchange rate

To view an exchange rate:

1. In the drop-down lists above the table, select the source and final currencies.
2. Click **Refresh**.
   The exchange rates for the selected currency appear.

☛ *To reverse the exchange rate, click button*

CONFIGURING TIME SHEETS

Compliance controllers can complete time sheets in the framework of their compliance test. The functional administrator can modify time sheet default configuration.

> ☛ *For more information on use of time sheets, see "Completing a time sheet", page 93.*

The functional administrator can define:

- number of hours worked per day
- days not worked in enterprise

To configure this data:

1. Click button at the right of the connection role, then **Options**.
2. In the window that appears, expand the folders **Installation > User Management**.
3. In the right pane of the window, specify:
   - the number of **Hours/Day** for each auditor.

     > ☛ *Default value is "8".*

   - days corresponding to weekend

     > ☛ *Default values are "Saturday" and "Sunday".*

MANAGING THE LEGAL INVENTORY

The purpose of a legal inventory is to manage the regulation framework applying to an organization.

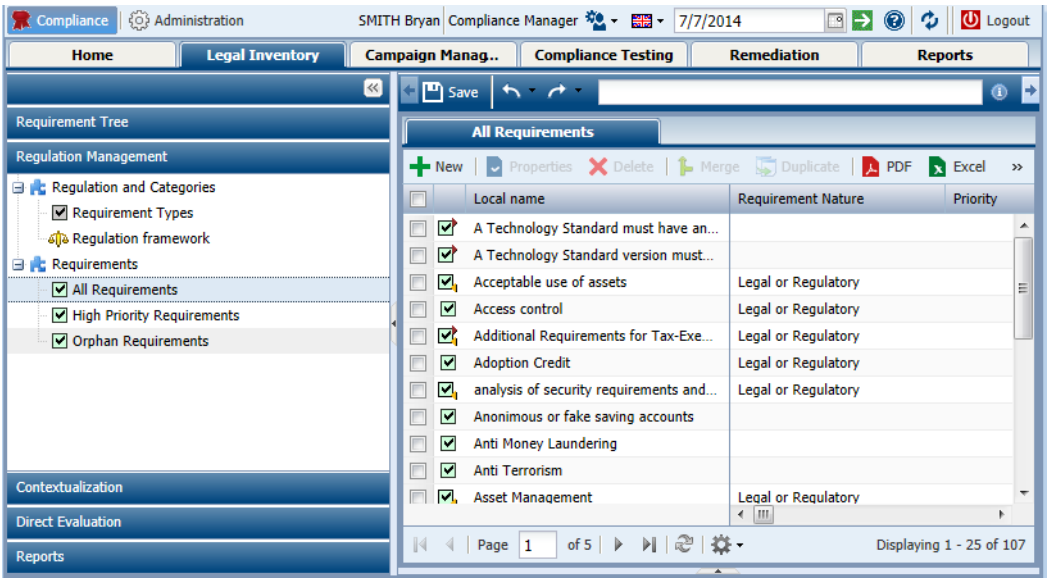
HOPEX Compliance enables creation of this legal inventory, generally derived from an external source (for example, the American Bankers Association).

Regulations and requirements can be organized by process, entity and risk.

Each regulation and requirement can be connected to different processes, risks and entities. This "contextualization" allows compliance managers to position requirements and carry out appropriate assessments.

- ✓ "Legal Inventory Overview", page 22
- ✓ "Defining Regulations", page 24
- ✓ "Defining Requirements", page 26
- ✓ "Managing Regulations and Requirements", page 31

Legal Inventory Overview



Legal Inventory Content

The legal inventory constitutes the regulation framework repository applying to an organization. The regulation framework comprises:

- regulations

  A regulation is a set of directives, compulsory or not, defined by a government in a law, by standard bodies as "best practices" or as an internal policy in an organization.

  For more details, see "Defining Regulations", page 24.

- requirements

  A requirement is a need or expectation explicitly expressed, imposed as a constraint to be respected within the context of a project. This project can be a certification project or an organizational project or an information system project.

  For more details, see "Defining Requirements", page 26.

Updating the Legal Inventory

The legal inventory is generally supplied by external sources.

The Functional Administrator or Compliance Manager regularly imports:

- regulations
- requirements (first and second level)

To execute import:

❱ Select **Home > My Tools > Excel > Import**.

☛ *For more details on the import tool, see **HOPEX Common Features** guide, "Exchanging Data with Excel".*

Legal Inventory Objects

Legal Inventory Context

Regulations and requirements can be organized by:

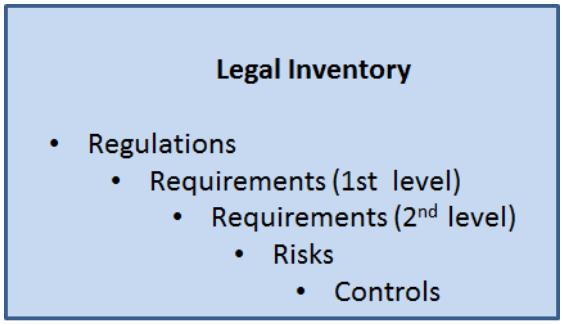
- process (business or organizational)
- entity
- risk

Regulations and requirements can be:

- connected to risks and to all levels of processes and entities
- connected to several processes, entities and risks

Legal Inventory Hierarchy

Legal inventory repository objects are managed as follows:



The Compliance Manager manages the hierarchy of the legal inventory and can connect regulations and requirements to processes, entities and risks.

☛ *For more details, see "Managing Regulations and Requirements", page 31.*

DEFINING REGULATIONS

You can define regulations from the **Environment** desktop. For more details, see "Regulations", page 33.

In the framework of compliance management, you can create and submit a regulation for approval.

To access regulations:

1. In the **Compliance** desktop, select **Legal Inventory > Regulation Management > Regulation Frameworks**.
2. Select a regulation in the tree.
   Its properties appear on the right.

Regulation Characteristics

You can specify:

- **Code**: enables unique identification of the regulation
- **Policy Owner**

  ☛ *Here are proposed the persons assigned to the following profiles: "Compliance Functional Administrator", "Compliance Manager" , "Compliance Controller" or one of the super-profiles (for instance: Auditor/Controller/Compliance Controller).*
- **Policy Approver**: mandatory in order to trigger the workflow and submit the regulation for approval
- **Expiration Date**
- **Last Update**: date on which the regulation was last updated

  ☛ *Creation date and status cannot be modified. The status corresponds to the workflow status of the regulation. For more details, see "Regulation Workflow", page 124.*

Policy Publication Workflow

The workflow concerning regulations enables agreement on regulations to be applied. For more details, see "Regulation Workflow", page 124.

It presents the following steps:

Submitting the regulation

The regulation owner submits the regulation for validation.

Validating or requesting modifications

The approver:

- validates the regulation
- or requests the owner to carry out modifications.

Publishing the regulation

When the regulation has been validated by the approver, it can be published by the owner.

Having been published, it is visible to all.

DEFINING REQUIREMENTS

Creating Requirements

The compliance manager and the administrator can create requirements.

To create a requirement:

1. In the **Compliance** desktop, select **Legal Inventory > Regulation Management > Requirements > All Requirements**.
2. Click **New**.
   The requirement appears in the list of requirements. You can now specify the various characteristics from the properties window.

   ☛ *For more details, see "Requirement Characteristics", page 27.*

Listing Requirements

By default, requirements are visible to all.

You can access these via different lists and trees.

To list requirements:

- In the **Compliance** desktop, select **Legal Inventory > Regulation Management > Requirements > All Requirements**.
  You obtain the list of all requirements in the repository.

Viewing "orphan" requirements

To view requirements that have not yet been contextualized:

- In the **Compliance** desktop, select **Legal Inventory > Regulation Management > Requirements > Orphan Requirements**.
  All requirements that have not been connected to a context object (entity, process, regulation) appear. These are elements for which scope has not been defined.

Accessing requirements by context

To access requirements:

- In the **Compliance** desktop, select **Legal Inventory > Regulation Tree**.

Requirements are classified by:

- processes and entities
- process
- regulations

Requirement Characteristics

Different sections are available in the properties of a requirement.

☛ *To access requirements, see "Listing Requirements", page 26.*

Requirement general characteristics

Code

The code enables unique identification of the requirement.

Parent requirement

This is the requirement to which this requirement is attached.

Requirement type

A requirement type defines a risk typology standardized within the context of an organization.

Regulation framework

A regulation is a set of directives, compulsory or not, defined by a government in a law, by standard bodies as "best practices" or as an internal policy in an organization.

☛ *For more details on regulations, see "Defining Regulations", page 24.*

Priority

Priority can be:

- Low
- Medium
- High

Source of Legislation

Legislations can be come from different sources:

- Stock Market Regulator
- Government
- National Bank

Type of legislation source

Legislation sources can be of two types:

- primary: legislation prevailing over any other legislation source
- secondary: derived legislation occupying a rank lower than primary legislation in the legal hierarchy; it provides information complementing primary legislation and can be presented in the form of rules, directives, decrees and frameworks.

Sanction type

- Penal pecuniary at risk penalty
- Administrative - medium risk of penalty
- Administrative - high risk of penalty
- Accessories
- Liability
- Penal detention
- N/A

Sanction

Here you can enter a text concerning the sanction applied if the requirement is not met.

Issuer

Here you can enter the requirement issuing organization.

Suggested test

This text indicates a text enabling verification of whether the requirement is met or not.

Analysis

- Risk factors

  A risk factor is an element which contributes to the occurrence of a risk or which triggers a risk. Several risks can originate from the same risk factor. Examples: the use of a hazardous chemical product, the complexity of an application, the size of a project, the number of involved parties, the use of a new technology, the lack of quality assurance, the lack of rigor in requirement definition, etc.

- Event type Basel (level 1)
- Event type Basel (level 2)

Responsibilities

HOPEX Compliance enables definition of responsibilities of each participant related to a requirement via the RACI matrix:

For more details, see "RACI", page 41.

Scope

The **Scope** section of requirement properties enables connection of requirements to other objects:

- Business process

  A business process represents a system that offers products or services to an internal or external client of the company or organization. At the higher levels, a business process represents a structure and a categorization of the business. It can be broken down into other

processes. The link with organizational processes will describe the real implementation of the business process in the organization.

- Organizational processes

  An organizational process is a set of operations performed by org-units within a company or organization, to produce a result. It is depicted as a sequence of operations, controlled by events and conditions.

- Entities

  An entity can be internal or external to the enterprise: an entity represents an organizational element of enterprise structure such as a management, department, or job function. It is defined at a level depending on the degree of detail to be provided on the organization (see org-unit type). Example: financial management, sales management, marketing department, account manager. An external entity represents an organization that exchanges flows with the enterprise, Example: customer, supplier, government office.

- Risks

  A risk is a hazard of greater or lesser probability to which an organization is exposed.

- Risk types

  A risk type defines a risk typology standardized within the context of an organization.

- Applications

  An application is a set of software tools coherent from a software development viewpoint.

Sub-requirements

Second level requirements (or sub-requirements) can be defined.

Milestones and Statuses

A specific tab enables specification of requirement milestones and statuses.

Expiration date - term of adjustment

This is the date limit by which the requirement must be fulfilled.

Creation date

Date on which the requirement was created.

Last update

This is the date on which the last import was made.

Official status (from import)

- To be validated
- Validated
- Updated
- Deleted

> ☛ *Regulations and requirements are never deleted automatically. If a regulation/requirement is obsolete, status passes to "Deleted".*

Internal status

You can indicate if the requirement:

- is **To be assessed**
- has already been **Assessed**
- N/A

MANAGING REGULATIONS AND REQUIREMENTS

Defining Application Scope

HOPEX Compliance enables easy definition of application scope of regulations and requirements.

Regulations can be connected to:

- entities
- business and organizational processes

Requirements can be connected to risks. The same requirement can be assessed in the framework of different contexts.

Several contextualization tools are available to define this application scope.

Scoping Controls via a Matrix

The Compliance Manager must be able to easily connect regulations and requirements to processes/entities/risks.

Several matrices are available to interconnect objects.

To access contextualization matrices:

1. In the **Compliance** desktop, select **Legal Inventory > Contextualization > Matrix Contextualization > Regulation By Entity**.
2. Click **New** to create a matrix.
3. Select **Add a Row**.
4. In the dialog box that opens, click **Find**.
5. Select the regulations that interest you and click **OK**.
6. Select **Add a Column**.
7. Use the query tool in the same way to add entities.
8. In the matrix created, select the cells at the intersection of regulations and entities that interest you.
   Links are established between these regulations and entities.

To disconnect a regulation from an entity:

- Click again in the cell concerned.
  The green tick disappears. The link between regulation and entity is deleted.

To remove a row/column:

- Select the line/column and click **Remove**.

☛ *You can send this matrix to Excel.*

Defining scope via lists or trees

By simple drag-and-drop you can connect regulations and requirements to:

- entities
- process
- risks

Contextualization from a list

To contextualize regulations from a list:

1. In the **Compliance** desktop, select **Legal Inventory > Contextualization > Contextualization > List View**.
   The screen that appears presents:
   - on the left, a list of regulations
   - on the right, trees of entities/processes
2. Drag-and-drop the desired regulation to the appropriate tree.

Contextualization via trees

To contextualize regulations from a tree to another tree:

1. In the **Compliance** desktop, select **Legal Inventory > Contextualization > Contextualization > Hierarchical View**.
   Regulation trees classified by process/entity appear.
2. Drag-and-drop from one tree to another tree.

Merging and Duplicating

From list and tree views, objects can be merged and duplicated.

Merging

To merge two requirements:

1. Select **Legal Inventory > Regulation Management > Requirements > All Requirements**.
2. Select two or more requirements to be merged.
3. Click **Merge**.
4. In the merge requirements window that appears, select a target requirement from the requirements you have selected.
5. Click **OK**.
   The requirements initially selected now form a single requirement.

Target requirement characteristics retain their value.

> ☛ *If no value was specified on the target requirement, those of the source requirement are transferred.*

All elements connected to the source requirement are connected to the target requirement. The source requirement is deleted.

Duplicating

You may need to duplicate a requirement to divide a requirement into two separate requirements for example.

To duplicate a requirement:

1. Select **Legal Inventory > Regulation Management > Requirements > All Requirements**.
2. Select the requirement that you want to duplicate.
3. Click **Duplicate**.
   The duplicated requirement appears in the list.

ASSESSING REQUIREMENTS

The objective of assessing requirements is to assess the potential risk of non-compliance with regulatory requirements.

Assessment can be carried out directly on requirements or remotely via questionnaires.

☛ *This chapter explains how to start assessments. To configure these, see **HOPEX Assessment**, "Assessment Templates" chapter.*

✓ "Direct Assessment", page 36

✓ "Assessing Requirements by Questionnaires", page 41

☛ ***HOPEX Compliance** also allows controllers to assess requirements on site. For more details, see "Testing Requirements", page 67.*

DIRECT ASSESSMENT

HOPEX Compliance enables direct assessment of requirements:

- one by one, in the properties page of the requirement, using measures.
  see "Requirement Direct Assessment", page 36.
- globally, using a multiple assessment table.
  see "Assessing Multiple Requirements Simultaneously", page 38.

This is an "expert view" assessment.

☛ *You can assess requirements for which you have editing rights.*

Requirement Direct Assessment

Requirements can be assessed directly without starting assessment campaigns. By default, the standard assessment template proposes all contexts (entities or processes) in which the current requirement can be assessed.

☛ *The assessment template used here is "Assessment on requirements by regulation and process".*

The Compliance Manager can select all or certain of the proposed contexts.

Direct assessment context

Direct assessment is carried out for all context objects available in the **Scope** section of requirement properties:

- Organizational processes
- Business processes
- Entities

☛ *For more details on requirement contextualization see also "Defining Application Scope", page 31.*

Assessing requirements

To directly assess a requirement:

1. In the **Legal Inventory** tab, select **Regulations Management > Requirements**.
2. Select the requirement you want to assess and click **Properties**.
3. In the requirement properties, select the **Assessment** tab and click **Assess**.
4. In the wizard that appears, select nodes to be assessed.

📖 *An assessment node comprises:*

- *an object to be assessed (in this case a requirement)*
- *one or several context objects if necessary (entities, processes, regulations or requirements)*

5. Click **Next**.
   You can now select values that characterize this requirement (contextualized) in terms of:
   - **Impact**
   - **Likelihood**

     ☛ *Values of the list are applied to all selected assessment nodes.*
6. Specify the measure date in the calendar.
   By default this is today's date. You can select a date earlier than today's date.
7. Click **OK**.
   Measures are created for each assessment node (ie. the requirement in a particular context).

You can create several measures on different dates in the same way. As you create measures, the list can become lengthy. In this case, it can be useful to group measures by date in order to easily find those that interest you.

☛ *To group by date, click the arrow at extreme right of the header of the **Date** column and select **Group by this field**.*

Consulting assessment answers

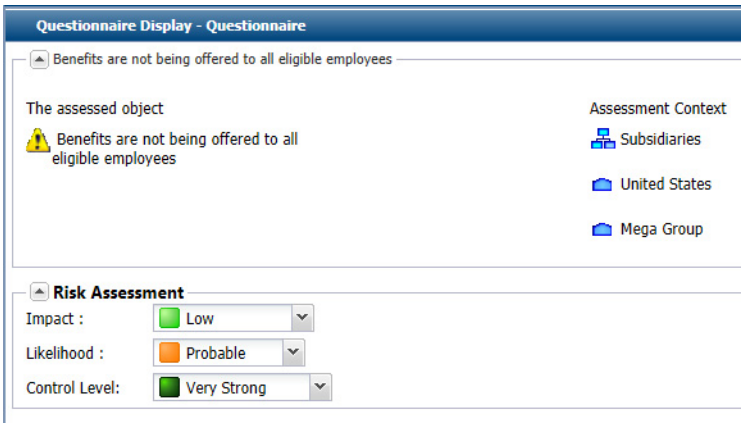
The manager can view answers entered by the respondent when performing direct assessment. He/she can also decide to modify values calculated from these answers if he/she considers them inappropriate.

To view answers used to calculate assessed characteristics values:

- In the **Assessment** tab of the assessed object properties, right-click the measurement that interests you and select **Display Node**.

  ☛ *This menu is not available in the context of multiple assessment.*

  Answers used as the basis for calculation of values appear. They are in read-only only.

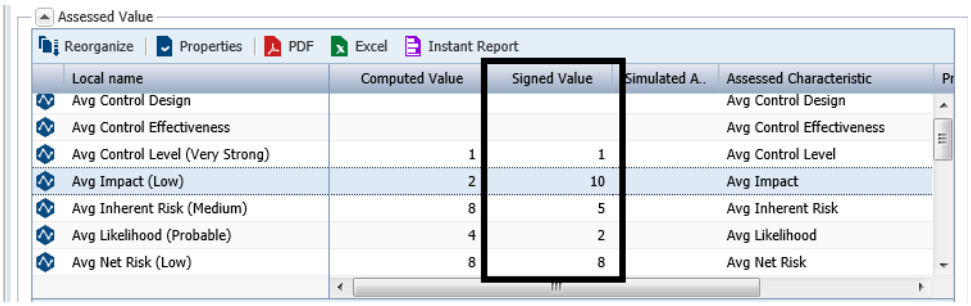


The responsible/manager can decide to modify values resulting from answers.

To modify assessed characteristics values:

1. Open the properties of the assessment you want to modify.
2. Modify values in the **Signed Value** column for each assessed characteristic value.
   These values replace values calculated from answers given by the respondent.

   ☛ *Initial values are visible in the **Calculated Value** column.*



☛ *The values specified in the **Signed Value** column are not used in reports supplied by default. You can however call a **MEGA** professional to include these values in your questionnaires.*

Assessing Multiple Requirements Simultaneously

If you have to assess several requirements, it can be quicker to use the multiple assessment table.

This table allows you to specify the same value for several assessment nodes of different requirements.

An assessment node comprises:

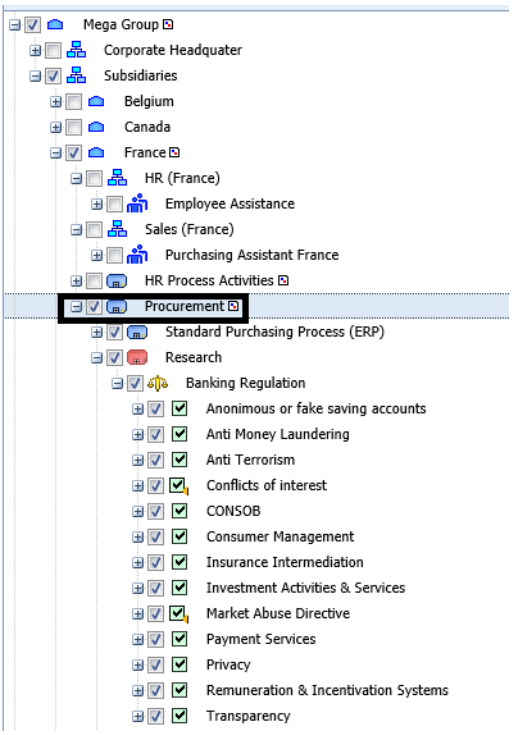
- *an object to assess*
- *one or several context objects (entities, processes, operations), if necessary*

To assess multiple requirements simultaneously:

1. Select **Regulatory Environment > Direct Assessment > Multiple Assessment Table**.
2. Click **Connect Objects to be Assessed**.
   The wizard that appears proposes a tree of entities to which processes and requirements are attached.

3. Select an entity.
   The tree expands automatically and allows you to select requirements assessed ***in their context***.

   A requirement is assessed in the context of elements of the branch from the requirement up to the root.



   In the above example, if you selected the "Procurement" process, all regulations and requirements located at a lower level are selected, as well as all parent context objects up to the tree root.

   ☛ *If you deselect a node of a branch, only the child elements of this branch are deselected.*

4. Click **OK**.
   The list of requirements to be assessed in a particular context appears.
5. In the **Impact** and **Likelihood** columns, select the values corresponding to your assessment.
6. When values have been specified, select the assessed nodes and click **Validate**.
7. Modify the effective measure date if necessary and click **OK**.

   ☛ *By default the measure date is today's date. You can select a date earlier than today's date.*

   Validation automatically creates a measure in the **Assessment** tab of the requirement properties.

Assessing requirements on different dates

You can at any time decide to assess requirements that have already undergone a first assessment.

To reassess requirements in their context:

1. Select **Regulatory Environment > Direct Assessment > Multiple Assessment Table**.
2. Click **Connect Objects to be Assessed**.
3. Select from the proposed tree the assessment nodes previously assessed.

   ☛ *For more details, see "Assessing Multiple Requirements Simultaneously", page 38.*

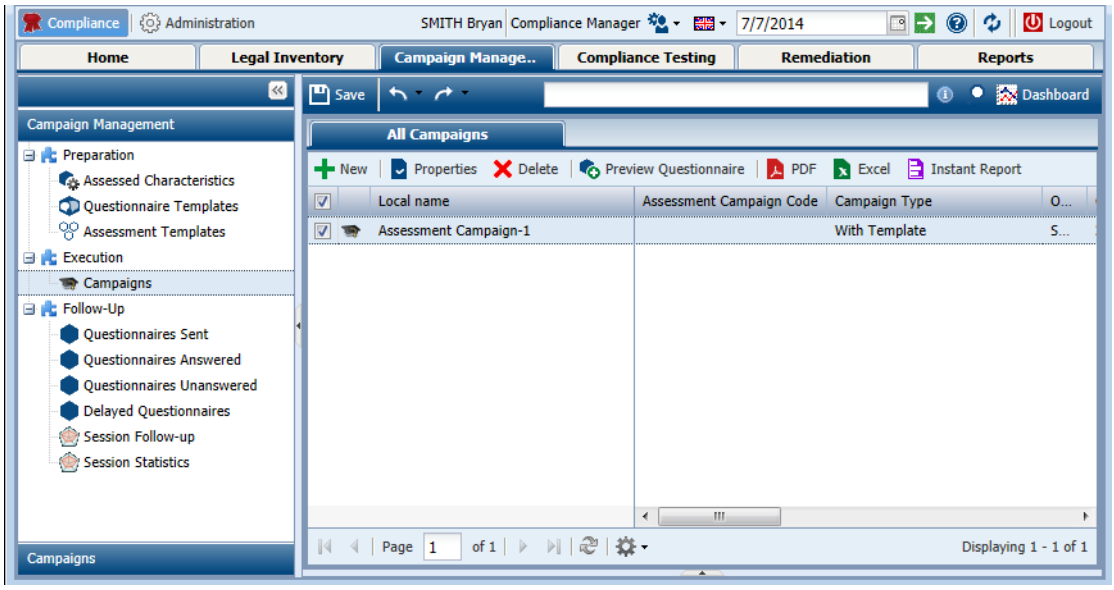
   A dialog box asks you to again select requirements to be assessed.
4. Select **Yes**.
   The previous values corresponding to each assessment node are proposed.
5. Keep these previous values or modify them as required, then click **Validate**.
6. Enter a date for the new measure and click **OK**.
   The most recent measure values appear in the multiple assessment table.

The different requirement measures appear in the **Assessment** tab of the properties of each requirement.

Assessing Requirements by Questionnaires

HOPEX enables assessment of your requirements using standard questionnaires.

The assessment questionnaires are sent to appropriate respondents.



Assessment Principle

Assessment is a mechanism enabling sending of questionnaires to an identified population to obtain assessments (qualitative or quantitative) on identified objects. The assessment is then supplemented by results analysis tools.

Assessment session

An assessment session is an assessment carried out over a determined time period. When an assessment session is published, a questionnaire is sent to targeted users.

Questionnaire

Assessment questionnaires are sent to appropriate **respondents**.

A questionnaire proposes a list of predefined questions that can be applied to a requirement.

Assessment campaign

With the **HOPEX Compliance** solution, in the case of assessment by questionnaire to operations, an assessment session is started in the framework of an assessment campaign.

A campaign enables grouping of several sessions.

The Compliance Manager creates, validates and closes assessment campaigns.

Assessment templates

The Compliance Manager has two templates available to start campaigns. He/she can assess:

- requirements
- risks

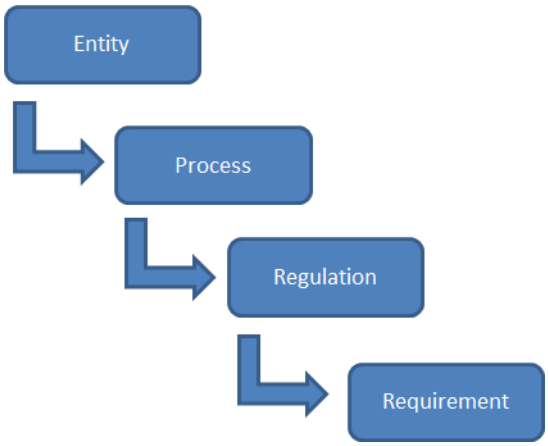
Objects assessed	Assessment template	Questions	Reports in which results are used
Requirement	"Assessment on requirements by regulation and process". Note: this template corresponds to that used in a direct assessment.	- impact - likelihood	- Assessment of control level by regulation and process - Compliance of processes
Risks	"Assessment of risks by regulations and requirements".	- reputational risk - operational context - impact - likelihood	- HeatMap by entity/risk type/process - Compliance of processes

Assessment Steps

Preparing the Work Environment

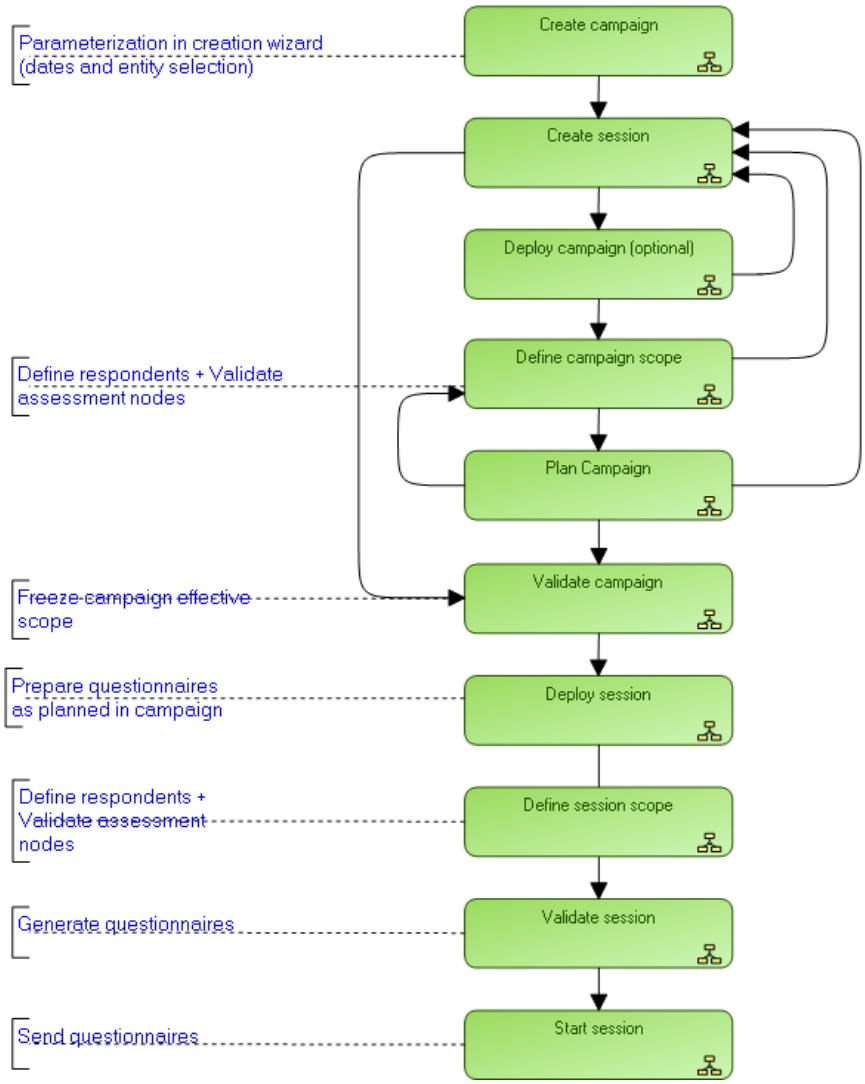
Before starting an assessment campaign, you must first prepare the work environment. Check that you have connected:

- requirements to regulations
- regulations to processes (business and organizational)
- processes to entities



Starting a campaign and assessment sessions

Below is an example of the different steps in starting an assessment campaign:



☛ *This diagram illustrates basic steps in progress of an assessment campaign. To discover all the possibilities offered by* ***HOPEX Compliance****, see* *"Workflows Linked to Assessments", page 130*.

☛ *The deployment of an assessment campaign is not mandatory. If you are not deploying the assessment campaign, go directly to* *"Validating Assessment Campaigns", page 49*.

Indicative steps of campaign and session launching

Steps of this diagram are detailed later in this chapter.

✓ "Creating Assessment Campaigns", page 45
✓ "Creating Assessment Sessions", page 47
✓ "Deploying Assessment Campaigns", page 47
✓ "Defining assessment campaign scope", page 48
✓ "Planning Assessment Campaigns", page 48
✓ "Validating Assessment Campaigns", page 49
✓ "Deploying Assessment Sessions", page 49
✓ "Defining assessment session scope", page 50
✓ "Validating Assessment Sessions", page 50
✓ "Starting Assessment Sessions", page 51
✓ "Completing Questionnaires", page 52
✓ "Following Up Session and Questionnaire Progress", page 52
✓ "Closing the assessment session", page 55

Creating Assessment Campaigns

📖 *A campaign enables grouping of several sessions.*

You can create an assessment campaign:

- ***From a template***
  Creating a campaign from a template allows:
  - use of the same template in all assessment sessions.
  - definition and planning of sessions by distributing elements to be assessed between different sessions.
- ***without a template***
  In the case of creation of a campaign without using a template, a template can be specified at the time of creation of each session.

☛ *This section presents assessment campaign creation using the "Assessment of Requirements by Regulations and Processes" assessment template supplied as standard. Possibilities offered by assessment campaigns without using a template are described in the **HOPEX Assessment** guide.*

To create an assessment campaign:

1. In the **Compliance** desktop, select **Campaign Management > Campaign Management > Execution > Campaigns**.
   The list of campaigns appears in the edit area.
2. Click **New**.
   The campaign creation page appears.
3. In the **Assessment Template** field, select "***Assessment of Requirements by Regulations and Processes***".
4. Modify the **Calendar** if required.

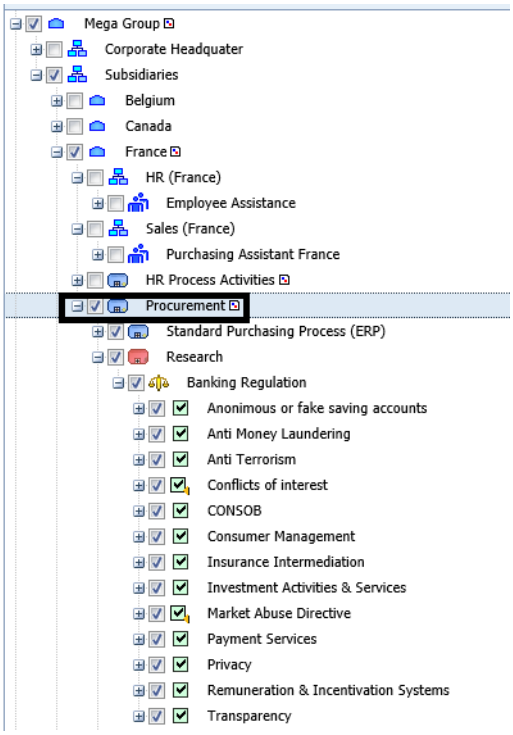
   ☛ *The calendar serves to initialize begin and end dates of the assessment campaign.*
5. Specify the **Begin Date** and the **End Date**.
6. Click **Next**.

7. In the **Scope Selection** page, select an entity.

   ☛ *The tree automatically expands if the **Automatic Expand** box is selected.*

   The tree allows you to select requirements assessed ***in their context***.

   A requirement is assessed in the context of elements of the branch from the requirement up to the root.



   In the above example, if you selected the "Procurement" process, all regulations and requirements located at a lower level are selected, as well as all parent context objects up to the tree root.

   ☛ *If you deselect a node of a branch, only the child elements of this branch are deselected.*

8. Click **Next**.

   Elements that will be assessed appear in the preview window.

   In particular, you can view:

   - assessed characteristics (defined in the assessment template)
   - assessed objects (requirements)
   - context objects (entities, processes and regulations)
   - assessment nodes which correspond to requirements placed in their context objects.

   ☛ *Questionnaire respondents are specified later.*

9. Click **OK**.

Creating Assessment Sessions

An assessment session is an assessment carried out over a determined time period. When an assessment session is published, a questionnaire is sent to targeted users.

Creating Assessment Sessions

To create an assessment session:

1. Open the properties of the campaign and select the **Sessions** tab.
2. In the **Assessment Sessions** section, click **New**.
   An assessment session is created.
3. Open its properties to specify as required:
   - the **Session Manager**.

     The creator user name is specified by default.
   - estimated assessment begin and end dates.

     *In the framework of an assessment campaign with template, the session template is specified by default. It cannot be modified. For more details on creation of assessment sessions without template (ad-hoc or advanced mode), see the **HOPEX Assessment** guide.*
4. Click the **Save** button.
5. You can create other assessment sessions in the same way.

   The assessment sessions created will be used to plan the assessment campaign, that is to distribute between the different assessment sessions the objects to be assessed in their context. See "Planning Assessment Campaigns", page 48.

Viewing sessions in a Gantt chart

To view assessment sessions with planned assessment dates:

- In the properties page of the assessment campaign, select the **Sessions** tab.
  A Gantt chart appears.

Deploying Assessment Campaigns

Deploying an assessment campaign consists of indicating in advance the objects to be assessed at the level of each session of the campaign.

This step is optional. If you are not deploying the assessment campaign, go directly to "Validating Assessment Campaigns", page 49

To deploy a campaign:

1. In the list of campaigns, click the icon of the campaign you created and select **Assessment Campaign (In Preparation) > Deploy**.

2. In the deployment window, indicate that you want to deploy the campaign now.

   ☛ *A window asks if you want to deploy the campaign:*

   - *now*
   - *as soon as possible (after dispatch)*
   - *at a later date*

3. Click **OK**.
   Assessment nodes are created.

   An assessment node comprises:

   - *an object to assess*
   - *a respondent (or an assignment, which is a respondent associated with a particular business role)*
   - *one or several context objects if necessary (entities and processes)*

You can now define assessment campaign scope. See "Defining assessment campaign scope", page 48.

Defining assessment campaign scope

Having deployed the assessment campaign, you must:

- define the scope, that is select the assessment nodes you want to include in your campaign.
- specify respondents.

☛ *For more details on assessment nodes, see "Deploying Assessment Campaigns", page 47*

Defining assessment campaign scope

To define campaign scope:

1. In the properties of the campaign, select the **Effective Scope** tab.
   The list of assessment nodes from your deployment appears.
2. Select the values you want to remove from the campaign and click the **Unvalidate** button.

Specifying respondents

To add or modify respondents:

❱ Select the elements that interest you and click **Set Respondent**.

Planning Assessment Campaigns

When campaign scope has been defined and assessment sessions created, you can plan the campaign.

This consists of distributing assessments between the different assessment sessions.

To plan the campaign:

1. In the properties of the assessment campaign, select the **Planning** tab.

   ☛ *The **Planning** tab is visible only when assessment sessions have been created.*

2. In the right pane, select the assessment sessions in which you want to assess which requirement in its context (process or entity).

   ☛ *If you don't see the previously created assessment sessions, click the **Refresh** button.*

   ☛ *Respondents are specified at step "Defining assessment campaign scope", page 48.*

Validating Assessment Campaigns

When you have planned the assessment campaign, you can validate it.

☛ *The effect of assessment campaign validation is to freeze its parameters (for example scope or planning).*

To validate the campaign:

❱ Click the campaign icon and select **Assessment Campaign (In Preparation) > Validate**.

You can now prepare start of assessment sessions.

Deploying Assessment Sessions

Having planned and validated your campaign, you can deploy assessment sessions.

Session deployment enables calculation of the possible assessment nodes for the session.

📖 *An assessment node comprises:*

- *an object to assess*
- *a respondent (or an assignment, which is a respondent associated with a particular business role)*
- *one or several context objects if necessary (entities and processes)*

The session manager can then review this list.

To create the list of assessment nodes of a session:

1. Open the properties page of the campaign and select the **Sessions** tab.
2. In the **Sessions** section, right-click the session that interests you and select **Assessment Session (In Preparation) > Deploy**.

   ☛ *An intermediate window asks if you want to execute the deployment now, as soon as possible (after dispatch) or at a scheduled date.*

   This operation can take several minutes.

Defining assessment session scope

Having deployed the assessment session, you can:

- define the scope, that is select the assessment nodes you want to include in your session.
- specify respondents.

☛ *If you have defined the scope on the assessment campaign, you do not necessarily need to redefine it on the assessment session. For more details, see* *"Defining assessment campaign scope", page 48*.

Defining assessment session scope

To access the list of calculated assessment nodes:

❱ Open the properties of the assessment session and select the **Effective Scope** tab.
From this list you can duplicate, validate, invalidate or delete elements to be assessed, and assign a respondent.

Specifying respondents

To add or modify respondents:

❱ In the **Effective Scope** tab of session properties, select the elements that interest you and click **Define Respondent**.

Validating Assessment Sessions

The effect of assessment session validation is to generate questionnaires, without however sending these to addressees.

Generating questionnaires

To generate questionnaires:

1. Open the properties page of the campaign and select the **Session** tab.
2. In the **Assessment Session** section, click the session that interests you, then **Assessment Session > Validate**.
All questionnaires are created with status "To send". This operation can take several minutes.

You can now view questionnaires that have been generated.

Viewing Generated Questionnaires

To view generated questionnaires:

1. In the properties of an assessment session, select the **Questionnaires** tab.
2. Select the row relating to the assessment session and click **Display Questionnaires**.

3. Open each of the questionnaires to display the associated assessment nodes and questions.

The questionnaire supplied as standard for the "***Assessment of Requirements by Regulations and Processes***" enables assurance that the requirement is verified and proposes questions concerning impact and likelihood of problems encountered.

> ☛ *If questionnaire presentation is unsatisfactory, the functional administrator can modify it at this stage.*
>
> *For more details see the **HOPEX Assessment** guide, "Assessment Template" chapter.*
>
> *In the solution, questionnaire templates are available in the tab concerning campaign management **> Preparation > Questionnaire Templates**.*
>
> ☛ *It is recommended that the assessment session be validated just before starting the session. If you validate too early, information concerning respondents could be incorrect.*

Regenerating Questionnaires

You may need to regenerate the questionnaires if for example you decide to modify respondents before starting the assessment session.

To regenerate questionnaires:

- Right-click the assessment session concerned and select **Assessment Session (To Start) > Regenerate Questionnaires**.

Starting Assessment Sessions

The effect of starting an assessment session is to send questionnaires to respondents.

To send questionnaires to respondents:

1. Select **Campaign Management > Campaign Management > Execution > Campaigns**.
   The list of campaigns appears in the navigation tree.
2. Select the campaign that interests you and click **Properties**.
   Properties of the campaign appear in the edit area.
3. In the **Sessions** section, click the session that interests you, then **Assessment Session > Start**.
   The session activation page appears.
4. Click the **Save** button at top of the page.
   The *assessment questionnaires* are sent to respondents defined in the assessment session perimeter.

> 🕮 *A questionnaire proposes a list of predefined questions that can be applied to a requirement.*

Completing Questionnaires

The steps described here concern questionnaire respondents.

> ☛ *For more details on questionnaire processing steps, see* *"Questionnaire Workflow", page 132*.

After starting an assessment session, questionnaire addressees receive a notification.

To complete questionnaires:

1. Connect with a user with associated role "Business User (Compliance)".
2. Select **Home > My Desktop > Questionnaires and Check-Lists > My Assessment Questionnaires**.
   The list of questionnaires to be completed appears.
3. Select the questionnaire that interests you and click **Display Questionnaire**.
4. Select the questions and reply to these in the lower part of the window.
5. Click **Save**.
6. Close the questionnaire display window.
7. Click the questionnaire in the questionnaires list and select **Assessment Questionnaire (To Be Completed) > Submit Answers**.

> ☛ *Questionnaires are visible from this menu as long as the assessment session is not closed. If the assessment session is closed, you can consult them in the* ***Questionnaires*** *tab of the assessment session.*

Following Up Session and Questionnaire Progress

Consulting Session Results

To consult progress of an assessment session:

- Open the properties of the assessment session and select the **Reports > Follow-Up** tab.

> ☛ *For more details on this report, see* *"Session Follow-Up", page 110*.

Validating Assessment Questionnaires

To access the list of assessment questionnaires completed by respondents:

1. In the **Compliance** desktop, select **Campaign Management > Follow-Up > Questionnaires Answered**.
   The list of completed questionnaires appears.
   Note that workflow status has passed to "To Be Validated".
2. Select the questionnaire that interests you and click **Display Questionnaires**.
   Content of the questionnaire appears in a new tab. You can view answers.
3. Close the questionnaire display window.

4. If you consider that the questionnaire has been correctly completed, click its icon and select **Assessment Questionnaire (To Be Validated) > Validate**.
   The questionnaire is closed and results are automatically calculated.

Managing Questionnaires Sent

To access questionnaires as a function of workflow progress:

- In the **Compliance** desktop, select **Campaign Management > Follow-Up**.

Questionnaires are sorted according to stage of workflow progress:

- Questionnaires sent
- Questionnaires answered
- Questionnaires not answered

> ☛ *For more details on content of theses lists, see the **HOPEX Assessment** guide, chapter "Running Assessments", paragraph "Managing Questionnaires Sent".*

Asking a respondent to modify answers

If answers to a questionnaire are not suitable, you can ask the respondent to modify these.

To make a modification request:

1. Select **Campaign Management > Campaign Management > Follow-Up > Questionnaires Answered**.
2. Click the icon of a questionnaire and select **Assessment Questionnaire (To Be Validated) > Ask For Modification**.

> ☛ *The respondent can modify his/her answers. See "Completing Questionnaires", page 52.*

Reassigning questionnaires

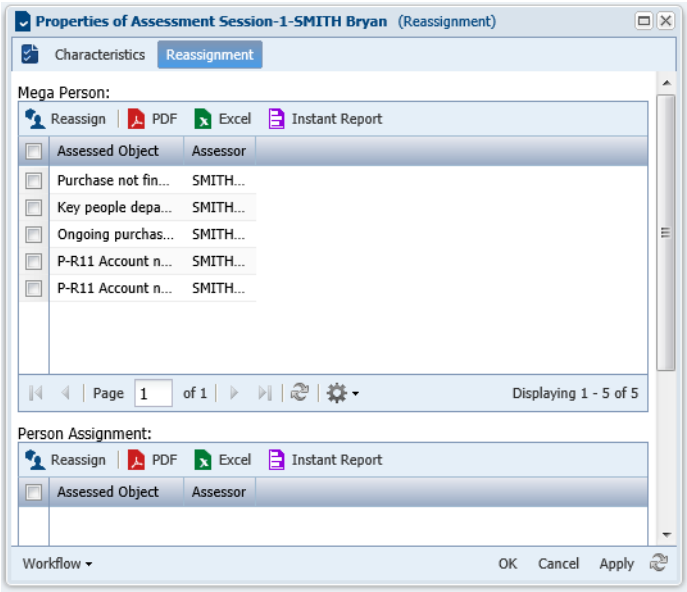
If a respondent has made a transfer request, you must reassign the questionnaire.

To reassign a questionnaire:

1. From the list of questionnaires sent, select a questionnaire.

> ☛ *The questionnaires are accessible from different menus according to the desktop used:*
>
> - *With the **MEGA** solution, you can access the questionnaires using the **Campaign Management** navigation tab.*
> - *On the assessment questionnaire laptop, the questionnaires are accessible from the **My Questionnaires** navigation pane.*

2. Open the properties dialog box of the questionnaire concerned and select the **Reassignment** tab.



> ☛ *This tab only appears when the questionnaire has "To Reassign" status.*

3. Select all nodes to be assessed and click the **Reassign** button.
4. Using the search page that opens, select a questionnaire and click **OK**.

> ☛ *If person assignments have been specified (for example, the questionnaire should be sent to a person in the context of a business role in particular), you can reassign the questionnaire in the section provided for this purpose.*

   The new respondent appears in the **Correspondent** column.
5. Select the icon of the questionnaire and select **Assessment Questionnaire (To be Reassigned) > Reassign**.

The new respondent receives an e-mail. He/she can complete the questionnaire, status of which is again "In Progress", then submit answers.

Viewing assessment campaign reports

Reports specific to assessment campaigns are available. For more details, see "Requirement Assessment Reports", page 110.

Results from "Assessment of Risks by Regulation/Requirement" assessment template

To view the results of assessment campaigns with "Assessment of Risks by Regulation/Requirement" as template:

- In the **Legal Inventory** navigation tab, select **Reports > HeatMap per Entity/Risk Type/Process**.

Results of "Assessment of Requirements by Regulations and Processes" assessment template

Results of campaigns with "Assessment of Requirements by Regulations and Processes" as template are visible in the following reports:

- **Assessment of control level by regulation and process**

  ☛ *For more details, see "Control Level Assessment by Regulation and Process", page 114.*

- **Process Compliance**

  ☛ *For more details, see "Process Compliance", page 115.*

- **Residual Risk Report**

  ☛ *For more details, see "Residual Risk Report", page 117.*

To access these reports:

- In the Reports navigation tree, expand the **Testing** folder.

Closing the assessment session

You can close the session at any time.

To close an assessment session:

1. Open the properties page of the campaign and select the **Session** tab.
2. In the **Assessment Session** section, right-click the session that interests you and select **Close**.
   All questionnaires are automatically closed. This operation can take several minutes.

   ☛ *Results are valid only if the session is closed.*

MANAGING ISSUES AND ACTION PLANS

Issues are identified from control assessment questionnaires. Their analysis enables implementation of the appropriate corrective actions in the form of action plans. Action plan follow-up is simplified by production of reports.

✓ "Managing issues", page 58

An issue is a problem corresponding to a non-compliance or anomaly. It can be detected at assessment of requirements by questionnaires.

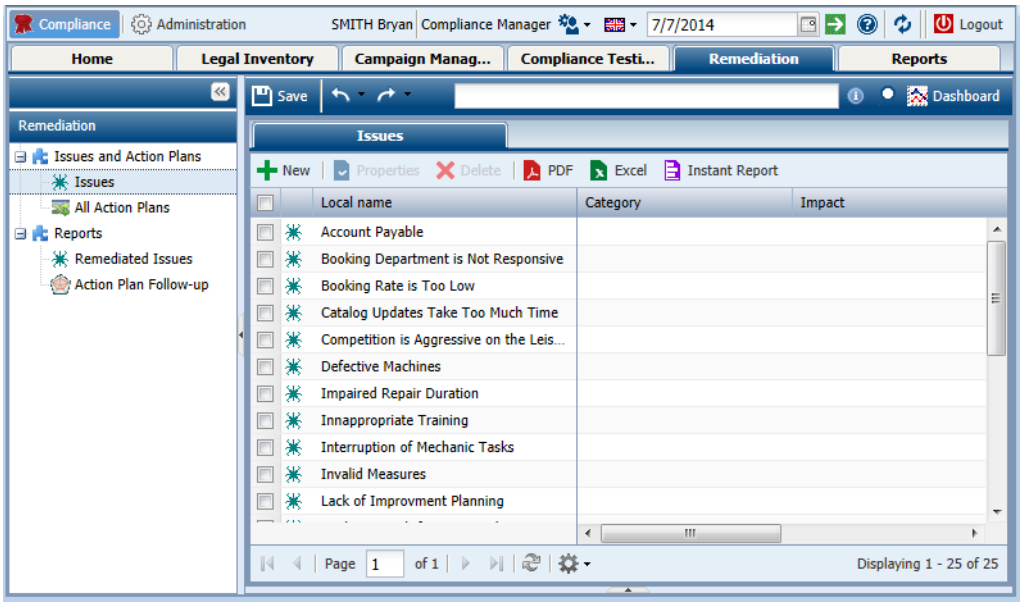
✓ "Managing action plans", page 60

An action plan comprises a series of actions, its objective being to reduce risks and incidents that have a negative impact on company activities.

MANAGING ISSUES

You can manually create issues if you detect non-compliances or anomalies.

An issue is a problem corresponding to a non-compliance or anomaly. It can be detected at assessment of requirements by questionnaires.



Creating Issues

To create an issue manually:

1. In the **Control** desktop, select **Remediation > Issues and Action Plans > Issues**.
2. Click **New**.
3. Open the properties of the issue.
4. In the **Category** field of the issue, specify if it is an issue detected:
   - generically
   - at requirement assessment
   - at testing

Remediating Issues

To remediate an issue, you can create an action plan from the properties page of this issue.

The issue is considered as remediated when the action plan is completed.

☛ *For more information on action plans, see "Managing action plans", page 60.*

Following Up Issues

You can:

- view issues that have been remediated (of which the action plan is completed)
- generate an action plan follow-up report

To view remediated issues:

❱ Select **Remediation > Reports > Remediated Issues**.
The list of remediated issues appears.

MANAGING ACTION PLANS

Having detected issues, you can set up action plans.

☛ *For more details on action plans, see also the **HOPEX Collaboration Manager** guide.*

Creating Action Plans

To create an action plan from an issue:

1. In the **Compliance** desktop, select **Remediation > Issues and Action Plans > Issues**.
2. Select an issue and in its properties, expand the **Action Plans** section.
3. Click **New**.
   The action plan is created, as well as its associated workflow.

   ☛ *For more information on action plan workflows, see "Action Plan Workflows", page 63.*

   ☛ *The action plan also appears in the **Remediation > Issues and Action Plans > All Action Plans** menu*

You can specify action plan characteristics in its properties. See "Characterizing Action Plans", page 60.

Characterizing Action Plans

To specify action plan properties:

1. In the **Compliance** desktop, select **Remediation > Issues and Action Plans > All Action Plans**.
2. Open the properties of the action plan.

General characteristics

On the action plan you can specify the following information:

- **Name**: action plan name.
- **Owner**: this field is specified by default by the user who created the action plan.
- **Owner Entity**: entity responsible for action plan implementation.
- **Approver**: user responsible for validation of the action plan when all actions are completed.
- **Means**: text description of means required/desired for action plan execution.
- **Priority**: enables indication of a priority level. Priority can be:
  - Low
  - Medium
  - High
  - Critical
- **Organizational Level**: final objective of plan:
  - Global
  - Local
- **Origin**: enables definition of the context of carrying out the action plan:
  - Audit
  - Compliance
  - Event
  - Risk
  - RFC: Request For Change
  - Other
- **Category**: the action plan can for example be connected to:
  - risk impact reduction
  - project management
  - process improvement
  - control performance improvement
  - etc.

    ☛ *Other values are available.*
- **Nature**: enables definition of whether the action plan is:
  - Corrective
  - Preventive
- **Comment**: supplements information on the action plan and its characteristics.
- **Steering Calendar**: used for sending reminders to the person responsible for an action plan so that they can indicate action plan progress.

  ☛ *A steering calendar for monthly reminder of progress is supplied by default.*

Financial assertion

- **Forecast Cost**: action plan cost estimate.
- **Forecast Cost (Man-Days)**: estimate in man-days of action plan implementation workload.

RACI

The action plan **Owner** responsible for definition of actions to be carried out and their execution.

This field is specified with the name of the action plan creator or with the name of the action plan approver.

☛ *For more details on the use of RACI, see "RACI", page 41.*

Success factors

In the **Success Factors** section, you can specify in text the success indicators enabling assessment of success of the action plan.

Scope

To position an action plan in its environment, you can associate objects with the action plan in the **Scope** section.

You can connect objects of the following types:

- Controls

  A control is a set of rules and means enabling assurance that a legal, regulatory, internal or strategic requirement is respected.

- Applications

  An application is a set of software tools coherent from a software development viewpoint.

- Risks

  A risk is a hazard of greater or lesser probability to which an organization is exposed.

- Entities

  ☛ *An entity can be internal or external to the enterprise: an entity represents an organizational element of enterprise structure such as a management, department, or job function. It is defined at a level depending on the degree of detail to be provided on the organization (see org-unit type). Example: financial management, sales management, marketing department, account manager. An external entity represents an organization that exchanges flows with the enterprise, Example: customer, supplier, government office.*

- Business and organizational processes

  A business process represents a system that offers products or services to an internal or external client of the company or organization. At the higher levels, a business process represents a structure and a categorization of the business. It can be broken down into other processes. The link with organizational processes will describe the real implementation of the business process in the organization.

  An organizational process is a set of operations performed by org-units within a company or organization, to produce a result. It is depicted as a sequence of operations, controlled by events and conditions.

- Incidents

  An incident is an event occurrence, internal or external, that has an impact on the organization. It is the basic element for collection of data concerning operational risk.

Milestones

Milestones are key dates of the action plan.

☛ *The planned end date is mandatory.*

Attachments

You can attach business documents to an action plan:

☛ *For more details on the use of business documents, see the **HOPEX Common Features** guide.*

Managing Actions

The owner of the action plan must define actions enabling execution of the action plan. The owner can create actions and assign these.

📖 *An action is included in an action plan and represents a transformation or processing in an organization or system.*

To create an action from an action plan:

1. Select **Home > My Desktop > My Responsibilities > My Action Plans**.

   ☛ *Depending on your profile, you can also access action plans via the menu **Remediation > Issues and Action Plans > All Action Plans**.*
2. Select the action plan in question and click **Properties**.
3. In the **Actions** section, click **New**.
4. In the action properties, complete fields:
   - **Priority**: enables indication of a level. Priority can be: "Low", "Medium", "High" or "Critical".
   - **Owner**: responsible for the action as specified by the action plan creator.
   - **Owner Entity**: entity responsible for action plan implementation.
5. You can specify milestones, which are important dates of the action.
   - **Planned Begin Date**
   - **Planned End Date**
6. Click **OK**.
   The action is created with "Created" status.

Action Plan Workflows

A workflow is automatically created at creation of the action plan.

Depending on the profile of the person that created the action plan, two workflows are available:

- a "top-down" approach
- a "bottom-up" approach

☛ *Commands enabling passage from one workflow status to another are available:*

- *in the pop-up menu of the action plan from an action plans list*
- *in the properties dialog box of an action plan, by clicking the action plan icon at top left*

"Bottom-up" approach

In a "bottom-up" approach, the action plan can be created by any user. An approver must validate the action plan so that it can be implemented. This is the case when requirement assessment questionnaire respondents propose an action plan: they must first submit it via the workflow.

☛ *For the different workflow steps, see ""Bottom-up" action plan workflow", page 133*

"Top-down" approach

In the framework of a "top-down" approach, the action plan is created by a responsible. The action plan does not need to be validated in this case.

Controllers carrying out tests use this approach.

☛ *For the different workflow steps, see ""Top-down" action plan workflow", page 134*

Action workflow

When action plan actions have been defined, starting an action plan starts the linked actions.

When the action responsible has completed his/her actions, these can be closed. Closing the action plan automatically closes the linked actions.

☛ *See "Action Workflow", page 135.*

Action Plan Follow-Up

Indicating action plan progress

When the action plan has been started, you can create progress states to indicate its progress.

To specify action plan progress:

1. In the Compliance desktop, select **Remediation > Issues and Action Plans**.
2. Select an action plan and open its properties.
3. Expand section **Action Plan Progress**, and in the **Progress Update** frame, click **New**.
4. Specify a **Progress Update Percentage**.

5. If required, specify the **Progress Assessment**.
   You can specify if the action plan is:
   - On Time
   - Delayed
6. Click **OK**.
   The progress state is created. You can create these at regular intervals.

Action plan follow-up reports

Reports allow you to follow up action plans.

☛ *For more details, see "Action Plan Follow-Up", page 119.*

TESTING REQUIREMENTS

Compliance controllers must carry out compliance tests to ensure that non-compliance risks are effectively controlled. The purpose of these tests is to assess requirements to measure their effectiveness and execution. **HOPEX Compliance** allows compliance controllers to:

- execute compliance testing on site: see "Executing Tests", page 87.
- assess requirements via questionnaires to assess their impact in terms of risks: see "Assessing Requirements", page 88.
- propose recommendations: see "Test Follow-Up", page 99

The conclusions of compliance testing enable determination of whether compliance standards are implemented consistently within the different entities, subsidiaries and departments of the enterprise.

The regulatory compliance assessment process progresses in three main phases:

✓ "Preparing Compliance Tests", page 68
✓ "Executing Tests", page 87
✓ "Test Follow-Up", page 99

Preparing Compliance Tests

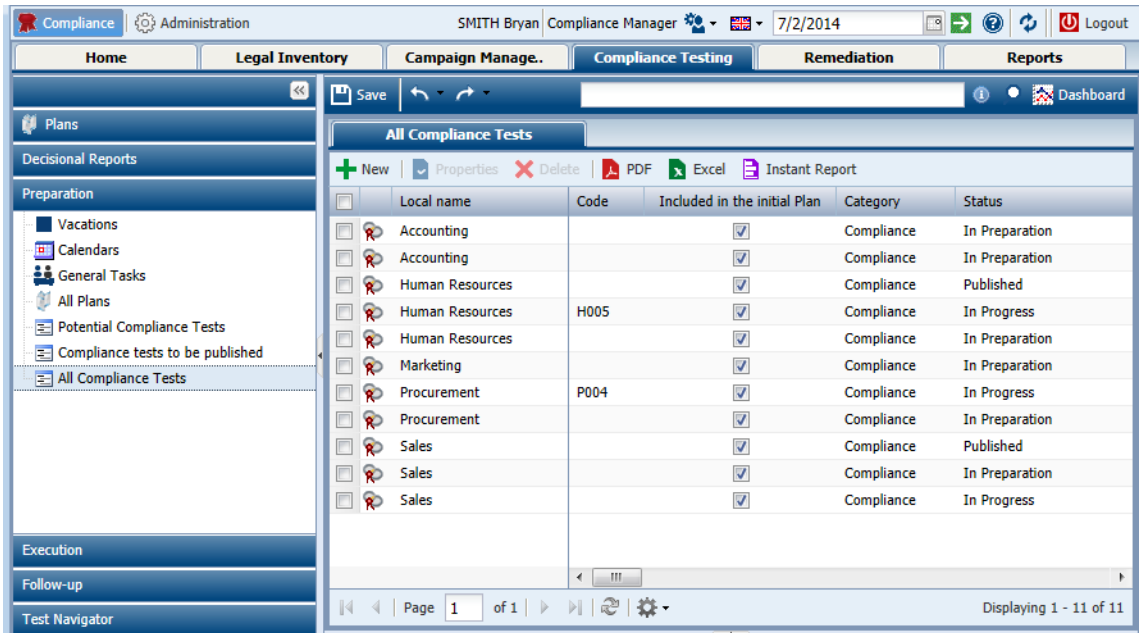
Functionalities described here essentially concern the Compliance Manager or the Functional Administrator.

The lead controller intervenes to define the work program that will allow controllers to assess requirements on site and to complete questionnaires relating to these requirements.

Preparation of compliance tests consists of creating a plan and compliance tests, planning these before controllers intervene on site.

To prepare compliance tests:

- In the **Compliance** desktop, select **Compliance Testing > Preparation**.



Creating Compliance Plans

The plan is prepared by the Compliance Manager.

The plan is generally defined on a period of one year. This plan contains all compliance tests to be executed in the year.

A plan is the description of the scope and planning of tests executed in the framework of this plan. It is carried out in accordance with standards. It comprises a description of the approach and the planning schedule. It comprises several compliance tests carried out during a given period.

To create a plan:

1. In the **Compliance** desktop, select **Compliance Testing > Preparation > All Plans**.
2. In the dialog box that appears, click the **New** button.
   The new plan appears.
3. Open the properties of the plan.
4. In the **Characteristics** tab, modify the **Name** of the plan.
5. Select the **Nature** of the plan:
   - Audit
   - Test
   - Compliance
   - Mixed

   ☛ *If you have only the **HOPEX Compliance** solution, the plan nature is automatically specified and cannot be modified.*

   ☛ *Depending on the selected nature, a **Tests**, **Audits** and/or **Compliance Tests** tab appears in the properties of the plan.*

   ☛ *If you selected "Test", "Compliance" or "Mixed" values, an assessment campaign is created at validation of the plan. This will enable generation of questionnaires to controllers. For more details, see "Assessing Requirements", page 88.*
6. Select the **Calendar** of the plan.
7. Modify the **Begin Date** and the **End Date** if necessary.

   ☛ *The **Status** is defined automatically by the workflow.*
8. Click **Save**.

The plan is created.

You can now create tests directly in the plan page.

Planning Compliance Tests

Compliance tests planning is carried out by the Compliance Manager.

📖 *A compliance test is assigned to a controller in the framework of a plan.*

Creating compliance tests

To create a test:

1. Select **Compliance Testing > Preparation > All Plans**.
2. Open the properties of the plan that will include the test to be created.
3. Click **Compliance Tests**.
4. Click **New**.
5. Click **OK**.
   The new test appears under the plan. You can give it a new name.

   ☛ *See "Defining compliance test properties", page 70.*

Accessing compliance tests

To access tests of a test plan:

- Click **Compliance Testing > Plans** and expand a plan.
  The tests (or audits/tests/compliances, depending on the plan nature selected) corresponding to the expanded plan appear.

  ☛ *You can also access the list of tests via the menu **Compliance Testing > Preparation > All Compliance Tests**.*

Defining compliance test properties

You can specify certain information on tests.

General characteristics

General characteristics of the compliance test are:

- **Name**: test name.
- **Code**: you can assign a code to the test.
- **Included in the Initial Plan**: this attribute is defined automatically according to plan status at the time of creation of the test. It indicates if the test was present at plan creation, or if it was added later.
- **Lead Controller**: lead controller name.
- **Main Auditee:** name of the main correspondent for the test in the entity visited.
- **Objective** of the test.
- **Category** of the test:
  - "Direct Testing": direct assessment of design, operational management knowledge, and effectiveness of compliance requirements, determined by tests on samples if necessary.
  - "Indirect Testing": assessment of risk factors and criticality level of requirements for internal operation.
  - "Direct and indirect testing".

    ☛ *The value specified in the **Category** field impacts content of the assessment questionnaire generated for each compliance activity. For more details, and to help you in your choice of category, see* *"Questionnaire types", page 89*.
- **Type**
  - "Design"
  - "Execution"
  - "Design and Execution"
  - "Indirect Indicator": enables remote control of compliance to requirements by implementation of KRI (Key Risk Indicators).

    ☛ *These values are given as a guide only. This field has no impact on generation of requirement assessment questionnaires.*
- **Status**: this attribute is defined automatically and modified at workflow transitions.

Justification and workload

In this section you can enter the following characteristics:

- **Justification** of the test
- **Origin**: follow-up, specific, recurrent, etc.
- **Priority**: priorities can be specified for tests. You can select tests to be integrated in the plan based on this priority criterion
- **Estimated Duration** (days).
- **Estimated Number of Resources**
- **Estimated Workload (Hours)**

  ☛ *The following characteristics are automatically calculated:*

  - ***Effective Workload (Hours)**: calculated from the effective workload defined on time sheets or on activities if no time sheet has been entered.*
  - ***Estimated Number of Resources***

Scope of the test

Various tabs enable definition of compliance test scope. Several prior conditions must be fulfilled before starting tests.

You must have connected the test to:

- at least one entity
- at least one process
- at least one regulation

  ☛ *Regulations are filtered according to the selected entity.*

- at least one requirement (first level)

  ☛ *Requirements are filtered according to the selected regulation.*

You can also connect the test to:

- second level requirements
- controls

Milestones

In the **Milestones** section you can indicate:

- a **Planned Begin Date**
- a **Planned End Date**
  These dates constitute audit milestones.

  ☛ *You can choose to enter milestones at a later stage.*

Users

In the **Users** section, you can specify test participants:

- **Test Controller**: controllers having been previously defined, you can connect but not create controllers. See "Assigning resources to tests", page 76.

  ☛ *The lead controller should be specified in general characteristics of the test. For more details, see "General characteristics", page 70.*

- **Auditee (Compliance)**
- **Other Participant in Compliance Test** (for information only)

Skills

You can specify skills required by controllers to execute tests.

To define skills required for the test:

- In the **Skills** frame, click **New** or **Connect** to create a skill or connect an existing skill.

When assigning controllers to a test, you will be able to compare skills of controllers with skills required for the test. For more details on the report providing this information, see "Assigning a resource to a test", page 79.

Summary

In **Summary** of the completed test, you can indicate:

- Its **Key Strengths**
- Its **Key Weaknesses**
- An **Evaluation**:
  - Good overall level
  - "Can be improved"
  - etc.

Creating "template" tests

"Template" tests are work programs specially prepared to be applied to new tests.

This status is exclusively reserved for tests of a plan which is itself defined as a template. It applies automatically to existing tests of the template plan, and is proposed at creation of a new test on this same plan.

To define a plan as a template:

1. Select **Compliance Testing > Preparation > All Plans**.
   The list of plans appears in the edit window.
2. Click the icon of the plan in question and select **To Be Validated > Set As Template**.

Selecting tests to be executed

HOPEX Compliance provides decisional help in selecting tests to be executed.

You can sort tests according to certain criteria, for example:

- view previous tests
- find tests planned but not finally executed

Viewing the test coverage report

HOPEX Compliance supplies a report providing information on the number of tests executed on each entity between two dates. It indicates entities that require testing, and enables generation of the corresponding tests.

To access this report:

1. Click **Testing > Decisional Reports > Entity Coverage**.
2. In the edit window, select a begin date and end date.

3. If required, select the score obtained by the test or its status.
4. Refresh the report by clicking the **Refresh** button at the bottom of the report.

For each tested entity the report presents:

- The number of tests executed between the two dates (effective begin and end dates).
- The name of the last test.
- The end date of the last test (effective end date), or its state if it is still in progress.
- The score of the last test.

To generate tests corresponding to one or several entities:

- Select the entity or entities that interest you and click the **Generate Tests** button.
  A wizard asks you to choose a plan. The tests are generated.

Consulting test histories

Consulting the history of tests can simplify your choice of tests to be executed.

In the list of tests of a test plan, you can consult assessments of the test.

You can sort tests based on this criterion, allowing you to create tests on appropriate entities.

To group tests by assessment:

1. In menu **Compliance Testing > Plans**, select the test plan that interests you and click **Properties**.
   Plan properties appear.
2. Click **Compliance Tests**.
   The list of tests in the plan appear.
3. Click the "Evaluation" column title.

   ☛ *If the column does not appear, you can display it using the arrow located at extreme right of a column header. For more details on column display, see the **HOPEX Common Features** guide, chapter "MEGA desktop", paragraph "Navigating in Mega Solutions".*

   Tests are then sorted by this criterion.

   An arrow associated with the column enables ascending or descending sort order.

Consulting tests not executed

Tests can remain in "Published" status never to be executed, due to another test being of higher priority.

Tests published or in progress can also be canceled via the workflow.

Grouping tests by status enables identification of those that must be recreated on a subject.

To find tests not executed of a previous test plan:

1. In menu **Compliance Testing > Plans**, select the plan that interests you.
   Properties of the plan appear with the list of tests it contains.
2. Click the "Status" column title.
   Tests are then sorted by this criterion.
   An arrow associated with the column enables ascending or descending sort order.

Test assessment and status are defined in its properties. For more details, see "Defining compliance test properties", page 70.

Viewing previous test expenses

A report allows you to view expenses of previous audits.

To access this report:

1. Click **Compliance Testing > Decisional Reports > Expenses Report**.
2. In the list of reports displayed, click **New**.
3. (Mandatory) Select a **Plan**.
4. (Optional) Specify parameter values that interest you from among:
   - audits
   - expenses categories
   - controllers

   ☛ *If you do not select a value for tests/categories/controllers, all tests/categories/controllers of the plan are taken into account.*

Selecting tests to be integrated in the test plan

Tests can be created. They are not active until validated. These tests are accessed from menu **Compliance Testing > Preparation > Potential Compliance Tests**. Certain are part of the definitive plan, while others are discarded.

HOPEX Compliance proposes tools simplifying selection of tests to be integrated in the plan.

Discarding tests

Potential tests considered of low priority can be discarded via the workflow.

To discard a test:

1. Click **Testing > Preparation > Potential Compliance Tests**.
   The list of potential tests is displayed in the edit area.
2. Click the icon of the test to be discarded and select **To Be Validated > Discard**.

The test is discarded but not deleted. It could serve as a template for a new test the following year.

Validating tests

You can validate tests:

- globally, at validation of the test plan
- individually

Validated tests:

- disappear from the **Compliance Testing > Preparation > Potential Tests** menu.
- appear in the **Compliance Testing > Preparation > Compliance Tests to be Published** menu.

Validating the plan

After selecting tests, you can validate the plan.

Plan validation creates an assessment campaign.

Compliance test status becomes "To be published".

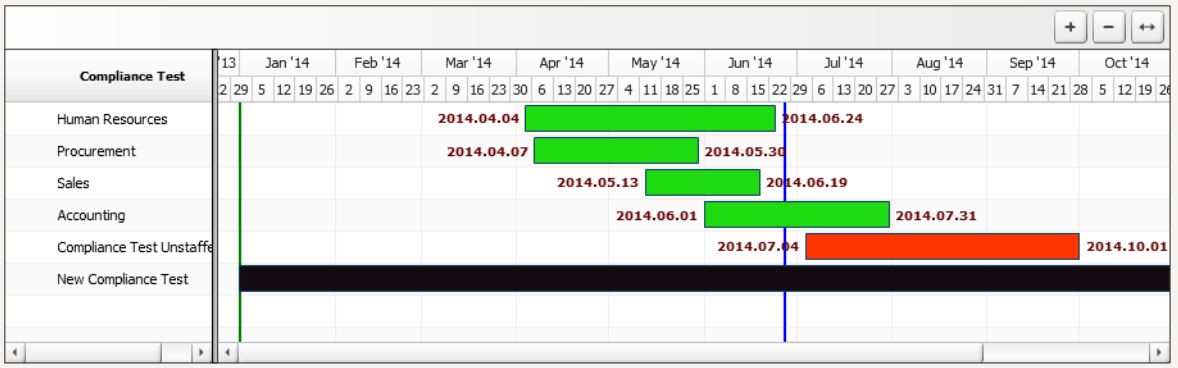
Planning tests using a Gantt chart

A report allows the compliance manager to plan the different tests of a test plan.

Displaying the Gantt chart

To display this report:

1. Under **Compliance Testing > Plans**, select the plan in question.
   The plan properties appear in the edit area.
2. In its properties select the **Schedule** tab.
   A Gantt chart describes tests of the test plan.



By default, planning relates to the current year, but you can view audits over a more precise period.

You can redefine the Gantt chart display period:

- by selecting a calendar period.
- or specific begin and end dates.

You can modify audit dates in the diagram:

- by moving the period begin or end dates using the mouse.
- by clicking the center of the period and by moving the mouse to simultaneously move the begin and end dates.

Zoom and reframing functions at the right of the chart allow you to customize display.

Zoom in on calendar

Zoom out

Reframing

☛ *You can also zoom within the Gantt chart using the mouse wheel.*

Adding a test from the Gantt chart

You can add compliance tests from this chart.

1. In the **Planning** tab of the plan properties dialog box, click **Add a compliance test**.
2. Click the **Save** button.
   The compliance test appears in black as begin and end dates have not been specified yet.

To plan a newly-created compliance test:

- In the **Schedule** tab of the plan, resize the test from its extremities to define:
  - begin date
  - end date

  The test appears in red: you must assign auditors. For more details, see "Assigning a resource to a test", page 79.

Vertical line color	Meaning
Green	Beginning of test
Red	End of test
Blue	Current date

Gantt chart vertical line colors

Assigning resources to tests

Before assigning a resource to a test, you can view its availability and skills.

Viewing resource availability

To view resources available with necessary skills for a test:

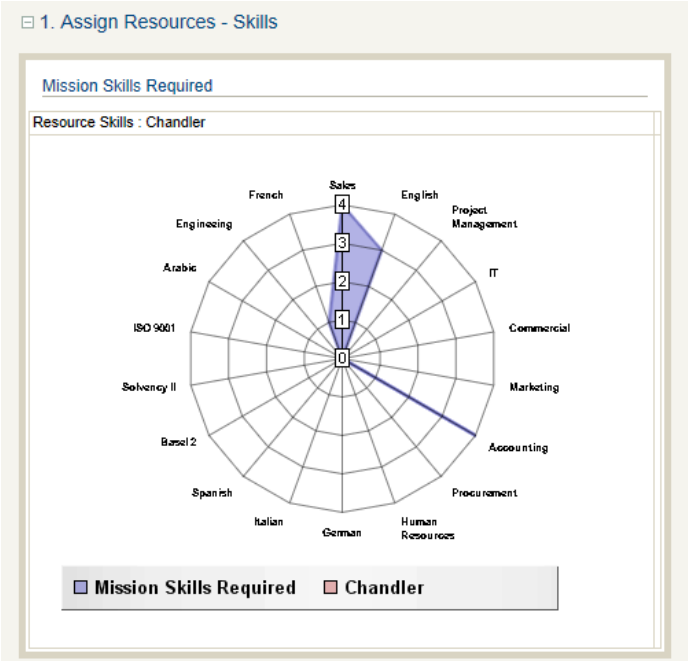
1. Open the properties of the plan concerned.
2. Select the **Assign Resources** tab.
   By default, the report presents tests of the test plan over the year. You can display those of a particular period.
3. In the table at top left, select a test.
4. In the table at top right, select the resource for which you want to display skills and availability.

   ☛ *You can select several resources.*

5. In the lower frame "Assign Resources", click the **Refresh** button .

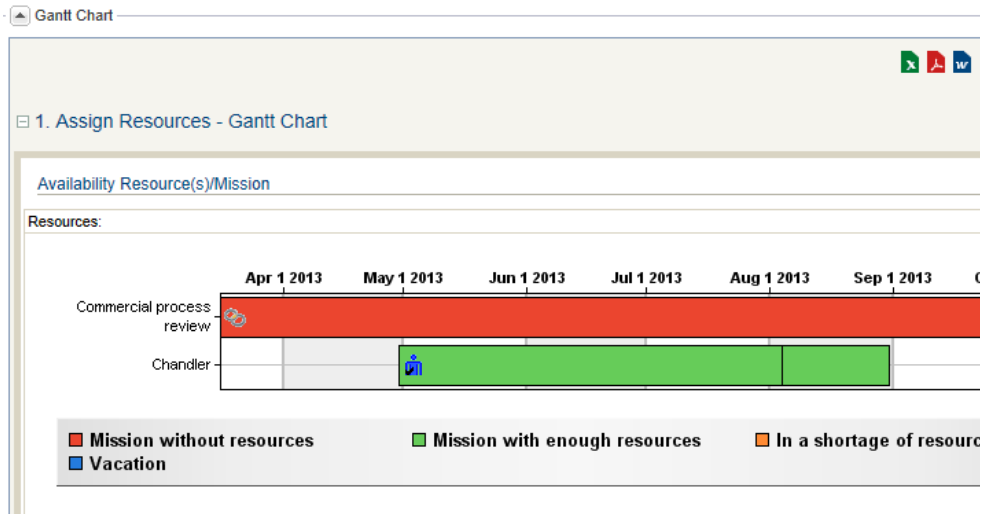
Two charts present:

- Skills required by the test and skills of the selected resource.



- Availability of the resource on test dates.
  The color of the test period depends on the number of resources assigned to it related to the estimated number of resources:
  - Green: the compliance test has a sufficient number of resources
  - Orange: resources are insufficient
  - Red: no resources are assigned

  Vacation periods of selected controllers are represented in color blue.



☛ *Both charts should be refreshed separately.*

Assigning a resource to a test

To assign a resource to a test:

1. In the **Assign Resources** tab of the test plan properties, in the top left frame, select the required test.
2. In the frame at top right, select a person.
3. Click the **Assign** button.

☛ *To remove a controller from the test, carry out the same procedure, but click the **Unassign** button.*

Specifying a lead controller for a given test

To specify the lead controller on a test:

1. Open the properties of the test concerned.
2. Specify the **Lead Controller** field.

Sending the Notification Letter

After having completed the specifications required for execution of a test, the compliance manager can send a notification letter informing controlled persons of the test.

☛ *For more details on participants, see "Users", page 71.*

Sending this notification letter is not included in the workflow. It precedes the next step in the workflow, which consists of publishing the test. See "Publishing tests", page 81.

Creating notification letters

To create the test notification letter:

- Click the icon of the test and select **Deliverables > Notification Letter**. A message asks if you want to open or save the file. The document presents the comment entered in characteristics of the test.

When the document has been saved, you can open and modify it.

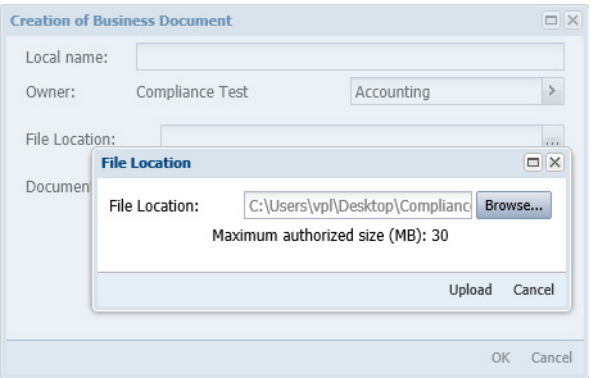
You can also connect it to the test as a business document, under the "notification letters" category.

Connecting the notification letter to the test

The file is generated from test content, but is not connected by default to the test.

To connect the notification letter to the test and make it a business document:

1. Open properties of the test.
2. Select the **Documents** tab.
3. Click the **New** button.
   The **Creation of Business Document** dialog box appears.
4. Indicate the business document name.
5. In **File Location**, click the **Browse** button.
   The **File Location** dialog box appears.
6. Click **Browse** and select the file.



7. Click **Upload**.
8. In the document creation dialog box, in **Document Pattern**, select "Notification Letter".
9. Click **OK**.
   The document appears in the list of documents attached to the test.

Validating and publishing tests

Validating tests

When the compliance manager decides that a test should be executed as part of the test plan, he/she validates the test.

> ☛ *An assessment session id created at validation of the test. This will enable generation of questionnaires to controllers for requirement assessment. For more details, see "Assessing Requirements", page 88.*

Publishing tests

HOPEX Compliance enables preparation of tests and only making these public to controllers when planning is completed.

To access the list of tests to be published:

1. Click **Compliance Testing > Preparation > Compliance Tests To Be Published**.
   They are status "In Preparation".

To make a test public:

1. Right-click the icon of the test.
2. Select **To Be Published** > **Publish**.

Test status changes to "Published".

Having been published, tests appear in the work program of controllers.

Preparing Compliance Tests

Supervision of test progress is assured by the lead controller. In the test preparation phase, he/she establishes the work program and assigns activities to controllers.

So that the work program can be generated, requirements must be connected to regulations.

Work program content

HOPEX Compliance enables automatic creation of a work program structure from the tree of requirements connected to regulations.

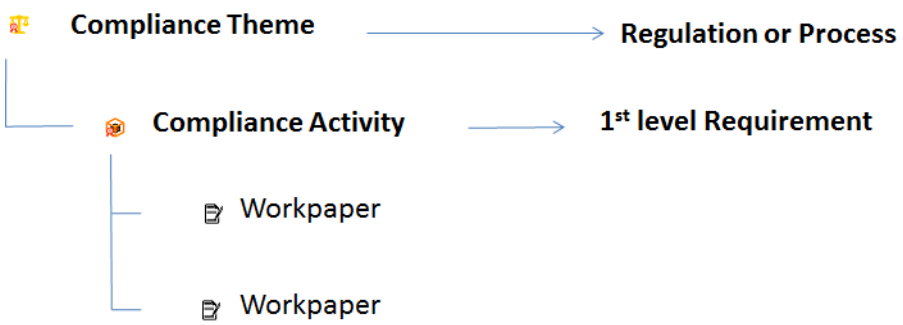
> ☛ *To connect requirements, see "Defining Application Scope", page 31.*

A compliance activity corresponds to an entity.

For each object of compliance scope, objects are automatically created in the work program, as described below:

Test scope objects	Objects automatically created in the work program
Process (business or organizational)	Compliance theme
Regulation connected to a process	Compliance sub-theme
First level requirement connected to a regulation	Compliance activity

☛ *The sub-processes of processes in the scope of the test produce compliance sub-themes.*



Compliance theme

Themes can be used to group test activities and workpapers, that is to organize test content.

A theme is created for each:

- organizational process
- Functional processes

☛ *A sub-theme is created for each sub-business or sub-organizational process of the test scope.*

A sub-theme is generated for each regulation connected to a process.

Compliance activity

A compliance activity is created for each first level requirement of the compliance activity.

It is the basic element of the test. It enables assignment of responsibility to the controller.

Workpaper

A workpaper comprises points to be checked on a given subject in the course of a compliance activity.

A workpaper is generated for each generated test activity. For more details, see "Creating Workpapers", page 85.

Creating Work Programs Automatically

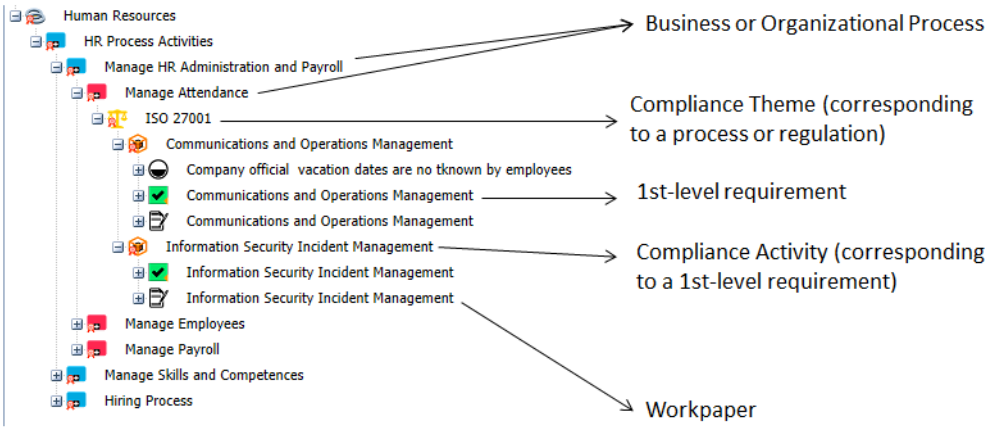
The work program is generated from regulations and requirements connected to the entity concerned

To create a work program automatically:

- Click the icon of the test and select **Generate Work Program**.

Information contained in test scope will be used to generate:

- a compliance theme for each regulation or process
- a compliance activity for each first level requirement



Work program example

Completing the work program manually

The lead controller can complete the test manually to specify its content.

He/she can add or remove themes/activities in the **Work Program** tab of the test.

Creating themes

To create a theme:

1. In the properties of a test, select the **Work Program** tab.
2. Click the icon of the test and select **New > Test Theme**.
   The theme created appears in the tree of the work program.

3. Display properties of the theme.
   You can:
   - modify its name
   - enter a comment
   - specify its scope: process or regulation
4. Click **OK**.
   You can now create activities and workpapers.

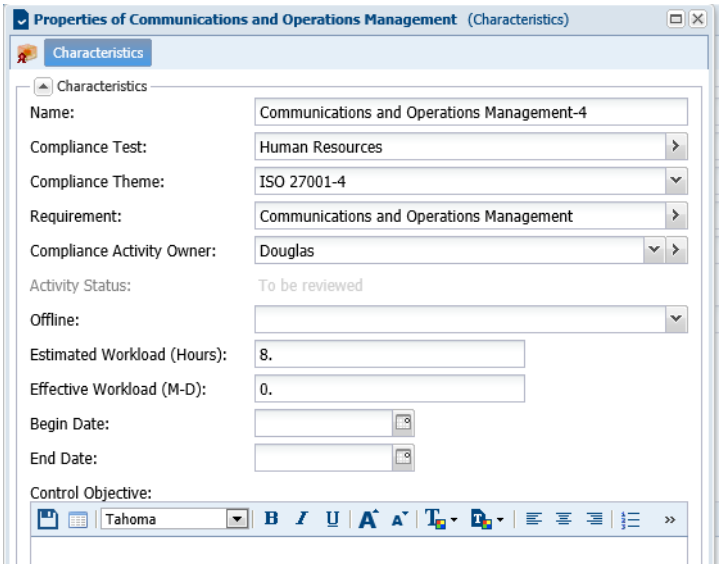
Creating activities

A test activity is a test element relating to a requirement.

To create an activity:

1. In the properties of a test, select the **Work Program** tab.
2. Click the icon of the test (or theme) and select **New > Test Activity**.
   The activity created appears in the tree of the work program.
3. Display properties of the activity.
4. Enter the name of the activity.
5. Connect the test activity to a requirement.
6. Select the **Owner** of the activity who can be:
   - a controller
   - lead controller of the current test.

   ☛ *A lead controller and/or the controllers must have been specified in the test properties to be able to assign those responsible to activities. For more details, see "Users", page 71.*
7. Indicate the **Estimated Workload**.



8. Click **OK**.

Assigning activities

For each activity, the lead taster specifies:

- Start and end dates
- Estimated workload
- Controller responsible for execution

To enter this data:

1. In the properties of the test, select the **Activities** tab.
2. Open the properties of the test activity concerned.
3. In the **Compliance Activity Owner** field, using the right-pointing arrow, select a controller from among the candidate controllers.
4. Enter compliance activity begin and end dates.
5. Specify the workload.

☛ *The activity owner is recipient of the test assessment questionnaire corresponding to the compliance activity.*

Creating Workpapers

From the compliance activity, the auditor can create:

- workpapers
- findings

☛ *For more details, see "Executing Tests", page 87.*

Reviewing the Work Program

The lead controller can proceed with a report on the work program. This report enables a check that:

- task assignment has been correctly carried out
- the work program covers the appropriate requirements

Consulting work program reports

To access work program reports:

❱ In the page of a test, select **Reports** > **Work Program**.

You can view:

- comparison of resources allocated and resources available:
- workload (in person/days)
- workload by theme (in person/days)
- activities by theme

Exporting the workload under Excel

The work program under Excel uses:

- themes
- activities
- workpapers

Having the work program available under Excel allows:

- consultation of the complete work program without having to access objects individually
- storage of a printed version of the work program
- viewing tasks to be executed at indication of a finding

To export the work program:

❱ In the test page, **Work Program** tab, click the tree root and select **Deliverables > Export Work Program (Excel)**.

☛ *A pop-up window opens at the bottom of the page. If your navigator blocks these windows, you cannot see file export. In this case, deactivate pop-up blocking in the navigator.*

You can then modify the work program in Excel.

When the work program has been modified, you must create a business document in **HOPEX Compliance** and reimport the modified work program.

To create the business document corresponding to the modified work program:

1. In the properties of the test, select the **Documents** tab.
2. Click the **New** button.
3. Enter the name given to your work program.
4. Select the location where you stored the modified Excel file and click **Upload**.
5. Select the "Work Program" document template.
6. Click **OK**.
   The modified work program is now stored in the **HOPEX** repository.

Validating work programs

When the lead controller validates the work program via the workflow, an assessment session is automatically created and connected to the test. Assessment questionnaires are generated and made available from test activities. Respondents are owners of test activities.

☛ *For more details, see "Assessing Requirements", page 88.*

To validate the work program:

❱ Click the icon of the test and select **To Be Validated** > **Validate**.

Executing Administrative Tasks

Planning Resources

Auditors/controllers can be assigned to different audits/tests at the same time. It is therefore important to enter the time allocated for each auditor/controller to an audit/test.

To indicate for each auditor/controller the time to be allocated to an audit/test:

1. In the properties of the audit/test, expand the **Users** section.
2. Select a user and in the **Workload (Hours)**, enter the time to be spent on the audit/test.

Creating general tasks

For controllers, the director can create tasks not directly linked to tests.

To create a general task:

1. Select **Compliance Testing > Preparation > General Tasks**.
2. Specify dates and a comment and connect users to this task.
   Users assigned to this task can allocate hours to this task in their time sheet.

Validating vacations

To display vacations in auditor time sheets, you must previously have validated the vacation.

To validate the vacation:

1. Select **Compliance Testing > Preparation > Vacations** and open the properties of the vacation to be validated.
2. Position its status as "Validated".

Initializing expense sheets

The lead auditor can create an expense sheet per auditor/controller for all auditors/controllers assigned to the audit/test. In this case it consists of initializing expense sheets.

To initialize expense sheets:

1. In the audit/test properties window, select the **Expenses** tab.
2. Click the **Initialize** button.
   An expense sheet is created for each auditor/controller.

To create an expense:

1. In the expense sheet properties, expand the **Expenses** section and click **New**.
2. Enter for each expense:
   - an **Amount**
   - a **Date**
   - the **Expense Category**: "Lodging", "Food and Beverages", "Transportation"
   - a **Comment** if required.

     ☛ *The auditor enters the amount in the desired currency. The converted amount is calculated automatically.*

Executing Tests

Preparation of a test work program allows controllers to assess requirements via questionnaires:

Consulting the Work Program

The controller needs to consult:

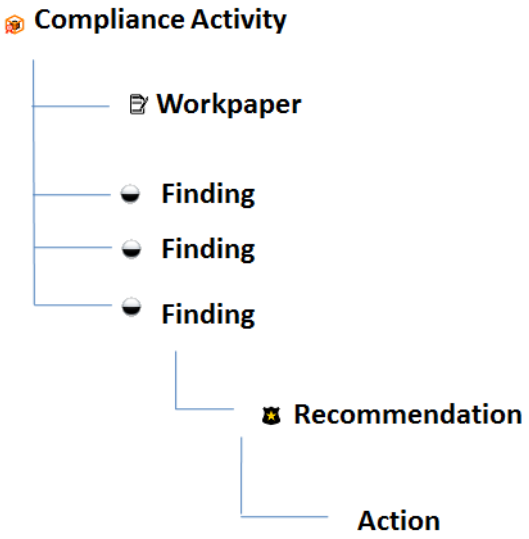
- his/her work program.
- the global work program, for a clearer view of tasks to be executed.

To access your work program:

❱ In the **Compliance Testing** navigation tab, select **Test Navigator > My Work Program**.
In the right pane are displayed the tests in which you must intervene.

☛ *You can access the work program of a test by selecting **Global Work Program**.*

☛ *To print the work program you can export it under Excel. For more details, see "Exporting the workload under Excel", page 85.*



☛ *For more details on findings and recommendations, see "Managing Findings and Recommendations", page 94.*

Assessing Requirements

When the test work program has been validated, compliance controllers can assess requirements.

This assessment in the framework of compliance testing provides management with independent assurance concerning "design" and effectiveness of the enterprise internal control system.

☛ *This assessment uses standard assessment campaign mechanics (but campaigns are started transparently for the user).*

Generating questionnaires

The questionnaires are generated at validation of the work program. They are available on each compliance activity.

☛ *For more details, see "Validating work programs", page 86.*

Questionnaire types

Requirement assessment can be be:

- ***direct***: by directly assessing requirements, to confirm for example that requirements are known to the public concerned, kept up to date and comprehensively documented.
- ***indirect***: by assessing for example the risk factors of non-respect of these requirements

Questionnaires are automatically generated according to the ***category*** of the selected test:

- direct
- indirect
- direct and indirect

☛ *For more details on test characteristics, see "Defining compliance test properties", page 70.*

Direct testing questionnaire

This questionnaire contains questions concerning:

- design
  - Documentation distribution level
  - Documentation updating level
  - Documentation completeness level
  - Evidence
  - Compliance control level
- execution
  - Test type: complete test or on sample
  - Sample size (only in the case of test on sample)
  - Evidence
  - Compliance control level

Indirect testing questionnaire

- Risk factor
  - Process
  - Human
  - IT
- Criticality level for internal operations
- Evidence
- Compliance control level

Direct and indirect testing questionnaire

This questionnaire groups all questions of direct and indirect testing.

> ☛ *If no value was specified in the test **Category**, this questionnaire is used at validation of the work program.*

Completing Questionnaires

The compliance controller can complete requirement assessment questionnaires:

- on a test
- on each activity of the test

To answer questions concerning the test:

1. Select **Compliance Testing > Test Navigator > My Work Program**.
2. Click the test that interests you.
3. In the properties of the test, expand the **Assessment** section.
   Questionnaires of all controllers assigned to the test appears.
4. Click the icon of the test that concerns you, and in the pop-up menu that appears click **Open**.
5. For each object assessed, answer the questions in the lower part of the window.
6. (optional) Click the **Next** button to attach documents to your questionnaire.

   > ☛ *These documents are business documents previously imported in the solution.*

7. Click **Close** to close the questionnaires window.

   > **Click Close and Finish only if you have answered questions on all objects to be assessed. This button closes questionnaires of all assessed objects.**

8. Click **Save**.

   > ☛ *You can also access questionnaires from a test. In the properties of the test, select the **Activities** tab. Click the icon of a compliance activity, and in the pop-up menu select **Assessment**.*

Submitting and validating questionnaires

Having completed the questionnaire, the compliance controller can decide to submit answers to the lead controller.

Submitting questionnaires

To submit a questionnaire you have completed:

- In the test properties, **Assessment** tab, click the questionnaire to be submitted and select **Assessment Questionnaire (To be Completed) > Submit Answers**.
- Click **Save**.
  A message is sent to the lead controller for questionnaire validation.

Validating or unvalidating questionnaires

If you have submitted the questionnaire, it must be validated by the lead controller so that results can subsequently be taken into account.

To view questionnaires that have been completed:

1. In the properties of the test, expand the **Assessment** section and select the questionnaire you wish to validate.
2. Click **Display Questionnaires**.
   You can view answers given by the compliance controller.

To validate questionnaires, if all answers are suitable:

1. Select the questionnaire and in its pop-up menu select **Assessment Questionnaire (To Be Validated) > Validate**.
2. Click **Save**.

To request the compliance controller to modify his/her answers:

- Select the questionnaire you wish to be modified and select **Assessment Questionnaire (To Be Validated) > Request Modification**.
  The compliance controller can reconnect, modify the answers and resubmit the questionnaire.

Completing questionnaires and closing the validation request

You can also complete the questionnaire without having to submit it for validation.

In this case, you must complete the questionnaire as described in paragraph "Completing Questionnaires", page 90.

You must then close the questionnaire manually.

To close the questionnaire:

- Click the icon of the questionnaire you have completed and in its pop-up menu select **Assessment Questionnaire (To be Completed) > Close**.
  The questionnaire is closed without validation by the lead controller.

Closing assessment sessions

To be able to aggregate questionnaire results, the compliance manager must close the assessment session.

The assessment session is accessible via the assessment campaign created automatically when the plan was validated.

To close an assessment session:

1. Select **Campaign Management > Execution > Campaigns**.
2. Select the assessment campaign corresponding to the compliance plan to which your test is attached and click **Properties**.

   ☛ *The campaign concerned carries the name of the plan and is based on the "Common Compliance Testing Assessment Template". It has been automatically generated at validation of the plan.*

3. Select the **Sessions** tab.
4. Click the icon of the assessment session corresponding to the test that interests you, and in its pop-up menu select **Assessment Session (In Progress) > Close**.

5. Select the **Launch Aggregation** check box and click **OK**.

   ☛ *Launching aggregation can take some time. Select the corresponding check box only if you wish to access the following aggregation reports:*

   - *Assessment of control level by regulation and process*
   - *Control Level Assessment Report*

   For more details on these reports, see "Requirement Testing Reports", page 112.

   The assessment session is closed. Questionnaire results can be viewed via reports.

Managing Time and Expenses

Managing expenses

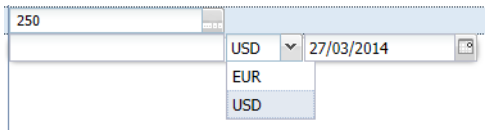
Auditors/controllers assigned to an audit/test can create expense sheets on this audit /test. In this case, they must submit their expense sheet to the lead auditor via a workflow.

To create an expense sheet:

1. Select **Home > My Desktop > Time Tracking > My Expenses**.
2. Click **New**.
3. In the **Expense Owner** field, select the audit/test concerned.

   ☛ *You can also create an expense sheet in the **Expenses** tab of the audit/test properties. In this case, you do not need to specify the expense owner.*

4. Click **OK**.
   An expense sheet is created. You can now create associated expenses.
5. In the expense sheet properties, expand the **Expenses** section and click **New**.
   The audit/test is indicated.
6. Enter an **Amount** and a **Date**: you can enter the amount in the currency you require (from those you can access).



   ☛ *The amount is converted to the currency configured for your user.*

7. Specify if required:
   - the **Expense Category**: "Lodging", "Food and Beverages", "Transportation"
   - a **Comment**.
8. Click the icon of the expense sheet and submit it via the workflow.

   ☛ *The lead auditor does not need to seek approval for his/her expense sheets.*

   ☛ *You can export to Excel the data contained in expense sheets.*

Entering vacations

Entering vacations enables to:

- improved planning of test campaigns.
- pre-filling time sheets.

To enter a vacation:

1. Select **Home > My Desktop > Time Tracking > My Vacations**.
2. Click **New**.
3. Open the properties of the vacation created.
4. Select an attachment **Plan**.
5. Also specify:
   - **Vacation Type** (holiday, training, other)
   - planned and effective begin and end dates
   - a comment if required
6. In the **Status** field, select "Submitted".

> ☛ *So that the vacation will appear in the time sheet, the lead controller must have validated the vacation (by positioning its status value on "Validated").*

> ☛ *An auditor/controller can modify or delete a vacation as long as the vacation has not been validated.*

Completing a time sheet

Auditors/controllers can complete time sheets in the framework of their audit/test.

To complete a time sheet:

1. In the **Home** tab, select **My Desktop > Time Tracking > My Time Sheets**.
   The time sheet displays one line per audit/test.
2. Enter for each day the number of hours spent on each audit/test.
3. Click **Submit** to save your time sheet.
4. Click **Next** to enter your hours concerning the next week.

> ☛ *Messages may appear if the activity report is not consistent. For example, if hours have been allocated to an audit/test and the audit/test has not yet started. You can submit an incomplete time sheet.*

The time sheet enables entry for each day and for each week the number of hours spent on each audit/test.

> ☛ *Only those audits/tests that have been published are visible in the time sheet.*

The time sheet also shows:

- vacations that have been validated
- general tasks (meetings, training, team management, administration ...)

Managing Findings and Recommendations

The controller completes the work program by entering:

- findings

  Findings are the results of the assessment of collected audit evidence. They indicate non-compliances or opportunities for improvement.

- recommendations

  A recommendation describes what must be done to correct non-compliance detected during testing.

Managing findings

Creating a finding

Findings are accessible from compliance activities.

The objective is to establish, for an organization at a given moment, findings on compliance of a system related to determined audit criteria.

Differences from these criteria can be detected. These differences should be recorded in finding.

The finding should precisely and honestly reflect test activities, obstacles encountered and unresolved questions.

To create a finding:

1. Expand the tree of your work program.
2. Click the icon of the activity concerned and select **New** > **Finding**.
   The finding appears in the work program tree as well as in the properties of the finding.

Saving compliance evidence

You can connect documents to illustrate a finding.

To add a document as an attachment:

1. In the tree of the work program of a test, select a finding to which you wish to add a document.
2. Expand the **Attachments** section.
3. Click **New**.
   The business document creation window opens.

   A business document is a document whose content is independent of the MEGA repository. These documents can be MS Word, MS Powerpoint, or other files. A report (MS Word) generated on an object can become a business document.

4. Indicate the business document name.
5. In **File Location**, click the **Browse** button.
   The **File Location** dialog box appears.
6. Click **Browse** and select the file.
7. Click **Upload**.

8. Click **OK**.
   The document appears in the list of documents attached to the finding. It is owned by the test of the finding. You can therefore also see it in the **Documents** tab of the test.

Managing recommendations

Controllers meet to review findings and information collected during test activities The resulting conclusions can indicate a need for recommendations.

The same recommendation can be connected to several findings of the same compliance mission.

☛ *For more details, see "Recommendation Workflow", page 128.*

To create a recommendation:

- In the properties page of a finding, expand the **Recommendations** section and click the **New** button.
  The recommendation appears in the section.

To define properties of the recommendation:

1. Select the recommendation and click **Property**.
2. If necessary, modify its **Name** and **Owner**.

   ☛ *By default the owner is the recommendation creator.*
3. Select a possible **Correspondent**.

   ☛ *The correspondent of the recommendation is a person responsible for following up global implementation of recommendations.*
4. Click **OK**.

You can also specify for each recommendation:

- a **Steering Calendar**: used for sending reminders to the person responsible for a recommendation so that they can indicate action plan progress.

  ☛ *A steering calendar for monthly reminder of progress is supplied by default.*
- a **Priority**
- a implementation **Date Limit**
- a **Scope**
  - Entity
  - Risk
  - Process

Supervising Tests

The lead controller must validate the work of controllers via the activity workflow.

He/she can then check their work and assure test follow-up. To simplify the task, reports enabling test check are available on each test.

Test check reports

To access test check reports:

- In the page of the test, select **Reports** then **Supervision**.

Three reports appear :

- **Findings Objectivity**: to ensure objectivity of findings, audit evidence must be provided.
  The figure displayed indicates the percentage of findings with at least one attachment.
- **Work progression by controller**
- Controller activity **Summary Table**

Time sheet follow-up reports

Reports enable follow-up of auditor/controller time sheets.

☛ *These reports are available for Compliance Managers only.*

To access the Reports tab:

- Select **My Desktop > Time Tracking**.
  Three reports are available.

Time sheets by auditor

This report presents auditor time sheets over a given period

- number of hours assigned for the audit
- effective number of hours in week
- number of hours accumulated since start of audit
- number of hours remaining
- last allocation of auditor on audit
- last time sheet of the auditor
- progress of auditor on audit (in progress, completed..)

Time sheets by audit

This report presents all time sheets for a given audit.

Incomplete days by auditor

This report presents the list of incomplete days, that is days of which the number of hours declared is less than daily work duration.

☛ *Press **Validate** to validate the Time Sheet.*

Test expenses reports

To view expenses of an audit/test:

- In the properties of an audit/test, select the **Reports** tab, then **Work Mission Expenses**.

Pie diagrams present breakdown of expenses:

- by resource (auditor)
- by category:
  - Food and Beverages
  - Lodging
  - Transportation

To view the list of expenses associated with a diagram sector:

- Right-click in a sector.
  Corresponding results appear as a list in the lower part of the window.

Concluding Tests

Test assessment reports

Reports allow the lead controller to best assess the test and analyze its action plans.

To access the Reports tab:

- In the page of the test, select **Reports** then **Assessment**.

Several reports are proposed:

- Action plan breakdown by priority (low, medium, high)
- Issues by theme
- Summary table of above elements

Generating test reports

The test report uses test elements.

To generate the test report:

1. Display the navigator of your work program.
2. Click the icon of the test and select **Deliverables > Test Report**.
   A message asks if you want to open or save the file.
3. Save the file to be able to modify and then submit it.

Assessing tests

To assess the test:

1. In the properties of the test, select the **Summary** section.
2. You can indicate:
   - Test **Strengths**
   - Test **Weaknesses**

3. In the **Assessment** field, specify a value from:
   - "Good overall level"
   - "Can be improved"
   - "Improvement needed"
   - "At risk"

Terminating tests

When the test is closed:

- the test report is sent to persons interviewed
- action are sent to their owner

Closing tests

When the test has been terminated, the compliance manager can close it.

☛ *Closing an audit closes all objects at a lower level, with the exception of recommendations and actions. When these objects have been closed you can no longer modify them.*

☛ *The administrator can exceptionally reopen these objects if necessary.*

TEST FOLLOW-UP

Implementing Recommendations

HOPEX Compliance uses recommendations and actions to process non-compliances identified in tests.

> ☛ *Action plans available in the **Remediation** navigation tab of solution are not used in the framework of testing.*

When the closing report is circulated, recommendations are automatically sent to recommendation owners.

Accessing recommendations

The recommendation owner receives a single e-mail for all recommendations addressed to him.

To access recommendations to be executed:

- Select **Home > Recommendations and Actions**.
  The **Recommendations to Execute** folder presents the list of recommendations assigned to you.

Implementing actions

The recommendation owner must create actions whose objective is to take account of these recommendations.

> ☛ *For more details, see "Action workflow", page 129.*

Creating actions

To create an action:

1. Click **Home > Recommendations and actions > Recommendations to execute > My recommendations to answer**.
2. Select a recommendation and click **Properties**.
3. Open the properties of the recommendation and select the **Action Plan** tab.
4. In the **Actions** section, click **New**.
5. Open the properties of the action created.
6. Modify its name if necessary, enter an implementation date limit and the owner of the action.

   > ☛ *The current user is by default the action owner.*

7. Click **OK**.

Submitting action plans

Actions created and assigned to appropriate users constitute an action plan.

This action plan is submitted to the lead controller or the compliance manager via the recommendations workflow.

☛ *For more details on the workflow, see "Recommendation Workflow", page 128.*

To submit the action plan:

- Click the recommendation icon and select **Action Plan to be Submitted > Submit Action Plan**.
  The lead controller or compliance manager validates the action plan by return.

Following up recommendation implementation

When the action plan has been validated, actions are implemented by the persons concerned.

Following up recommendation progress

After a predetermined period, the compliance manager or lead controller can request information on progress of recommendations.

Specifying recommendation progress

The recommendation owner must inform the compliance manager on progress of his actions.

To indicate progress of recommendations:

1. In the page of a recommendation, select the **Action Plan** tab.
2. In **Progress Rate**, specify an execution percentage of the action plan (that is of taking account of the recommendation).
3. Click **OK**.
   The recommendation owner can also indicate action progress in the page of the action.

Following up recommendations

An analysis report assures follow-up of recommendations.

☛ *This report is accessible to the compliance manager or the functional administrator.*

To access a recommendation follow-up report:

- In the **Compliance** desktop, select **Compliance Testing > Decisional Reports > Recommendation Reports**.

To create a recommendation report:

1. Click **New** and open the report created.
2. In **Parameters**, connect the objects that interest you:
   - Plans
   - Compliance Tests
   - Entities
   - Process
   - Risks

3. In the **Reports** tab, you can see:
   - Recommendations breakdown by priority
   - Recommendations breakdown by progress (delayed, etc.)

Test Plans Follow-Up

HOPEX Compliance enables follow-up of test plans according to different criteria.

Displaying plan follow-up reports

Reports enable test plan execution follow-up.

To access test plan reports:

1. Open the properties of the plan.
2. Select the **Plan Reports** tab.

Supervision

This report offers a summary of test plan tests according to different criteria:

- Origin:
  - punctual test
  - recurring test
  - follow-up test
  - board request
- Priority
  - Low
  - Medium
  - High
- Score:
  - Good overall level
  - Can be improved
  - At risk
- Status
  - In preparation
  - in progress

Resources allocation

The diagram displayed in this report enables comparison of:

- persons available
- persons required
- persons assigned

By default, results relate to the current year, but you can display results for a precise period.

Gantt report

The Gantt report comprises two parts:

- A Gantt chart of tests scheduled between selected dates
- A Gantt chart of occupation of controllers on tests between selected dates

Expenses

This report shows all expenses linked to a plan, as well as breakdown by expense category and by controller.

It allows the director to plan future audits.

Closing plans

When all compliance activities have been terminated, the plan can be closed.

The effect of this action is to close all tests in progress or that have not been canceled.

Reports and Dashboard

Reports

Reports allow you to:

- follow progress of tests.
- view requirement assessment results in the framework of testing.

For more details, see "Requirement Testing Reports", page 112.

Dashboard

Your dashboard allows you to access a set of widgets and follow the progress of your tests in real time.

To customize your dashboard:

1. At top right of the edit area, click **Dashboard** .
2. At bottom left of the edit area, click **+ Add**.
   The list of elements you can display in your dashboard appears:
   - general widgets: "Notifications" and "To-Do List"
   - widgets relating to compliance
3. Select an element and drag-and-drop to the dashboard (central area of solution).

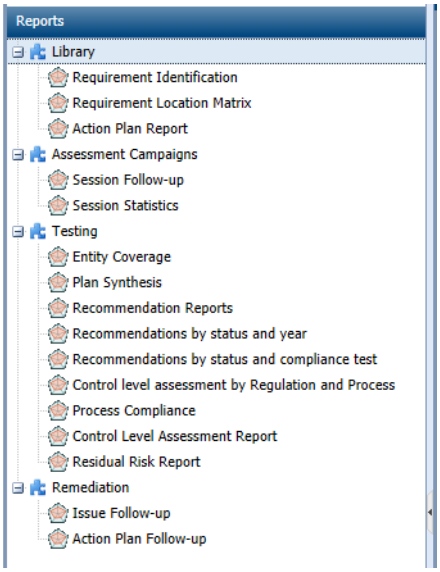
The following widgets are available for compliance:

- Number of compliance tests per compliance plan
- Number of compliance controllers per year
- Evolution of test scores
- Evolution of test breakdown by category
- Estimated and effective workload per compliance plan

HOPEX COMPLIANCE REPORTS

The **Reports** navigation tab groups reports used during each compliance management process step. They can provide help in decision-making and allow you to follow up progress of your work.

☛ *You find these reports in navigation tabs corresponding to the different compliance process steps. You can also find certain reports in the properties dialog boxes of the objects they describe.*



REPORT OVERVIEW

Creating Reports

To create a report:

1. In the **Compliance** desktop, click the **Reports** tab.
2. Select the type of report to be created and click **New**.
   The properties dialog box of the report appears.
3. In the **Parameters** tab, specify the requested parameters, including the report name.

   ☛ *The different parameters requested for each report are described later in this chapter.*
4. Select the **Reports** tab.
   You can view the report created.

   ☛ *The report is specific to the user with which you are connected.*

   ☛ *To customize reports, see the **HOPEX Common Features** guide, "Generating Documentation" chapter, "Customizing Reports".*

Technical Documentation concerning Reports

Technical documentation explaining how reports operate is available in **HOPEX Windows Front-End.**

To access this documentation:

1. In the **Utilities** navigation window, expand the **Report Templates > MEGA > Compliance**.
2. Open the properties page of the report template of interest to you select the **General > Documents** tab.
   An MS Word document is available in the section **Sub-business document of Report template**.

LEGAL INVENTORY REPORTS

Requirement Identification

This report presents distribution of requirements according to several perspectives:

- entities
- process

Access path

Reports > Library > Requirement Identification

Parameters

Parameters	Remarks
Begin Date	Optional All requirements created after this date are selected.
End date	Mandatory Initialized with current date All requirements created after this date are selected.
Context object	Optional The context object can be: - an entity - a process

You can specify context objects enabling display of requirements linked to:

- Entities
- Process

To connect context objects:

1. In the appropriate frame, click **Connect** ....
2. In the window that appears, select the objects to connect through a tree.

Results

To obtain the list of requirements making up a bar chart bar:

- In the Reports tab of the report property page, click the bar of interest to you.
  The list of requirements taken into account is presented at the bottom of the edit area.

Bars of the bar chart distinguish assessed requirements from those not yet assessed.

Requirement Location Matrix

This report enables simple location of requirements.

Access path

Reports > Library > Requirement Location Matrix

Parameters

Parameters	Parameter type	Comment
Begin Date	Date	Optional All requirements created after this date are selected.
End date	Date	Optional All requirements created after this date are selected.
Parent context	The context object can be a(n): - Organizational process - Business process - Entity - Regulation	Mandatory Parent of context elements displayed in the matrix
Localized requirements	List of requirements possibly filtered by: - Requirement - Entity - Regulation	Mandatory Requirements to be displayed in the matrix

Result

The requirement location matrix displays links between:

- a list of requirements
- sub-elements of a root context object

☛ *The report is empty if the selected context object has no sub-objects*

Regulation Heatmap

The regulation map constitutes the control "identity card".

To generate a regulation heatmap:

- In the **Legal Inventory** navigation tab, click the icon of the regulation, then the **Generate Report (MS Word)** button.
  An MS Word format report opens.

  ☛ *An intermediate window may ask if you want to authorize pop-ups. If this is the case, reply "Yes".*

The heatmap presents information on the selected regulation, as well as its attached requirements.

☛ *For more details on regulations, see "Defining Regulations", page 24.*

Requirement Report

Access path

To access the report concerning a requirement:

1. Select **Legal Inventory > Regulation Management > Requirements > All Requirements**.
2. Select a requirement and in its properties select the **Reporting** tab.

Result

This report presents evolution of compliance control level for each entity over the past twelve months.

Requirement Assessment Reports

✓ "Session Follow-Up", page 110
✓ "Session Statistics", page 110

Session Follow-Up

This report enables assessment session follow-up.

Access path

Reports > Assessment Campaigns > Session follow-up

Parameters

Parameters	Parameter value
Session	Assessment session

Results

A summary displays general information on the current session.

This report presents charts concerning session progress:

- Percentage of completed questionnaires
- Distribution of questionnaires by status
- Distribution of questionnaires delegated/not delegated
- Distribution of questionnaires by status, for each respondent
- Distribution of questionnaires by status, for each assessed object

Session Statistics

This report enables analysis of distribution of assessment session replies.

Access path

Reports > Assessment Campaigns > Session Statistics

Parameters

Parameters	Remarks
Campaign	Mandatory
Session	Mandatory

Results

A summary displays general information on the current session.

A tree appears:

- in rows: questions/answers, together with respondents
- in columns: for each question/answer:
  - number of respondents
  - requirements to which the answer relates

  This tree specifies who has answered what to which question.

Requirement Testing Reports

Entity Coverage

The entity coverage report provides help in decision-making when selecting compliance tests.

Access path

Reports > Testing > Entity Coverage

Results

The generated report presents for each entity and sub-entity:

- the number of compliance tests carried out
- the end date and the name of the last compliance test carried out
- a score, indicating if improvement is required

Possible action

You can:

- Select entities with an unsatisfactory score
- Generate a new compliance test for these entities

☛ *See "Viewing the test coverage report", page 72.*

Plan Synthesis

This report presents an overview of plan indicators.

Access path

Reports > Testing > Plan Synthesis

Results

A summary table presents:

- number of tests (total number, number of tests planned, published and completed)

  ☛ *If you click the figure indicated, the corresponding tests appear at the bottom of the window. You can consult the properties of each compliance test and modify these from this list.*
- estimated and effective workload (in days)
- average duration (days)
- average number of controllers

Charts present the distribution of compliance tests by:

- origin
- priority
- category
- score
- status

☛ *For more details, see "Defining compliance test properties", page 70.*

Recommendation Reports

Recommendation report

This report presents recommendations by:

- priority
- progress state

Access path

Reports > Testing > Recommendation Report

Parameters

Parameters	Parameter value
Plans	Optional
Compliance Tests	Optional
Entities	Optional
Process	Optional
Risks	Optional

Recommendations by status and year

This report presents recommendations over several years.

Access path

Reports > Testing > Recommendations by status and year

Parameters

Parameters	Parameter value
First year	Mandatory

The **First Year** parameter enables specification of a begin date.

☛ *This parameter enables filtering of recommendations.*

Recommendations by status and compliance test

This report presents recommendations by status and test in the form of a bar chart.

Access path

Reports > Testing > Recommendations by status and compliance test

Parameters

As parameters you can add compliance tests not included in the initially selected plan.

Parameters	Parameter value
Audit plan	Mandatory
Compliance Tests	Optional

Control Level Assessment by Regulation and Process

This report presents results:

- of assessments executed directly or via questionnaires from the "Requirement Assessment by Regulation and Process" template (average gross result).
- of questionnaires on each compliance test for the different requirements.

☛ *If aggregation has not been started on closing the assessment session, you can start aggregation calculation here.*

Access path

Reports > Testing > Control level assessment by Regulation and Process

Parameters

Parameters	Parameter value
Entity	Mandatory
Regulation	Optional - enables requirement scope restriction.
Assessment template	Specified by default ("Requirement Assessment by Regulation and Process")

Results

The generated report is presented as a tree:

- sub-entities
- their business and organizational processes
- regulations
- assessed requirements

Result (direct assessment and by campaign)	Average of inherent risk for each element of the tree + testing results

The inherent (gross) risk indicates the risk to which the organization is exposed in the absence of measures taken to modify the occurrence or impact of this risk.

Each cell displays the value of the control level of the last generated questionnaire for each of the requirements connected to the selected regulation.

Process Compliance

This report aggregates for each requirement the results of:

- requirement assessments executed directly or via questionnaires from the "Requirement Level Assessment by Regulation and Process" template (average gross result).
- compliance tests

Access path

Reports > Testing > Process Compliance

Parameters

Parameters	Parameter value
Process	Mandatory
Regulation	Optional

Results

This report proposes several results according to the assessment mode used (direct assessment/by campaign or testing):

Result obtained	Definitions	Origin
Inherent risk (gross)	The inherent (gross) risk indicates the risk to which the organization is exposed in the absence of measures taken to modify the occurrence or impact of this risk.	Assessments direct and via campaigns
Control level		Testing requirements
Residual risk (net)	The residual (or net) risk indicates the risk to which the organization remains exposed after management has processed the risk.	Testing requirements

The residual risk (net) corresponds to the multiplication of:

- the inherent (gross) risk calculated during the assessment step
- control level calculated during the testing step (compliance tests)

The residual (or net) risk indicates the risk to which the organization remains exposed after management has processed the risk.

Summary

```
Inherent risk (assessments) * Control level (testing) =
Residual risk
```

Residual Risk Report

This report is identical to the "Compliance" report, except the residual risk report queries requirements from an entity.

☛ *For more details, see "Process Compliance", page 115.*

Access path

Reports > Testing > Residual Risk Report

Parameters

Parameters	Parameter value
Entity	Mandatory
Regulation	Optional

Control Level Assessment Report

This report presents results of requirement testing.

Access path

Reports > Testing > Control level assessment report

Parameters

Parameters	Parameter value
Entity	Mandatory
Regulation	Optional - enables requirement scope restriction.
Assessment template	Specified by default ("Common Compliance Testing Assessment Template")

Results

☛ *If aggregation has not been started on closing the assessment session, you can start aggregation calculation here.*

This report presents in columns, for each entity/process/requirement, the following results:

- The lowest control level (in the case of direct testing, Design part)
- The lowest control level (in the case of direct testing, Effectiveness part)
- The lowest control level (in the case of indirect testing)
- Result of compliance control level: this is the lowest control level of the previous three.

Other Reports

Reports allow you to follow up progress of a particular object (plan, compliance test, action plan). They are available on each object, in the **Testing** navigation tab.

Plan follow-up reports

Reports enable compliance plan execution follow-up.

☛ *See "Displaying plan follow-up reports", page 101.*

Compliance test follow-up report

For more information on possibilities for follow-up of a particular compliance test, see:

- "Planning tests using a Gantt chart", page 75
- "Viewing resource availability", page 77
- "Consulting work program reports", page 85
- "Generating test reports", page 97
- "Supervising Tests", page 95
- "Test assessment reports", page 97

Action plan report

To follow up progress of an action plan in particular, see "Action Plan Follow-Up", page 119.

HeatMap by entity/risk type/process

Access path

Legal Inventory > Reports > Heatmap Per Entity/Risk Type/Process.

Result

This report uses results of campaigns started with the "Risk Assessment by Regulation and Requirement" assessment template.

Issue Remediation Reports

Issue Follow-Up

The issue follow-up report is presented in the form of a pie chart.

☛ *For more details on issues, see "Managing Issues and Action Plans", page 57.*

Access path

Reports > Remediation > Issue Follow-Up

Parameters

Parameters	Parameter value
Begin Date	Optional
End date	Optional
Entity	Optional
Process	Optional

Results

This report distinguishes issues:

- **Remediated**: issues with an action plan whose status is:
  - Completed
  - Closed
- **Non-Remediated**: issues with an action plan of which status is:
  - To send
  - To start
  - Under follow-up
- **Without action plan**

☛ *For more details on generation of this report, see "Following Up Issues", page 59.*

Action Plan Follow-Up

☛ *For more information on action plans, see:*

- *"Managing action plans", page 60*
- *"Action Plan Follow-Up", page 64*

Access path

Reports > Remediation > Action plan follow-up

Parameters

Parameters	Parameter value
Begin Date	Optional
End date	Optional
Entity	Optional
Process	Optional

Results

This report comprises several charts (bar charts and pie charts).

The action plans are represented in their different contexts (processes and entities).

Action plans by status

This bar chart presents action plan statuses.

Action plans by progress

This pie chart presents action plan breakdown according to their status. Possible statuses are the following:

- On Time
  - in progress
  - with due date exceeding 30 days
- Delayed:
  - in progress
  - with due date earlier than current date
- Approaching due date:
  - in progress
  - with due date between 0 and 30 days inclusive
- Canceled
- Closed

Action plan by priority

This pie chart presents action plan breakdown according to their priority.

Possible priorities are the following:

- Critical
- High
- Medium
- Low

Action plans by entity

This bar chart presents breakdown of action plans for each entity.

- x-axis: all entities
- y-axis: number of action plans linked to each entity and sub-entity

☛ *If no entity is selected, all root entities are taken by default.*

Action plans by process

This bar chart presents breakdown of action plans for each process.

- x-axis: all processes (business and organizational)
- y-axis: number of action plans linked to each process and sub-process

☛ *If no process is selected, all root processes are taken by default.*

APPENDIX - WORKFLOWS

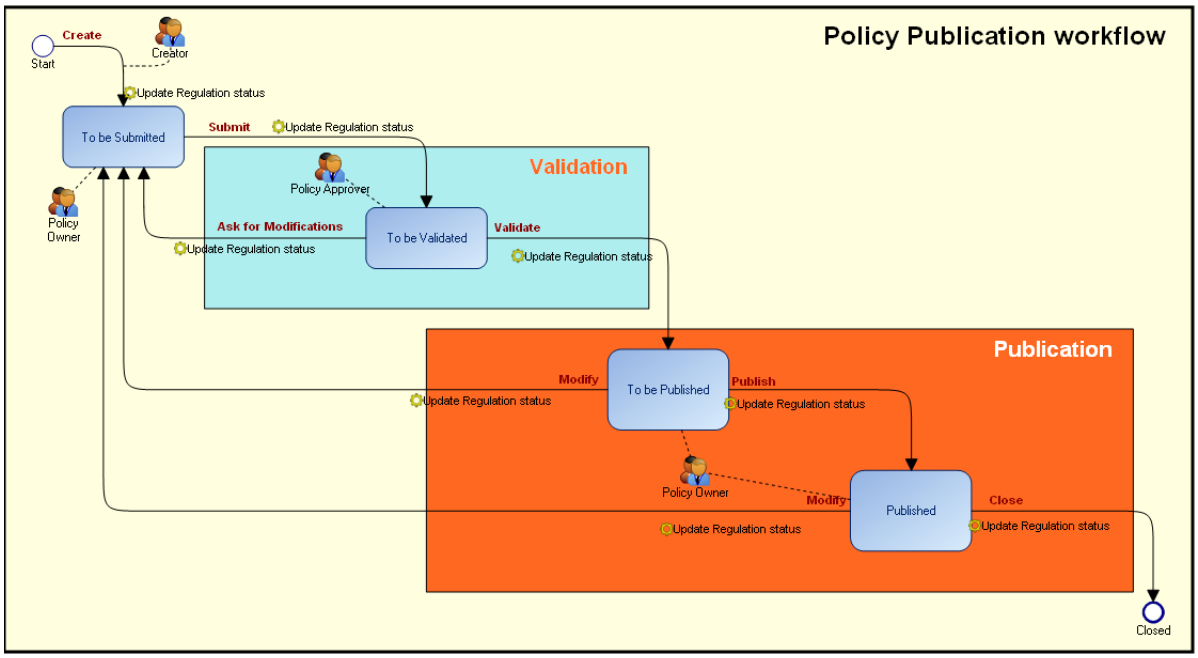
Progression of compliance activities is done via ready-to-use workflows. This appendix presents workflows of the main compliance phases.

Workflow transitions are available in the pop-up menus of objects to which the workflow relates.

✓ "Regulation Workflow", page 124
✓ "Workflows Linked to Testing", page 125
✓ "Workflows Linked to Assessments", page 130
✓ "Workflows Linked to Action Plans", page 133

Regulation Workflow

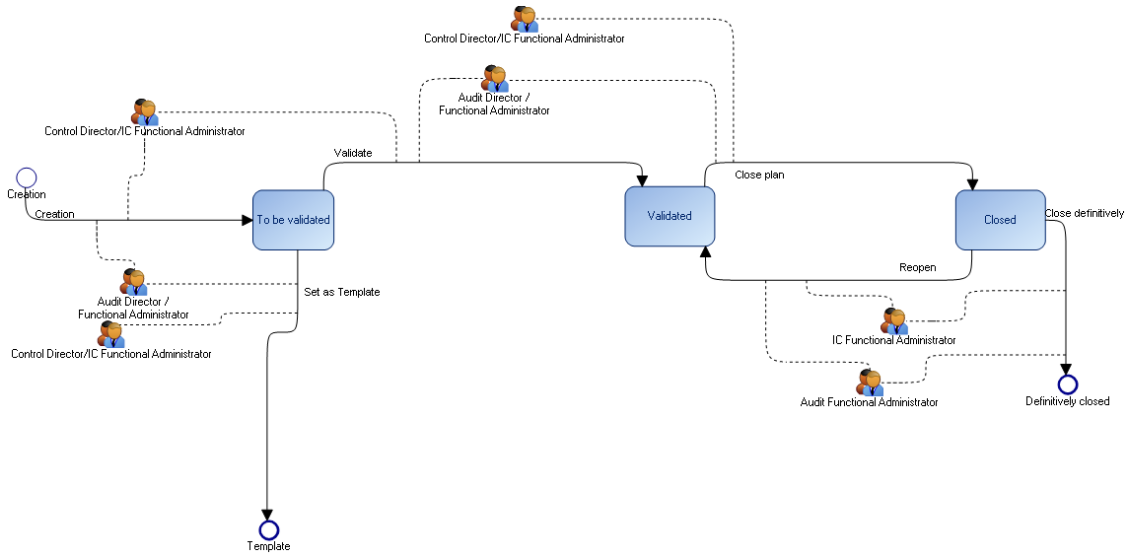
☛ *For more details on regulations, see "Defining Regulations", page 24.*



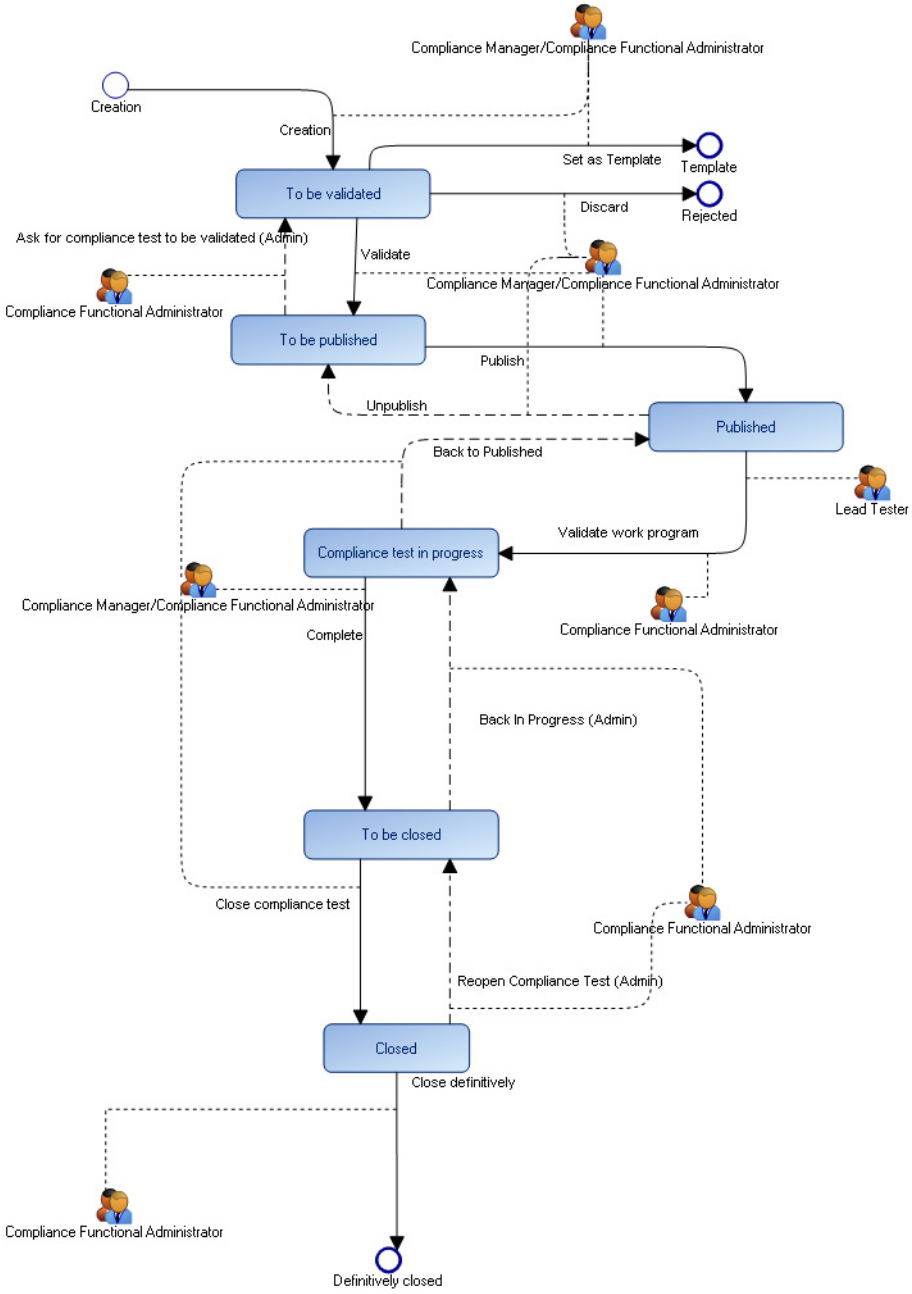
Workflows Linked to Testing

☛ *For more details on compliance testing, see "Testing Requirements", page 67.*

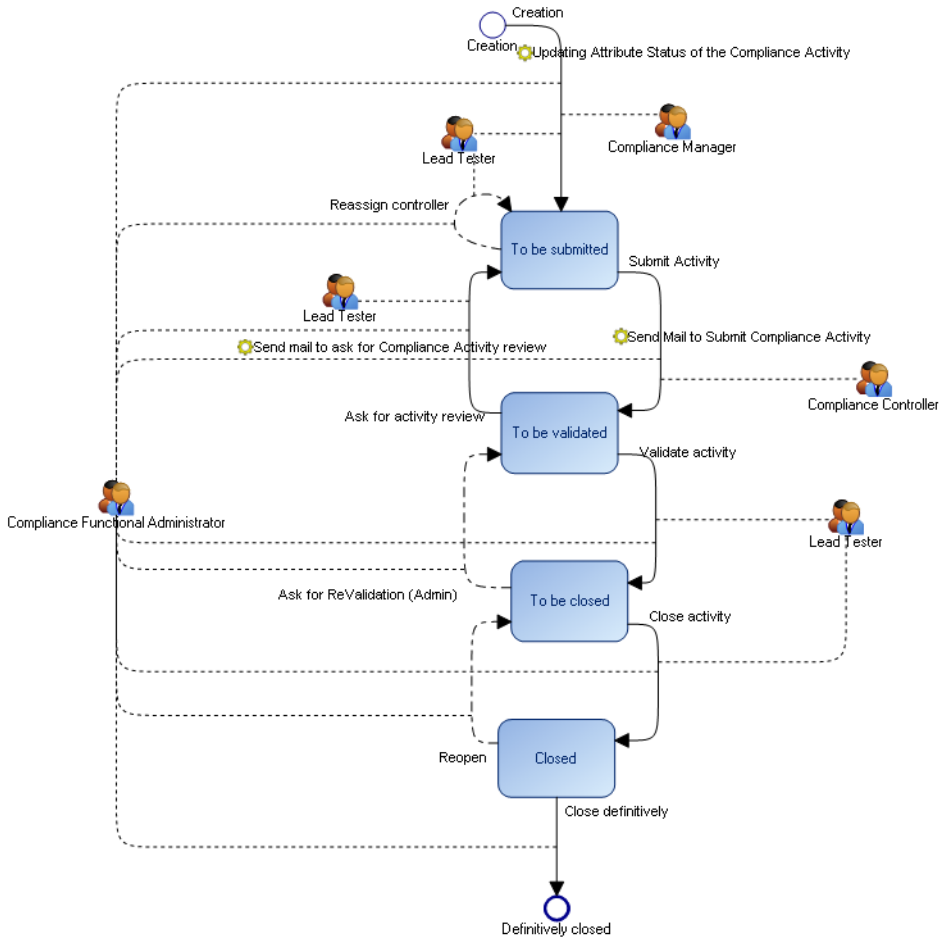
Plan Workflow



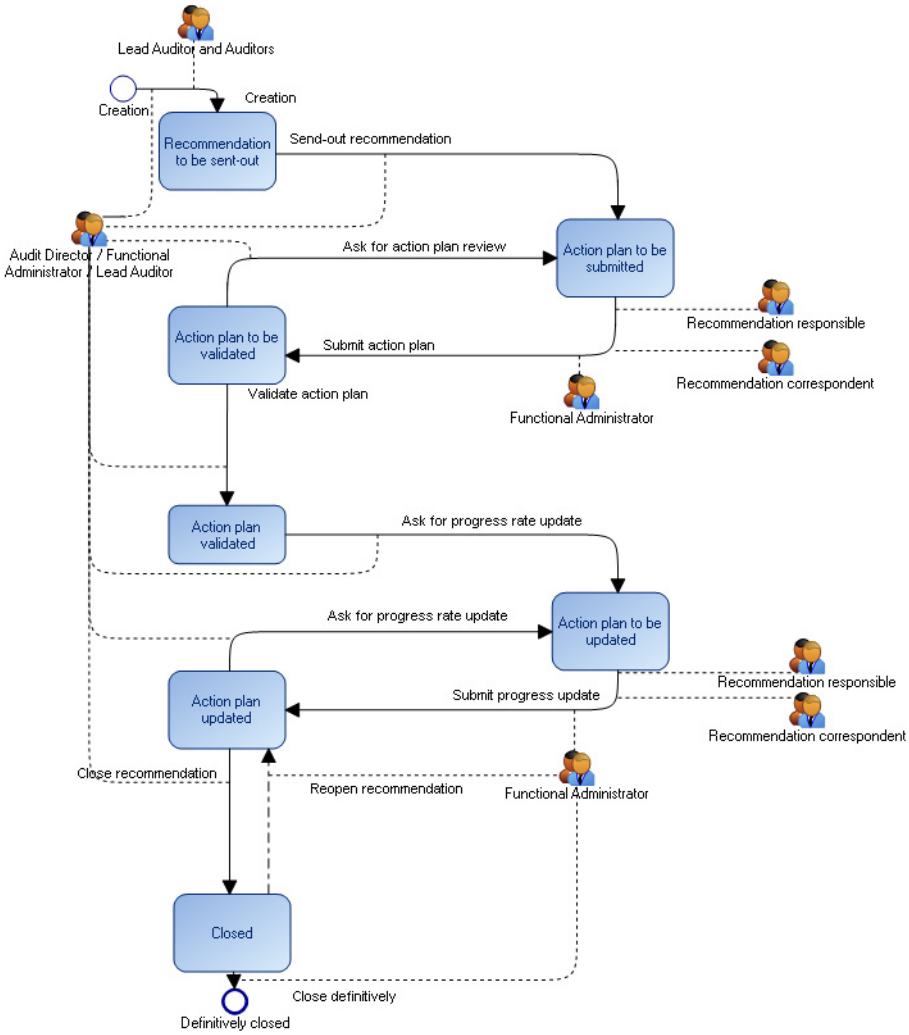
Test Workflow



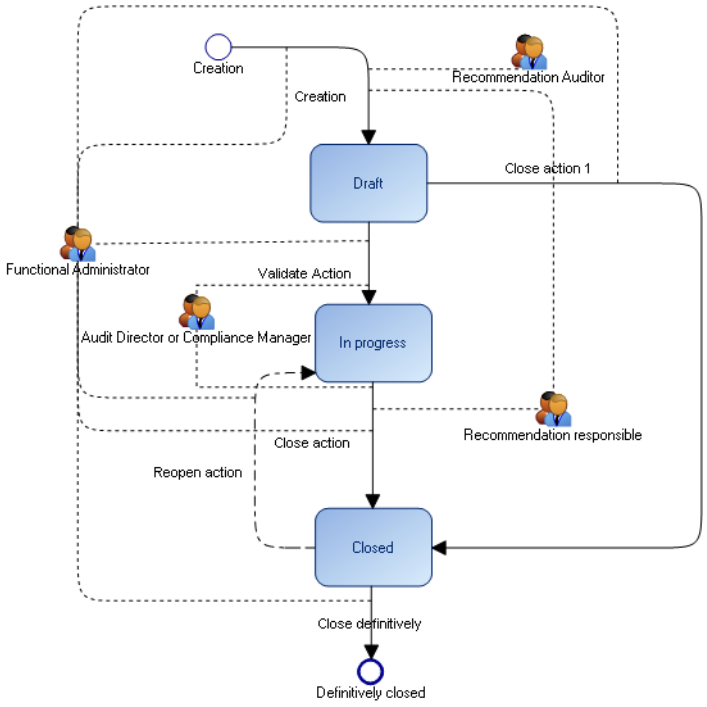
Test Activity Workflow



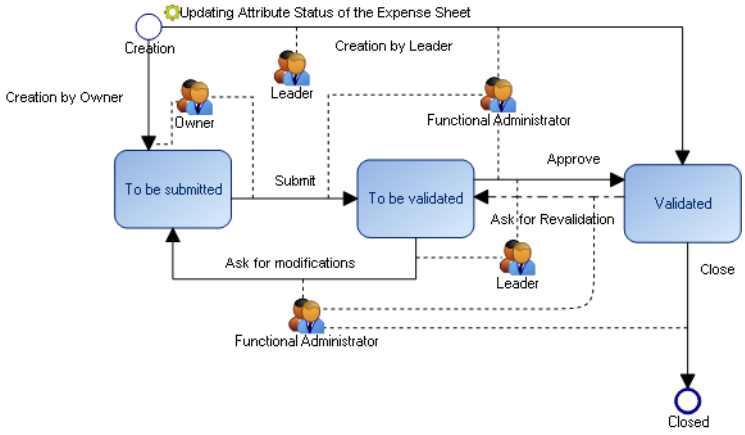
Recommendation Workflow



Action workflow



Expense Sheet Workflow

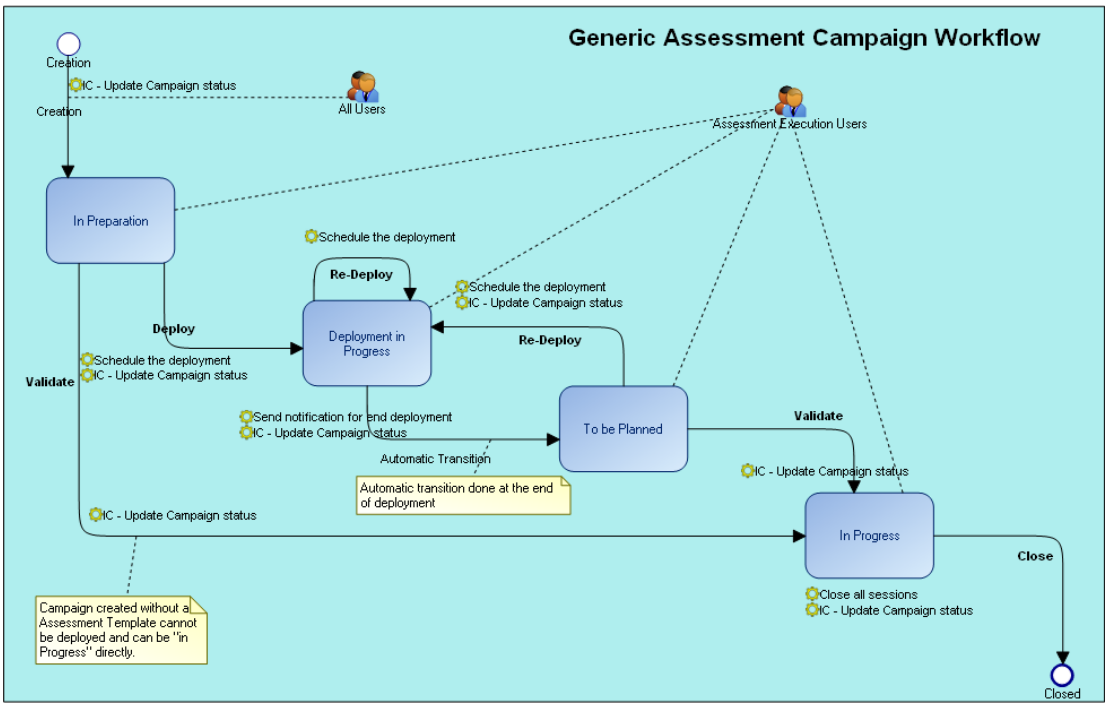


Workflows Linked to Assessments

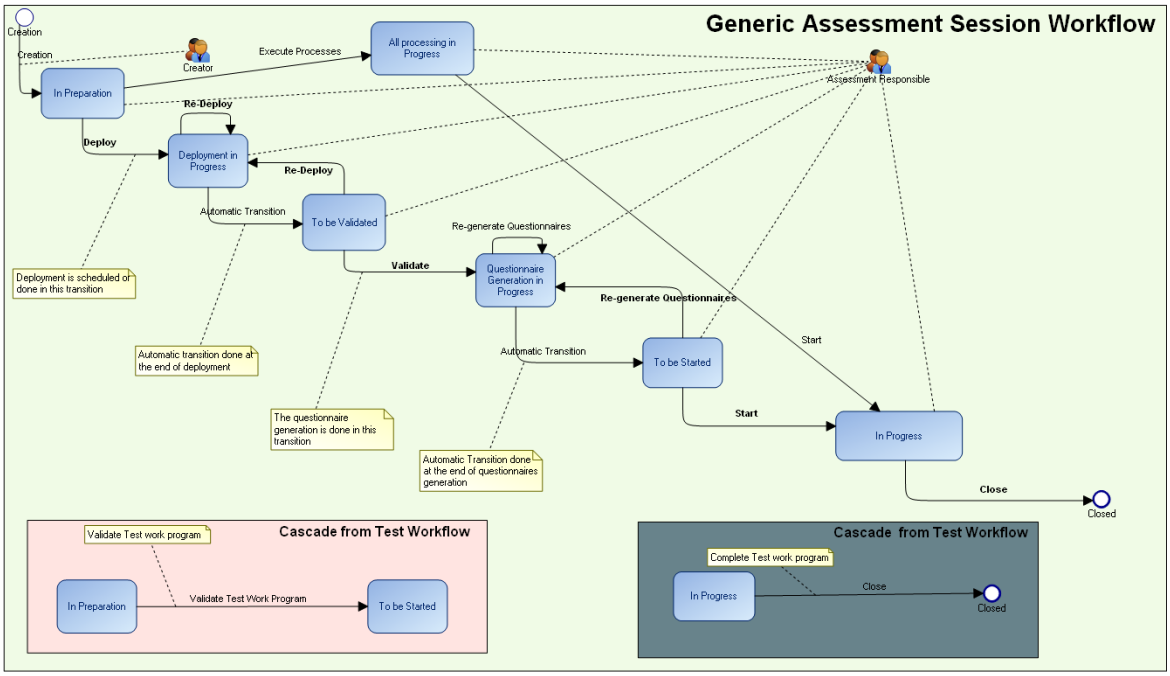
✓ "Assessment Campaign Workflow", page 130
✓ "Assessment Session Workflow", page 131
✓ "Questionnaire Workflow", page 132

☛ *For more details on risk assessment, see "Assessing Requirements", page 35.*

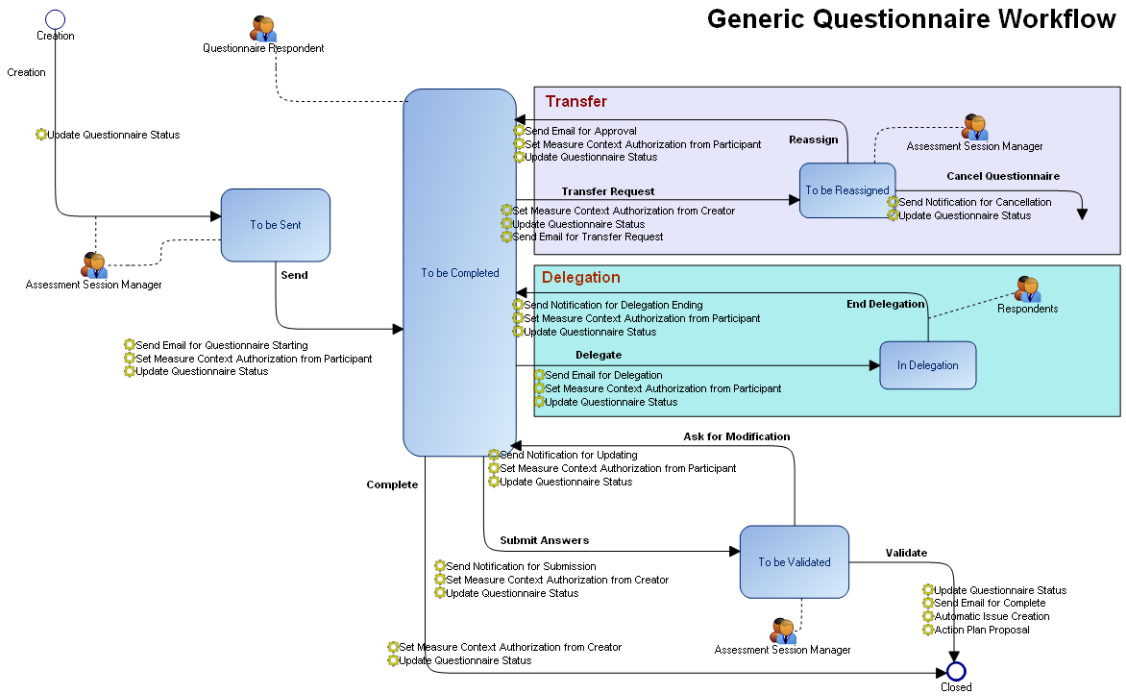
Assessment Campaign Workflow



Assessment Session Workflow



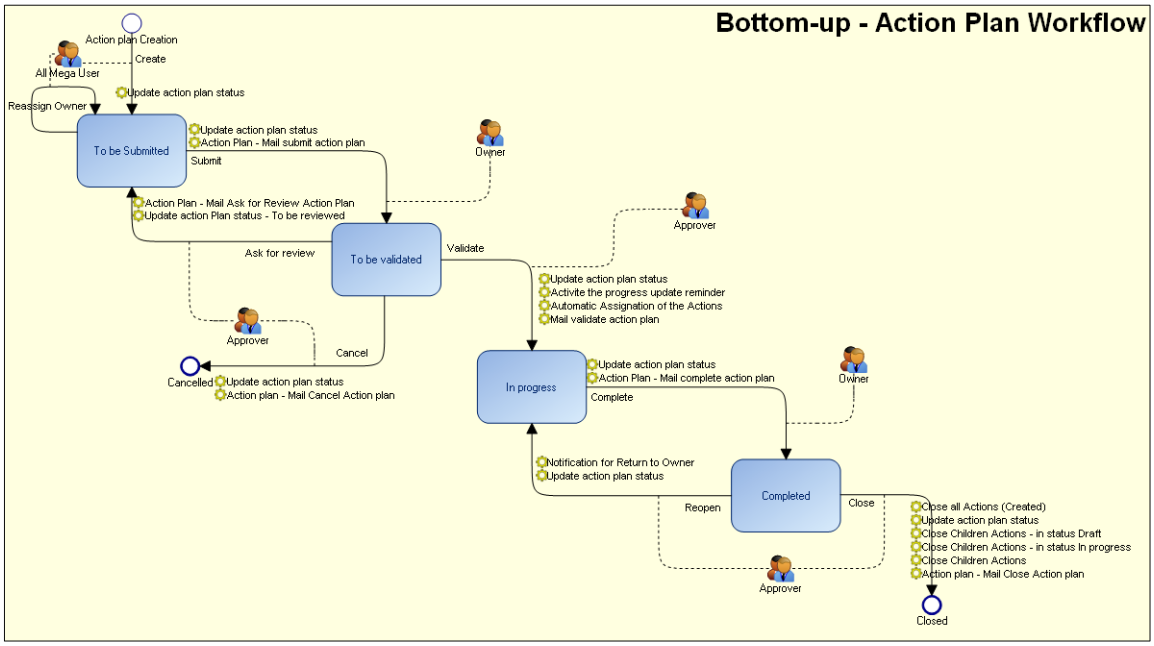
Questionnaire Workflow



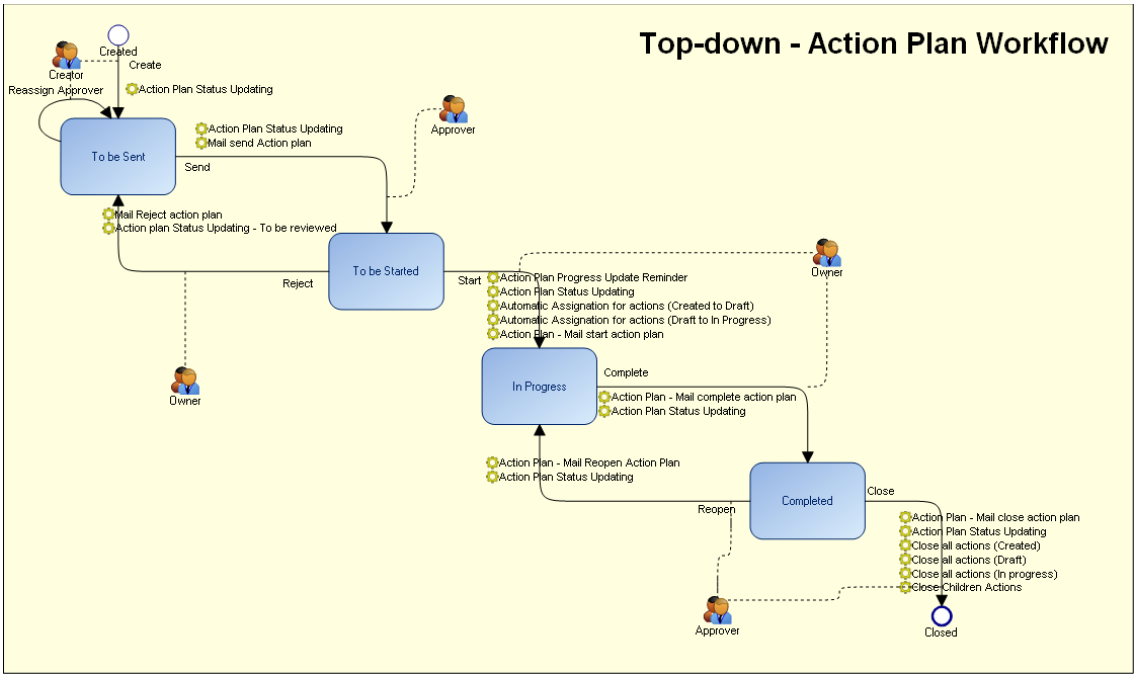
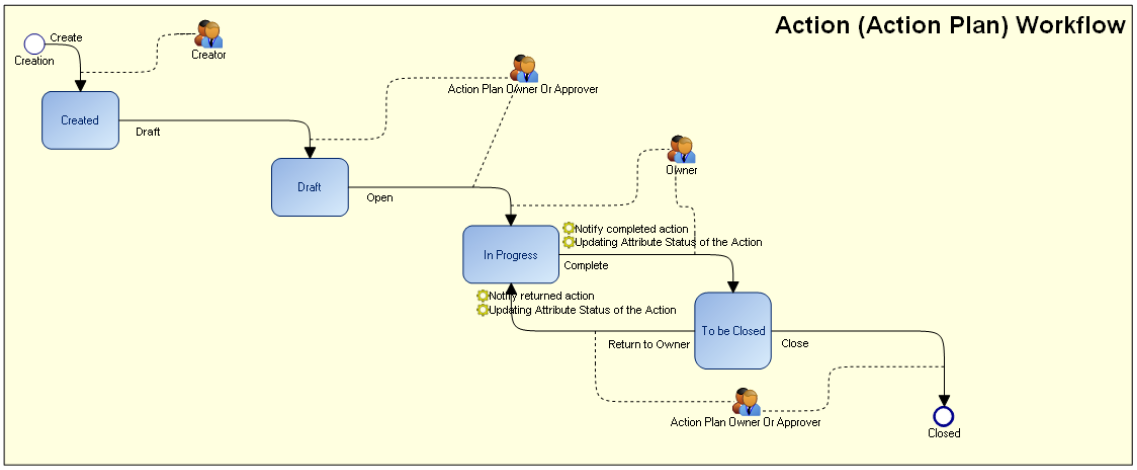
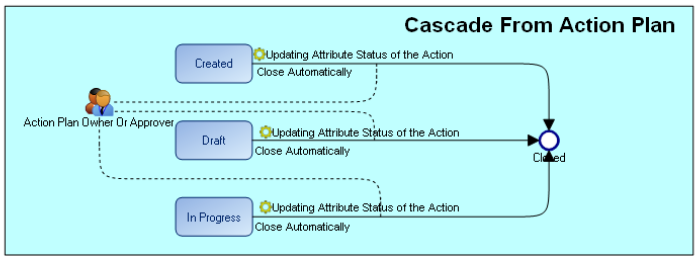
WORKFLOWS LINKED TO ACTION PLANS

☛ *For more information on action plans, see "Managing Issues and Action Plans", page 57.*

"Bottom-up" action plan workflow



"Top-down" action plan workflow



Action Workflow