

IBM OpenPages with Watson
Version 8.2.0

User Guide



Note

Before using this information and the product it supports, read the information in [“Notices” on page 193](#).

Product Information

This document applies to IBM OpenPages with Watson Version 8.2.0 and may also apply to subsequent releases.

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Introduction

This information is intended for use with IBM OpenPages® with Watson™. The content contains instructions for using OpenPages with Watson. It is intended for users who want to understand and use the objects.

Audience

The *IBM OpenPages with Watson User Guide* is intended for use with OpenPages with Watson. The content contains instructions for using the OpenPages with Watson application.

Please read the following important information regarding IBM OpenPages with Watson documentation

IBM® maintains one set of documentation serving both cloud and on-premises IBM OpenPages with Watson deployments. The IBM OpenPages with Watson documentation describes certain features and functions which may not be available on the cloud.

If you have any questions about the functionality available in the product version that you are using, contact IBM OpenPages Support by using the [IBM Support portal](#).

Finding information

To find product documentation on the web, including all translated documentation, access [IBM Documentation](#).

Accessibility features

Accessibility features help users who have a physical disability, such as restricted mobility or limited vision, to use information technology products. OpenPages documentation has accessibility features. PDF documents are supplemental and include no added accessibility features.

Forward-looking statements

This documentation describes the current functionality of the product. References to items that are not currently available may be included. No implication of any future availability should be inferred. Any such references are not a commitment, promise, or legal obligation to deliver any material, code, or functionality. The development, release, and timing of features or functionality remain at the sole discretion of IBM.

Documentation for IBM OpenPages for IBM Cloud Pak for Data users

Some user tasks in the Task Focused UI do not apply in IBM OpenPages for IBM Cloud Pak for Data. Use the following information to help you find the information that's relevant to IBM OpenPages for IBM Cloud Pak for Data.

For information about...	See
Using the Task Focused UI	Chapter 3, “Getting started with the Task Focused UI,” on page 13 All topics are relevant to users of the IBM OpenPages for IBM Cloud Pak for Data except for topics regarding: • Standard UI

For information about...	See
	• Cognos® Analytics
Platform objects	“Platform objects” on page 133
IBM OpenPages Internal Audit Management	“OpenPages Internal Audit Management (IAM)” on page 161
IBM OpenPages IT Governance	“OpenPages IT Governance (ITG)” on page 165
IBM OpenPages Operational Risk Management	“OpenPages Operational Risk Management” on page 171
IBM OpenPages Policy Management	“OpenPages Policy Management” on page 175
IBM OpenPages Financial Controls Management	“IBM OpenPages Financial Controls Management” on page 181
IBM OpenPages Regulatory Compliance Management	“OpenPages Regulatory Compliance Management” on page 183
IBM OpenPages Model Risk Governance	“OpenPages Model Risk Governance” on page 185
OpenPages Third Party Risk Management	“OpenPages Third Party Risk Management ” on page 189
IBM OpenPages Business Continuity Management	“OpenPages Business Continuity Management” on page 191

Chapter 1. What's new?

New and changed features are available for IBM OpenPages with Watson.

For information about all new features for this release, see the *IBM OpenPages with Watson New Features Guide*.

New features in version 8.2.0.3

The new features in IBM OpenPages with Watson version 8.2.0.3 are described in the following tables.

Task Focused UI enhancements

Table 1. Task Focused UI enhancements	
For information about...	See topic...
IBM Watson® Discovery was added as a natural language processing service.	“Natural language processing services ” on page 74
The ability to search for fields in Task Views, Creation Views, and Quick Views	“Navigating the Task Focused UI” on page 14, “Opening a Quick View” on page 47
Administrators can now configure the fields that are available for bulk update in Grid Views.	“Applying changes to multiple objects with bulk update in a Grid View” on page 34
Users can now define report tabs on their dashboard. Previously, report tabs could be created only by administrators by using the Manage Dashboards task.	“Adding a Reports tab ” on page 60

New features in version 8.2.0.2

The new features in IBM OpenPages with Watson version 8.2.0.2 are described in the following tables.

Task Focused UI enhancements

Table 2. Task Focused UI enhancements	
For information about...	See topic...
Applying a color theme by using the new  > Change Theme task.	“Changing your theme in the Task Focused UI” on page 62
Improved usability for disassociating objects. Added a Remove button to grid relationship fields that have an Associate action.	“Completing work that is assigned to you” on page 37
Receiving email reminders when tasks are due or overdue.	“Completing work that is assigned to you” on page 37

Table 2. Task Focused UI enhancements (continued)	
For information about...	See topic...
Completing workflow tasks in bulk: - Using Grid Views to support bulk workflow actions. - Using the Complete tasks with bulk workflow actions window on the My Tasks tab and panel, the Subscription Tasks tab and panel, and the Oversight Tasks tab and panel.	“Completing bulk workflow actions in a Grid View” on page 40
Using the new  icon in Grid Views to move objects from one folder to another.	“Using Grid Views to find, open, and work with objects ” on page 26

New features in version 8.2.0.1

The new features in IBM OpenPages with Watson version 8.2.0.1 are described in the following tables.

IBM OpenPages for IBM Cloud Pak for Data

OpenPages can now be installed on IBM OpenPages for IBM Cloud Pak for Data. For more information, see [“Documentation for IBM OpenPages for IBM Cloud Pak for Data users” on page xv](#).

Task Focused UI enhancements

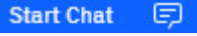
Table 3. Task Focused UI enhancements	
For information about...	See topic...
Using IBM Watson Language Translator to translate values in text fields to the language associated to your locale.	“Using IBM Watson Language Translator” on page 18
Opening and editing Microsoft Office documents directly from OpenPages.	“Adding and working with files (attachments) on objects” on page 48
Providing feedback on a Net Promoter Score (NPS) survey.	“Providing feedback using an NPS survey” on page 19
The Edit Mode toggle in was renamed to Reveal editable fields .	“Navigating the Task Focused UI” on page 14
The Analytics button for IBM Cognos Analytics moved from the header to the Primary Menu.	“Using the Primary menu” on page 16
Safe mode can now be applied to Dashboards.	“Adding panels and widgets to your dashboard in the Task Focused UI” on page 53

New features in version 8.2.0

The new features in IBM OpenPages with Watson version 8.2.0 are described in the following tables.

For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 4. Task Focused UI enhancements	
For information about...	See topic...
The new IBM OpenPages Business Continuity Management solution.	“OpenPages Business Continuity Management” on page 191
Accessing IBM Watson Assistant with the  icon.	“Navigating the Task Focused UI” on page 14
The review process for questionnaire assessments can now be driven by GRC Workflow.	“Overview of the questionnaire assessment process ” on page 141
Ad hoc questionnaire assessments.	“Creating an ad hoc questionnaire assessment” on page 155
Classifier fields are now displayed using an IBM Watson Insights button and panel.	“Natural language processing services ” on page 74 “Creating objects ” on page 35
Gantt charts on dashboards.	“Adding a chart panel ” on page 55
New method type and aggregation field for sum, average, min, and max on charts on Dashboards.	“Adding a chart panel ” on page 55
Activity tab on Task Views.	“Viewing change history on the Activity tab” on page 48
The Delete button in a grid layout in a Task View.	“Completing work that is assigned to you” on page 37
When defining private filters on Grid Views, the new Show hidden values toggle controls whether hidden values for enumerated value fields are displayed.	“Defining private filters ” on page 31
A Reports panel on the dashboard can now list all reports by category, depending on how the new field Data Source is set.	“Adding a Reports panel ” on page 58
A Search panel on the dashboard uses global search to find information.	“Searching for objects using global search (Task Focused UI)” on page 80
How GRC Calculations are handled in Creation Views and Task Views.	“Creating objects ” on page 35 “Completing work that is assigned to you” on page 37
Check in and check out functionality for files was made more consistent.	“Adding and working with files (attachments) on objects” on page 48

Standard UI enhancements

The **Process Portal** on the Home page has been removed. It supported the integration of IBM OpenPages with Watson with IBM Business Process Manager, which has been removed.

Solution enhancements

See the *IBM OpenPages with Watson Solutions Guide* for a complete list of all the changes to solutions.

New features in version 8.1.0.1

The new features in IBM OpenPages with Watson version 8.1.0.1 are described in the following tables. For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 5. Task Focused UI enhancements	
For information about...	See topic...
Opening an object in a Quick View from a grid relationship field or tree diagram in a Task View. A Quick View is a Task View (or Creation View) that is displayed in a small sidebar.	“Opening a Quick View” on page 47 “Viewing information in a tree diagram ” on page 44
Using bulk update in Grid Views to edit field values across multiple objects.	“Applying changes to multiple objects with bulk update in a Grid View” on page 34
The overall look and feel of the Task Focused UI changed due to an upgrade in the underlying infrastructure. Some icons changed and some buttons are larger than in previous releases.	

Solution enhancements

See the *IBM OpenPages with Watson Solutions Guide* for a complete list of all the changes to solutions.

New features in version 8.1.0

The new features in IBM OpenPages with Watson version 8.1.0 are described in the following tables. For more information, see the *IBM OpenPages with Watson New Features Guide*.

Task Focused UI enhancements

Table 6. Task Focused UI enhancements	
For information about...	See topic...
The new Analytics link in the banner that enables access to the IBM Cognos Analytics.	“Navigating the Task Focused UI” on page 14
The new dashboard that personalizes information and tasks for your requirements.	“Using the Dashboard in the Task Focused UI” on page 20
Configuring panels on the new dashboard.	“Adding panels and widgets to your dashboard in the Task Focused UI” on page 53
Defining private filters in Grid Views, using folder filters (Business Entity), and enhanced functionality in other filters.	“Using filters in Grid Views” on page 28 “Using Grid Views to find, open, and work with objects ” on page 26
Exporting a list of objects in a Grid View to an Microsoft Excel workbook that is in FastMap format.	“Using Grid Views to find, open, and work with objects ” on page 26

Table 6. Task Focused UI enhancements (continued)	
For information about...	See topic...
When adding files (attachments), multiple versions of the same file can now be added, viewed, and downloaded.	“Completing work that is assigned to you” on page 37
The Edit Mode toggle in Task Views.	“Completing work that is assigned to you” on page 37
Enhancements to key items and the new ability to validate actions by using Select an action to validate in a user guidance panel.	“Validating a workflow action” on page 46
Business entity selector fields are now supported in Grid Views, Creation Views, and Task Views.	
If single sign-on (SSO) is used, system notices display on the dashboard.	“Using the Dashboard in the Task Focused UI” on page 20
Changing the reporting period.	“Viewing data for a reporting period in the Task Focused UI” on page 63

Solution enhancements

See the *IBM OpenPages with Watson Solutions Guide* for a complete list of all the changes to solutions.

New features in version 8.0.0.3

The new features in IBM OpenPages with Watson version 8.0.0.3 are described in the following sections.

Task Focused UI enhancements

Table 7. Task Focused UI enhancements	
For information about...	See topic...
The new ability in Grid Views to control how many items are listed. The default for Items per page is 50 but you can change it to 100, 250, or 500.	“Using Grid Views to find, open, and work with objects ” on page 26

New features in version 8.0.0.2

The new features in IBM OpenPages with Watson version 8.0.0.2 are described in the following sections.

Platform enhancements

Table 8. Platform enhancements	
For information about...	See topic...
The redesigned login screen for the Standard UI, the Task Focused UI, and the OPX administrative interface.	
The redesigned Dashboard that is integrated with the feature, GRC Workflow.	“Using the Dashboard in the Task Focused UI” on page 20
The new Subscriber Dashboard that is integrated with GRC Workflow.	“Using the Subscription Tasks tab in the Task Focused UI” on page 23

<i>Table 8. Platform enhancements (continued)</i>	
For information about...	See topic...
The new Oversight Dashboard that is integrated with GRC Workflow.	“Using the Oversight Tasks tab in the Task Focused UI” on page 24
How you can complete work assigned to you if the GRC Workflow feature is configured.	“Completing work that is assigned to you” on page 37
The new default filters, including Active Only , on Grid Views.	“Using Grid Views to find, open, and work with objects ” on page 26
The new  icon in the Task Focused UI that gives users the ability to view notifications for the current session.	“Navigating the Task Focused UI” on page 14
The enhanced search capabilities in the Task Focused UI.	“Using Grid Views to find, open, and work with objects ” on page 26
The ease-of-use improvements in the Task Focused UI to classifier fields that make taxonomy suggestions using IBM Watson cognitive technology.	“Creating objects ” on page 35
The new ability in the Task Focused UI to use classifier fields to make object associations suggestions using IBM Watson cognitive technology	“Creating objects ” on page 35
Changes to the display of the Reporting Period drop down list. The drop down list is displayed only if you have created at least one reporting period. This change removes a potential distraction for users, and makes more room for other elements in the page header.	“Viewing data for a reporting period” on page 100

New features in version 8.0.0.1

The new features in IBM OpenPages with Watson version 8.0.0.1 are described in the following sections.

Platform enhancements

<i>Table 9. Platform enhancements</i>	
For information about...	See topic...
Using the new Task Focused UI and the differences between the Task Focused UI and the Standard UI. The user interface that has been included with IBM OpenPages with Watson for numerous releases is now called the Standard UI.	“Using the Task Focused UI ” on page 13 “Using the Standard UI” on page 65
Adding links to questionnaire templates.	“Adding links to a questionnaire template ” on page 149

New features in version 7.4.0

The new features in IBM OpenPages with Watson version 7.4.0 are described in the following sections.

Platform enhancements

Table 10. Platform enhancements	
For information about...	See topic...
Personalizations are maintained. Recently used information for actor pickers (user and user group selectors) now persists in the database. Previously, this information persisted in the browser. Clearing browser information or switching browsers or devices will not affect the personalization of recent selections made to users or user groups.	

Solutions Enhancements

Table 11. Solutions enhancements	
For information about...	See topic...
The new Vulnerabilities object.	“Vulnerabilities” on page 169

Administration and serviceability enhancements

Table 12. Administration and serviceability enhancements	
For information about...	See topic...
Internet Explorer 11 in native mode is supported. Internet Explorer 9 and 10 and Internet Explorer compatibility mode are no longer supported.	

New features in version 7.3.0.2

The new features in IBM OpenPages with Watson version 7.3.0.2 are described in the following sections.

Object association suggestions using cognitive classifications

Cognitive services in OpenPages can now be configured to support decision making when users associate objects. If the **View Suggestions** button is displayed in the Add New wizard or on the Detail View and Activity View pages for a parent or child object association, your administrator implemented the IBM Watson Natural Language Classifier service.

For more information about the Natural Language Classifier service, see [“Natural language processing services” on page 74](#).

For more information about associating child and parent objects when you create or edit a object, see [“Adding an object instance with the Add New wizard” on page 105](#) and [“Editing objects in Detail View” on page 113](#).

New features in version 7.3.0.1

The new features in IBM OpenPages with Watson version 7.3.0.1 are described in the following sections.

Taxonomy suggestions using cognitive classifications

Administrators can now use the IBM Watson Natural Language Classifier service to build cognitive technology into OpenPages. Cognitive technology can support human decision making and help you classify information that you create. The Natural Language Classifier understands the intent behind text and returns corresponding suggested classifications together with a confidence score. If the **View Suggestions** button is displayed in the Add New wizard or on the Detail View page for an object, your administrator implemented the IBM Watson Natural Language Classifier service.

For more information about the Natural Language Classifier service, see [“Natural language processing services”](#) on page 74.

For more information about classifying a new object and editing classifier information for an existing object, see [“Adding an object instance with the Add New wizard”](#) on page 105 and [“Editing objects in Detail View”](#) on page 113.

Pre-fill answers on questionnaire assessments

When you launch a program, you can now pre-fill answers from previous programs for the same asset and the same question. For information, see [“Launching a program and copying answers”](#) on page 158.

Questionnaire templates support table-style answers

You can use the new question type, Table Answer, to add table-style answers to questionnaire templates. Use it to build a grid format, where the columns are fixed and the rows vary. A table answer can have up to 15 columns. On a questionnaire assessment, a respondent can add up to 30 rows and write up to 50 characters per cell. For information, see [“Adding questions to a questionnaire template”](#) on page 146.

Dynamic questions support multiple answers in control questions

In a dynamic question, in **Has been answered**, you designate which answer for a control question makes the dynamic question display. Previously, you could provide only one answer. Now you can select multiple answers. When a respondent selects any of the answers given in **Has been answered**, the dynamic question displays. For information, see [“Adding questions to a questionnaire template”](#) on page 146.

IBM OpenPages Regulatory Compliance Management Theme Deployer

The RCM Theme Deployer helps you to create the theme structure for business entities. You can deploy a theme to multiple business entities. Or you can deploy multiple themes to a single business entity. The RCM Theme Deployer creates the structure for you, including the compliance plan, compliance theme, and the relevant requirement evaluation objects beneath the theme, linked to the relevant Control objects. For more information, see [“Compliance Plans and Compliance Themes”](#) on page 135.

New features in version 7.3

The new features in IBM OpenPages with Watson version 7.3 are described in the following sections.

Integration with IBM Business Process Manager

Process participants can launch and work on GRC processes by working with the embedded IBM BPM **Process Portal**. The **Process Portal** is a new tab on the Home page. When you click it, the system opens the native BPM Process Portal.

Scenario Analysis object enhancements

Enhancements to Scenario Analysis allow firms to collect scenario data that can be used both quantitatively and directly as an input into the operational risk capital model. When you create a Scenario Analysis, on the **Scenario Analysis Assessment** tab, you must now define the **Number of Buckets**. The maximum is ten. For each bucket, you can provide the financial impact in **Severity Bucket** and the likelihood in **Frequency**.

For more information, see [“Scenario analysis” on page 173](#).

Global search enhancements

You can now narrow results by using search facets such as User, Folder, and Path, in addition to the object itself.

For more information, see [“Searching for objects using global search \(Standard UI\)” on page 80](#).

You can now search on the contents of any text-based file attachments for which you have permission.

For more information, see [“Searching file attachments \(Standard UI\)” on page 81](#).

Questionnaire Assessments

Questionnaire assessments have been expanded to apply to objects in the new solution, OpenPages Third Party Risk Management.

Dashboard tab for your home page

The Dashboard tab allows you to create your own dashboard for the Home Page. You can now make your workflows more efficient by creating quick access to the tasks and information that you use most often. You can tailor your dashboard to suit the way that you work.

You can add as many of the following types of widgets as needed to the Dashboard tab:

- Filter Count widget
- Object Global Search widget
- Static Web Link widget
- Add New widget, which creates an **Add New** button that is preconfigured for a specific object type.

For more information, see [“Adding panels and widgets to your Dashboard tab” on page 70](#).

You can now have multiple profiles

Your administrator can now configure multiple profiles for you. If you have multiple profiles assigned to you, you can change from one to another yourself without logging off.

For more information, see [“Changing your profile ” on page 67](#).

New Associate and Copy user interfaces

Associate and Copy now use a new interface. You can copy and associate objects from rows in the Grid View and Activity View.

For more information, see [“Copying objects from a Detail View or Activity View” on page 114](#) and [“Associating objects from a Detail View or Activity View” on page 109](#).

You can use a registry setting to revert back to using the legacy Associate and Copy features on the Activity View and Detail View only. For more information, see "Common folder settings" and "Set copy operations" in the *IBM OpenPages with Watson Administrator's Guide*.

Sections in views can be collapsed and expanded.

You can now collapse and expand the sections in Detail and Activity Views. The collapse and expand state of each section on Detail and Activity Views persists within a session, but not across sessions.

Select objects and fields to export

You can now select the objects and fields that you want to export from the Filtered List View or Grid View. You can tailor the fields and objects that are exported based on what you want to do with the data. A Microsoft Excel workbook opens, with one worksheet for each object type that you selected. If you are configured to use FastMap, the workbook opens in FastMap format so you can edit the data and then import it using the same workbook.

For more information, see [“Exporting data from filter results” on page 90](#).

Auto-open the first item in Activity Views

When an Activity View has two or three levels, there is a list of the second-level objects. In earlier versions, when you came to an Activity View, the list was shown and you would need to click to show the details of that item and of any third-level items below it. Now the first item in the list automatically highlights and opens. This reduces the number of clicks and provides a visual clue that these items are clickable and provides more information when clicked.

Include parent criteria in Analytics bar filters

When you use a Filtered List View or Grid View for an object type, you can view filters in the Analytics bar. You can now create filters based on parent information criteria. These filters can be saved and used as filters on your Home Page dashboard. For more information, see [“Setting a parent filter” on page 85](#).

Chapter 2. Getting started with IBM OpenPages for IBM Cloud Pak for Data

Using IBM OpenPages for IBM Cloud Pak for Data requires a URL you get from your administrator. If you don't know whether you are using IBM OpenPages for IBM Cloud Pak for Data or IBM OpenPages with Watson, ask your administrator.

Logging in to IBM OpenPages for IBM Cloud Pak for Data

Use this procedure to log in to IBM OpenPages for IBM Cloud Pak for Data.

About this task

Before you log in, get the URL for the instance of IBM OpenPages for IBM Cloud Pak for Data from your administrator and the user name and password.

Procedure

1. Open a supported web browser. In the **Location bar**, enter the URL for the instance of IBM OpenPages for IBM Cloud Pak for Data, for example:

`https://your-server.com/openpages-openpagesinstance1/`

2. Type your user name and password.
3. Click **Log in**.

You are automatically logged in to OpenPages.

Results

The Task Focused UI opens.

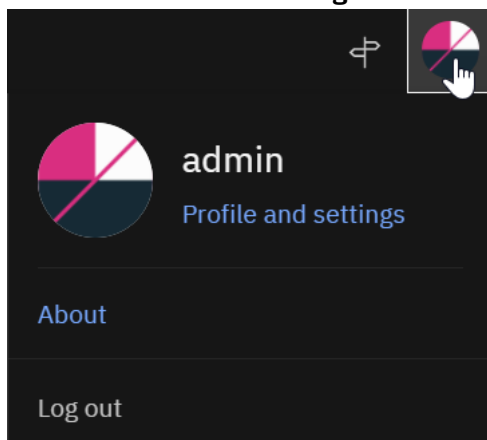
What to do next

Complete your work. When you are finished, you can log out by performing the following steps:

1. Delete the text following the server name in the **Location bar** of your browser. For example, change `https://your-server.com/openpages-openpagesinstance1/` to `https://your-server.com/`.

The Cloud Pak for Data interface is displayed.

2. Click the **Profile and settings** button in the upper right of the screen.



3. When the menu is displayed, click **Log out**.

4. When prompted to confirm that you want to log out, click **Log out**.

Chapter 3. Getting started with the Task Focused UI

Using the Task Focused UI

You use the Task Focused UI to complete tasks that are assigned to you and to find information in OpenPages.

You might also be able to access the Standard UI. For information, see [“Using the Standard UI”](#) on page 65.

If you are an implementer or administrator who is responsible for defining views in the Task Focused UI, see the topic *Configuring the Task Focused UI* in the *IBM OpenPages with Watson Administrator's Guide*.

If you are an implementer or administrator who is responsible for defining workflows, see the topic *Configuring GRC Workflow* in the *IBM OpenPages with Watson Administrator's Guide*.

Some user tasks in the Task Focused UI do not apply in IBM OpenPages for IBM Cloud Pak for Data. For more information, see [“Documentation for IBM OpenPages for IBM Cloud Pak for Data users”](#) on page xv.

Logging in to OpenPages with Watson using the Task Focused UI

Use this procedure to log in to IBM OpenPages with Watson by using the Task Focused UI.

About this task

Before you log in, obtain the OpenPages with Watson URL for the Task Focused UI and the user name and password if single sign-on is not configured.

Procedure

1. Open Google Chrome or Microsoft Edge. In the **Location bar** enter the OpenPages with Watson URL for the Task Focused UI, for example:
`https://opserver:10111/openpages/app/jspview/react/grc`
2. Type your user name and password. If these fields are not displayed, single sign-on is configured and the system opens.
3. Click **Log In**.

Results

The Task Focused UI opens.

What to do next

Complete your work. When you are finished, click  to open the **User** menu, and click **Log Out**.

Navigating the Task Focused UI

The Task Focused UI is easy to navigate and simple to use.

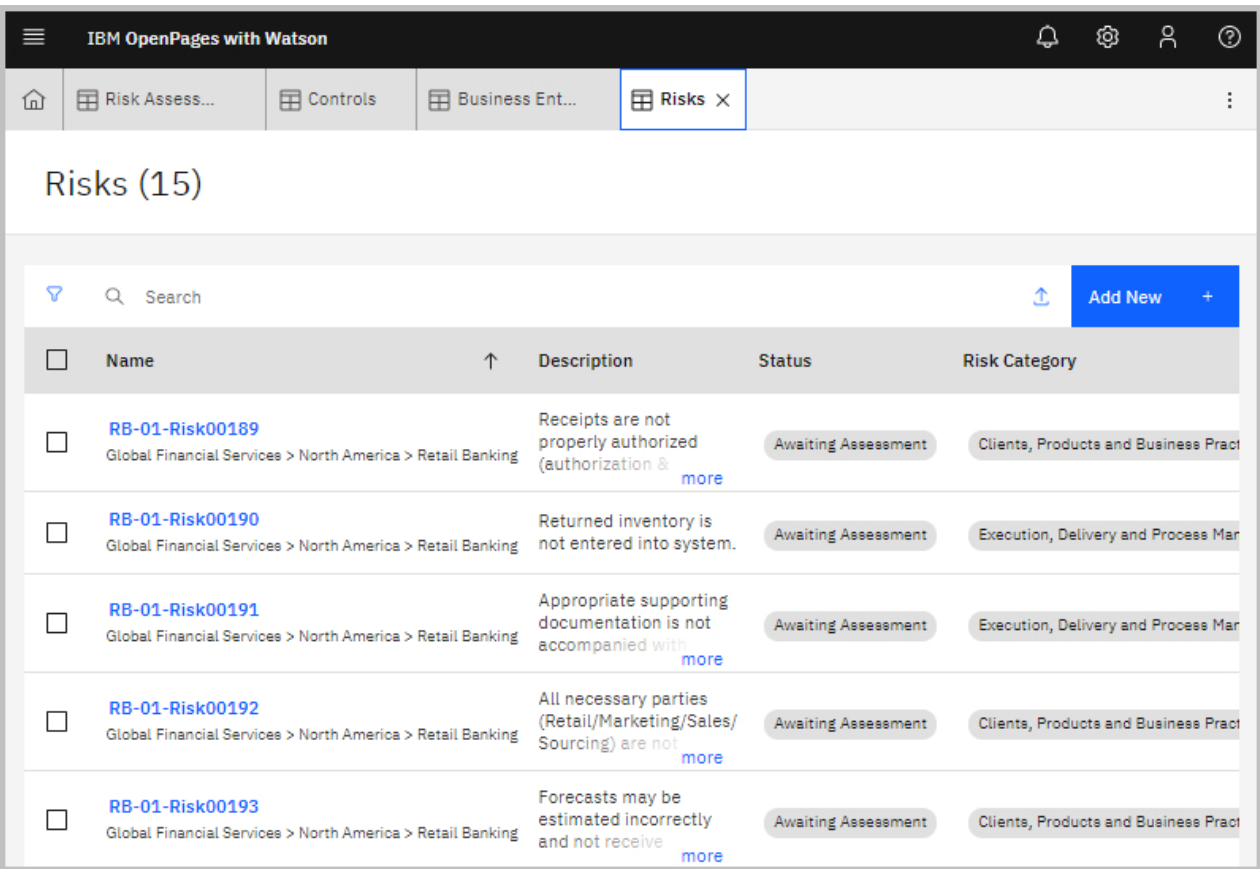


Figure 1. Example of the Task Focused UI

The Task Focused UI has the following UI components:

Table 13. UI Components	
UI components	Description
IBM OpenPages with Watson	Opens the Home page in the work area. For information, see “Using the Home page in the Task Focused UI” on page 20.
	Opens the Home page in the work area. For information, see “Using the Home page in the Task Focused UI” on page 20.
	Opens the Primary menu. For information, see “Using the Primary menu” on page 16.
Navigation Bar	The Navigation Bar contains  and a tab for each view you have open. For information, see “Using the Navigation Bar” on page 17.

Table 13. UI Components (continued)

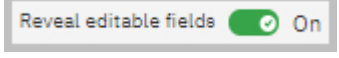
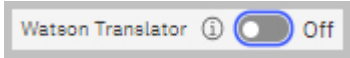
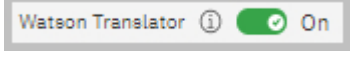
UI components	Description
	Opens a list of notifications that come from views and workflow. Like alerts, the list includes errors and warnings that you need to be aware of. Notifications are displayed for only the current session and are cleared when the session ends. Up to 50 can be displayed. The list does not include notifications about work you need to complete. Instead, use the Home page and dashboard. For information, see “Using the Home page in the Task Focused UI” on page 20.
	Opens the Administration menu.
	Opens the User menu.
	Opens a chat bot where you can ask questions using IBM Watson Assistant. Only displays if an assistant is configured and you are allowed to access it. For information, see “Using IBM Watson Assistant” on page 18.
	In a Task View or Creation View, you can search for fields in the view. In a Grid View, you can search for objects in the grid.
 	In a Task View or Quick View, turns on edit mode. You can press tab to move from field to field. The Reveal editable fields toggle is hidden in certain situations, for example, the object is locked or you do not have access control permission to edit it.
 	In a Task View, values in text fields are translated to the language associated to your locale. For more information, see “Using IBM Watson Language Translator” on page 18.
	Opens a Net Promoter Score (NPS) survey where you can provide product feedback to IBM. If you are eligible to receive a survey, it is always displayed on the Home page. You can provide feedback at any time and as often as you want. You might also periodically be prompted to submit a survey when you log in. For more information, see “Providing feedback using an NPS survey” on page 19.

Table 13. UI Components (continued)

UI components	Description
Work area	The work area displays your dashboard, a task tab, or a view. For information, see: • “Using the Dashboard in the Task Focused UI” on page 20 • “Using the My Tasks tab in the Task Focused UI” on page 22 • “Using the Subscription Tasks tab in the Task Focused UI” on page 23 • “Using the Oversight Tasks tab in the Task Focused UI” on page 24 • “Using Grid Views to find, open, and work with objects ” on page 26 • “Creating objects ” on page 35 • “Completing work that is assigned to you” on page 37
	Contains options that close all tabs or let you open a specific tab.
	Opens a menu that is used to configure dashboard panels. For more information, see “Adding panels and widgets to your dashboard in the Task Focused UI” on page 53.
Browser back button	Opens the last web page that is stored in the session.
Browser forward button	Moves forward in the web page browser session history.

Using the Primary menu

The Primary menu lists the categories of object types that you can access in IBM OpenPages with Watson.

Expand and collapse the categories to see the object types.

Depending on your configuration, **Analytics** might display as the first menu item. Click it to open IBM Cognos Analytics.

When you click an object type, for example, Organization, a list of objects opens. For information, see [“Using Grid Views to find, open, and work with objects ” on page 26](#).

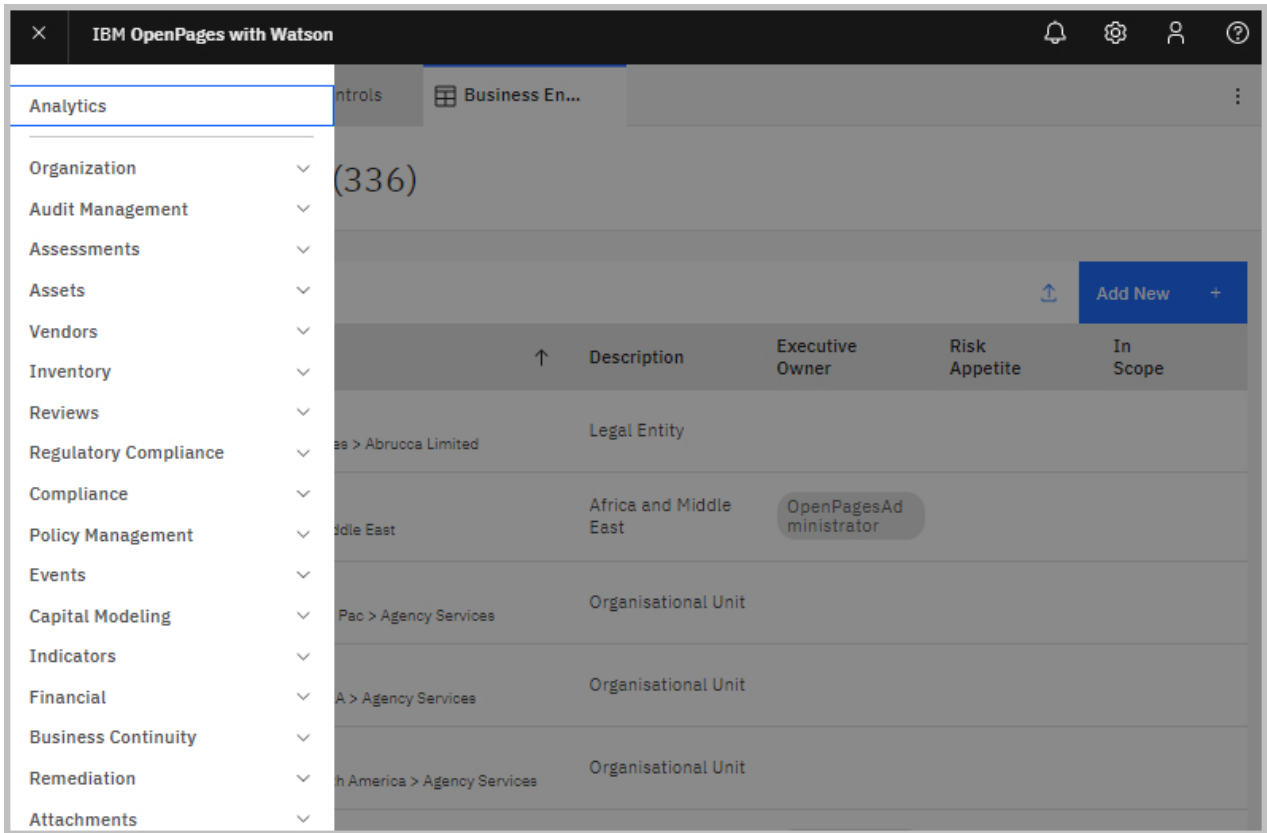


Figure 2. Example of the Primary menu

Using the Navigation Bar

The Navigation Bar contains  and a tab for each view you have open. Click the tabs to switch between the views.

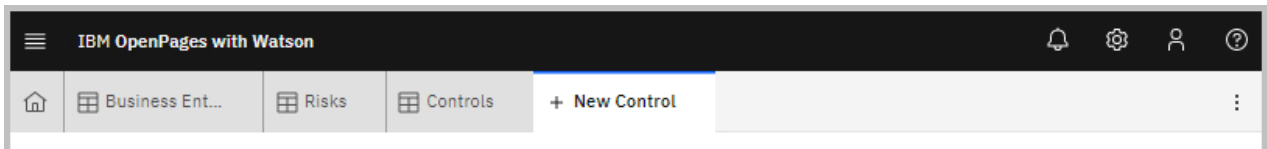


Figure 3. Example of the Navigation Bar

The icons are described in the following table:

Table 14. Icons on the Navigation Bar	
Icon	Description
	Opens the Home page in the work area. For information, see “Using the Home page in the Task Focused UI” on page 20.
	The tab is a view that lists objects for the selected object type. This type of view is called a Grid View.
	The tab is a view where an object is being created but is not open for editing. This type of view is called a Creation View.
	The tab is a view where an object is being created and is open for editing. This type of view is called a Creation View.

Table 14. Icons on the Navigation Bar (continued)	
Icon	Description
	The tab is a view where a task is being completed but the object is not open for editing. This type of view is called a Task View.
	The tab is a view where a task is being completed and the object is open for editing. This type of view is called a Task View.
	Allows you to choose a tab or close all open tabs on the Navigation Bar.

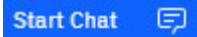
An object can be open for editing in only one view. If an object is open for editing in a view and you try to open it in a second view, a warning is issued.

Using IBM Watson Assistant

Use IBM Watson Assistant to access 24-hour support for OpenPages.

IBM Watson Assistant is a chat bot that provides interactive text answers, natural language search, and direct links to specific pages in OpenPages, for example, to a Creation View where you can enter an Issue or Loss Event.

When IBM Watson Assistant is configured and you have permission to access it, the  icon is displayed on all pages in the Task Focused UI.

Click  and ask a question in the chat bot.

Show me how

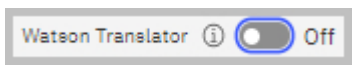
This video provides an overview of using IBM Watson Assistant.

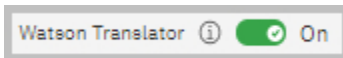
<https://youtu.be/NbvU-UdJ6Aw>

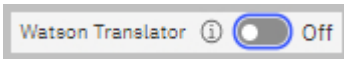
Using IBM Watson Language Translator

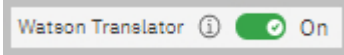
Use IBM Watson Language Translator to translate values in text fields to the language associated to your locale.

How users interact with IBM Watson Language Translator

Users can work with translated text by using the  and

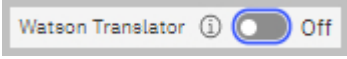
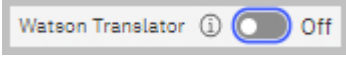
 icons in Task Views.

In a Task View, a user can click . Values in text fields are translated to the language associated to their locale. For each field that is translated, the user can toggle between the languages by clicking **View Original** and **View Translation**. Click the Info icon to view a confidence score.

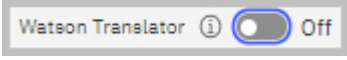
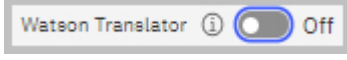
Click  to turn off translated values.

- Text field values (simple strings and long strings) are translated. Rich text fields and enumerated field values are not translated.
- There is no differentiation between US and UK English.
- Translated values on a Task View cannot be edited.
- They are not saved to the object.

Example 1: a user's locale is set to U.S. English. The user views regulatory change objects in a Task View.

- First, the user views a regulatory change object that came from a French regulatory body. It contains field values in French. The user clicks the  icon. Text field values in French are translated to English.
- Next, the user views a regulatory change object that came from an EU regulatory body. It contains text field values in English, French, and Portuguese. The user clicks the  icon. The text field values in English remain unchanged. The text field values in French and Portuguese are translated into English.

Example 2: a user's locale is set to Japanese. The user views regulatory change objects in a Task View.

- First, the user views a regulatory change object that came from a U.S. regulatory body. It contains field values in English. The user clicks the  icon. Text field values in English are translated into Japanese.
- Next, the user views a regulatory change object that came from an EU regulatory body. It contains field values in English, French, and Portuguese. The user clicks the  icon. Text field values are translated into Japanese.

Providing feedback using an NPS survey

If a Net Promoter Score survey has been configured, you can send feedback about OpenPages to IBM.

User feedback helps IBM improve OpenPages.

If a Net Promoter Score survey is enabled, you are presented with two possibilities to complete a survey:

- An NPS Feedback button
- An NPS survey form after logging in

An NPS Feedback button is always displayed on the Home page if you are eligible to receive it. You can provide feedback at any time and as often as you want.

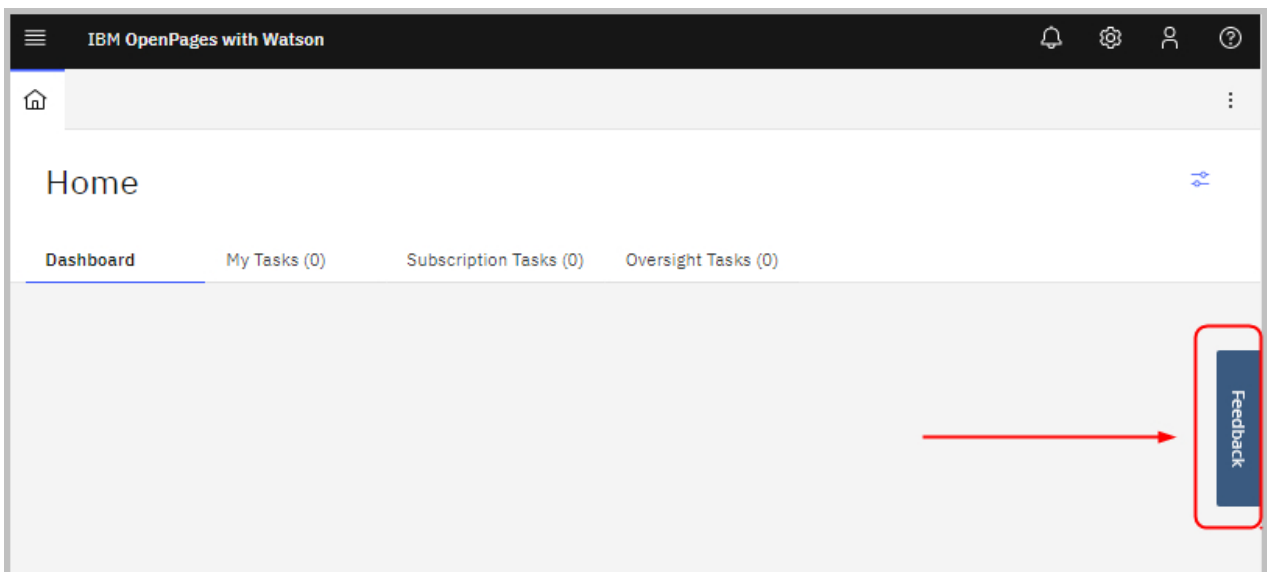


Figure 4. NPS Feedback button on the Home page

An NPS survey form might be displayed when you log in. Whether you receive a survey and how frequently is determined by the configuration and the survey provider.

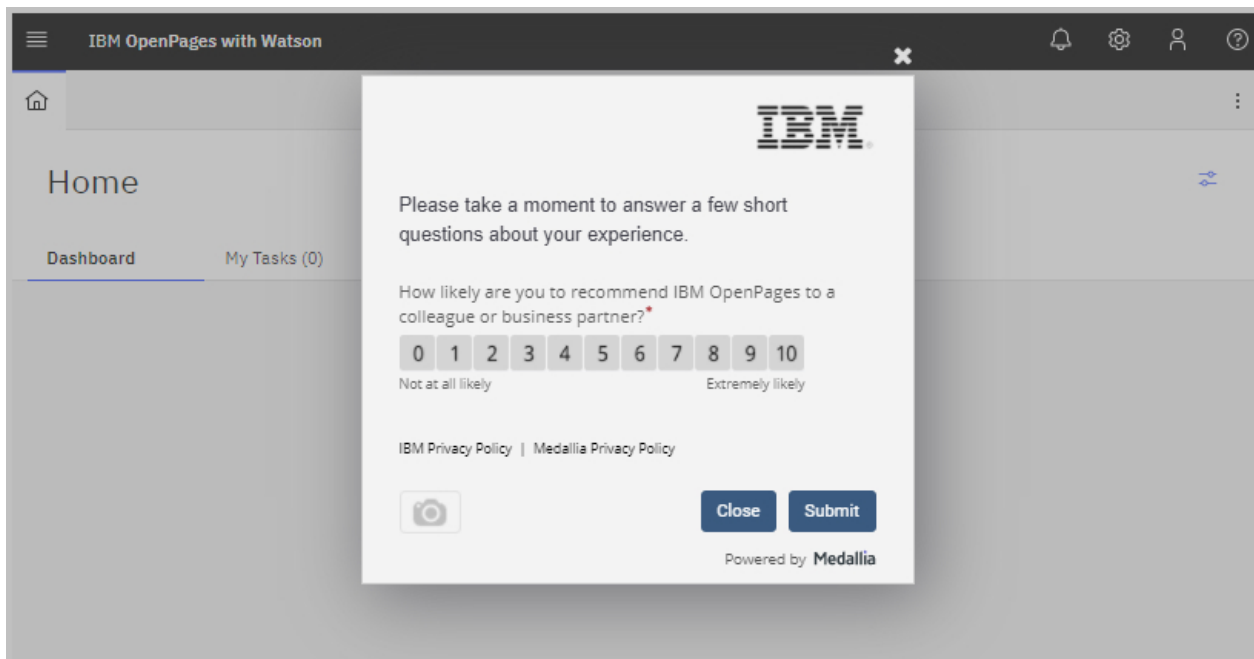


Figure 5. NPS survey form displayed after logging in

The survey is displayed in the language of the locale that you have selected. If you change your locale, the language of the survey changes. Answer the questions, provide screen shots (optional), and click **Submit**.

Using the Home page in the Task Focused UI

The Home page is the initial page that is displayed when you log in to OpenPages.

The Home page organizes information and tasks. It contains the following parts:

- A dashboard
- Task tabs
- Tabs for reports

The dashboard displays panels with content that is personalized for you. For more information, see [“Using the Dashboard in the Task Focused UI” on page 20](#) and [“Adding panels and widgets to your dashboard in the Task Focused UI” on page 53](#).

The task tabs summarize the three types of tasks that you can work with:

- Tasks that are assigned to you.

For more information, see [“Using the My Tasks tab in the Task Focused UI” on page 22](#).

- Tasks that you are subscribed to.

For more information, see [“Using the Subscription Tasks tab in the Task Focused UI” on page 23](#).

- Tasks for which you have oversight responsibility.

For more information, see [“Using the Oversight Tasks tab in the Task Focused UI” on page 24](#).

The tabs for Cognos reports are part of the dashboard that is personalized for you.

Using the Dashboard in the Task Focused UI

The dashboard displays panels and report tabs with content that is personalized for you.

The dashboard provides personalized, quick access to the tasks, information, objects, and reports that you most frequently work on.

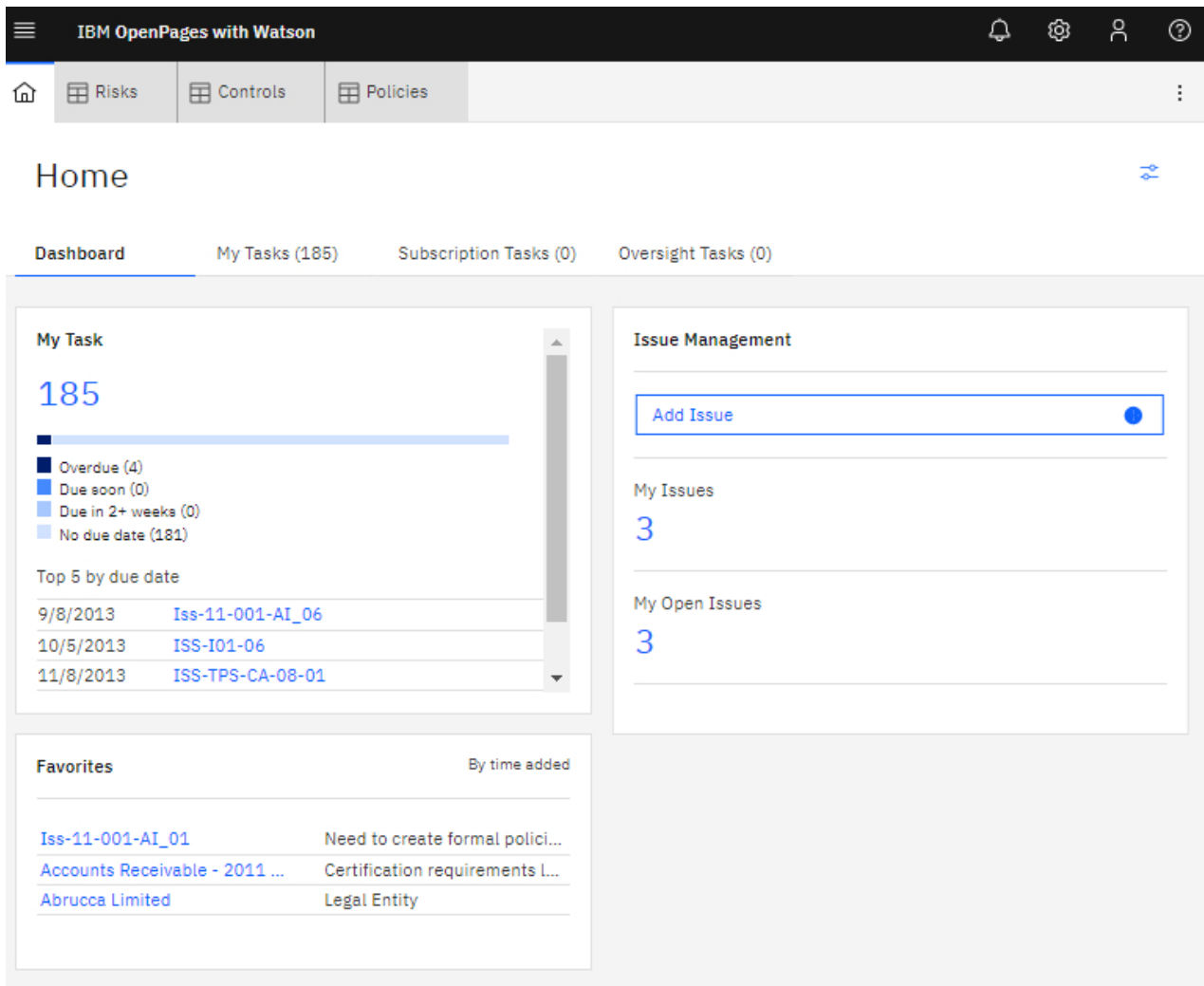


Figure 6. Example of a dashboard

You can:

- Click on actionable elements in any panel to quickly drill down to what you want to work on or view.
- Click a tab for a report to run a report.
- Reorganize the panels
- Hide and remove panels
- Customize the dashboard by adding your own panels that contain charts, reports, tasks, and so on. For more information, see [“Adding panels and widgets to your dashboard in the Task Focused UI”](#) on page 53.
- Use Search panels, if they are configured by an administrator. A Search panel allows you to search for text and values for one object type or across selected or all object types. For more information, see [“Searching for objects using global search \(Task Focused UI\)”](#) on page 80.
- Quickly complete your tasks by using bulk workflow actions on the My Tasks, Subscription Task, and Oversight Task panels. For more information, see [“Completing bulk workflow actions in a Grid View”](#) on page 40.
- View system notices if single sign-on (SSO) is used. If SSO is used, system notices that would be displayed on the logon page are displayed when you access the dashboard. The system notice can change when you close the session and access the system again.

Using the My Tasks tab in the Task Focused UI

Use the My Tasks tab to access tasks that are assigned to you.

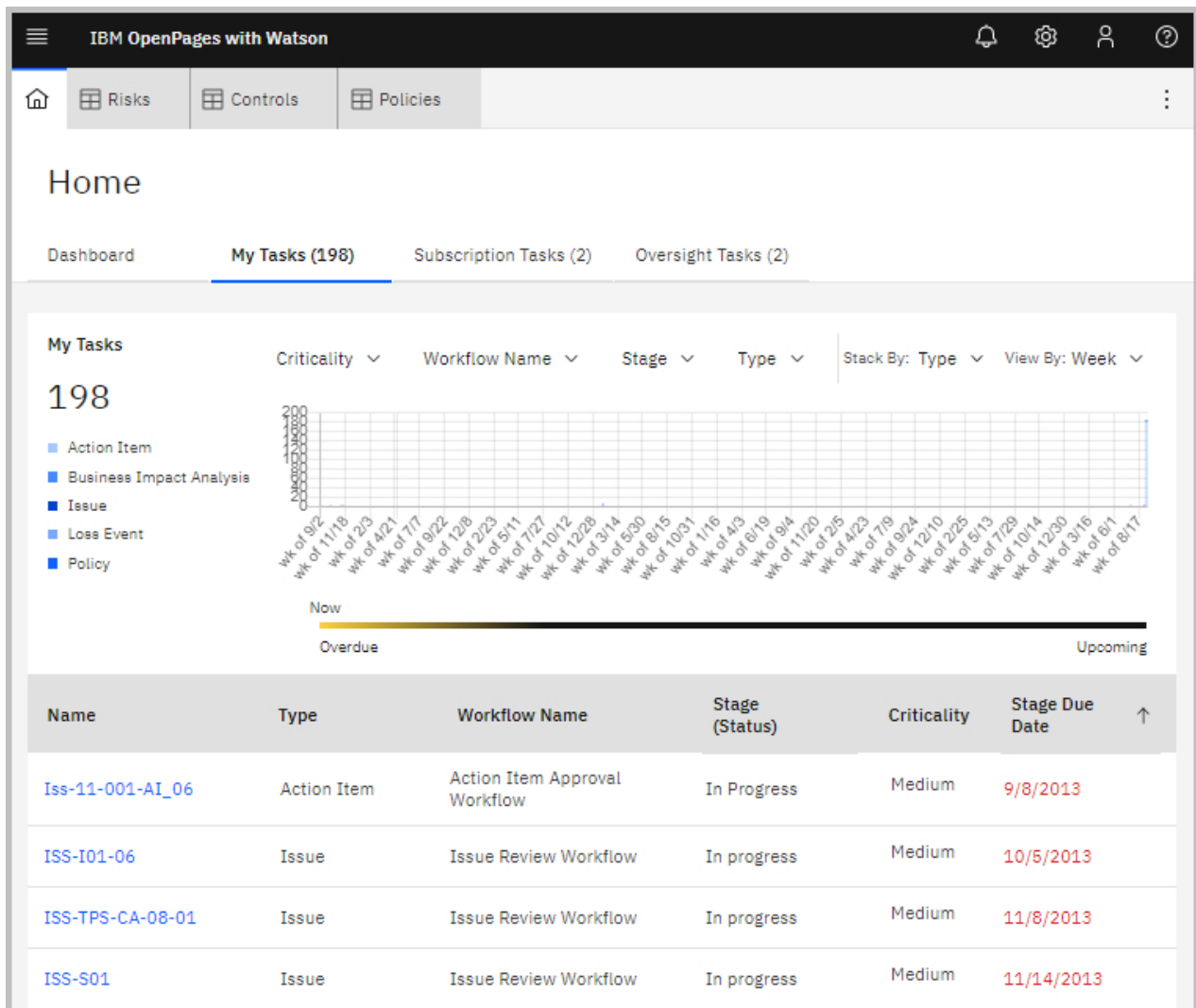


Figure 7. Example of the My Tasks tab

The My Tasks tab contains two parts:

- Chart
- Grid

The chart summarizes tasks that are assigned to you. You can:

- Filter the data
- Control how the data is stacked in each bar by changing **Stack by**
- Hover above a bar to view a summary of the underlying data
- Select Week, Month, or Year to change the date view

The grid lists your assignments. When you select an object in the grid, the object opens and you can begin working on it. For more information, see [“Completing work that is assigned to you”](#) on page 37.

You can control what tasks are included in both the chart and the grid by applying a filter. You can filter your assignments using the following selection criteria: Criticality, Workflow Name, Stage, and Type. For example, you can choose to include only tasks whose Criticality is High. Tasks that do not match the filter are excluded from the chart and the grid.

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as an assignee. For more information, see [“Completing bulk workflow actions in a Grid View”](#) on page 40.

The content and layout of the My Tasks tab is configured for you and cannot be changed.

Using the Subscription Tasks tab in the Task Focused UI

Use the Subscription Tasks tab to access tasks you are subscribed to.

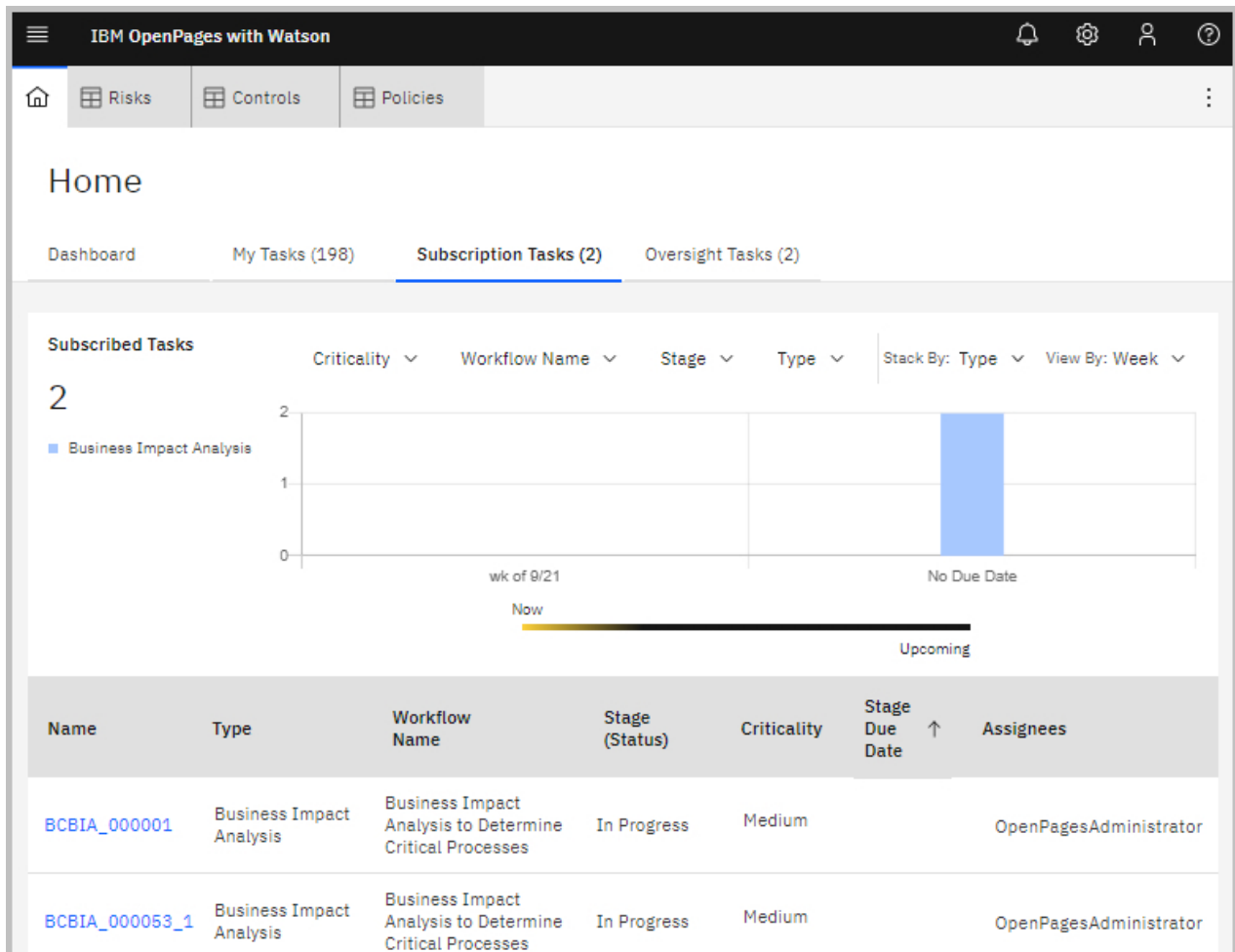


Figure 8. Example of the Subscription Tasks tab

The Subscription Tasks tab contains two parts:

- Chart
- Grid

In the chart you can:

- Filter the data
- Control how the data is stacked in each bar by changing **Stack by**
- Hover above a bar to view a summary of the underlying data
- Select Week, Month, or Year to change the date view

The grid lists tasks you are subscribed to. When you select an object in the grid, the object opens and you can begin working on it. For more information, see [“Completing work that is assigned to you”](#) on page 37.

You can control what tasks are included in both the chart and the grid by applying a filter. You can filter your assignments using the following selection criteria: Criticality, Workflow Name, Stage, and Type. For example, you can choose to include only tasks whose Criticality is High. Tasks that do not match the filter are excluded from the chart and the grid.

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as subscriber. For more information, see [“Completing bulk workflow actions in a Grid View”](#) on page 40.

The content and layout of the Subscription Tasks tab is configured for you and cannot be changed.

Using the Oversight Tasks tab in the Task Focused UI

Use the Oversight Tasks tab to view a summary of work that is assigned to people in your area of responsibility.

If you have access to an Oversight Tasks tab, you have been designated as someone responsible for a workflow. Tasks you see on the Oversight Tasks tab and your own My Tasks tab are generated by workflows that are behind the scenes guiding a task through a defined business process, for example, how Issues are reviewed and finished. The assignees and options on the **Actions** button change as an object moves towards completion of its process. A workflow can have none, one, or many oversight users.

Although there are similarities in the layout of the My Tasks tab and the Oversight Tasks tab, the content and purpose are different. The My Tasks tab summarizes tasks for a single assignee while the Oversight Tasks tab summarizes tasks for many assignees under one oversight user. As an oversight user, you use it to get an overview of the work assigned to people on your team, assess the overall workload, and drill down to the workloads for specific individuals. All users have an Oversight Tasks tab but the tab is empty if you are not designated as an oversight user in a workflow.

The Oversight Tasks tab has two parts:

- Chart
- Grid

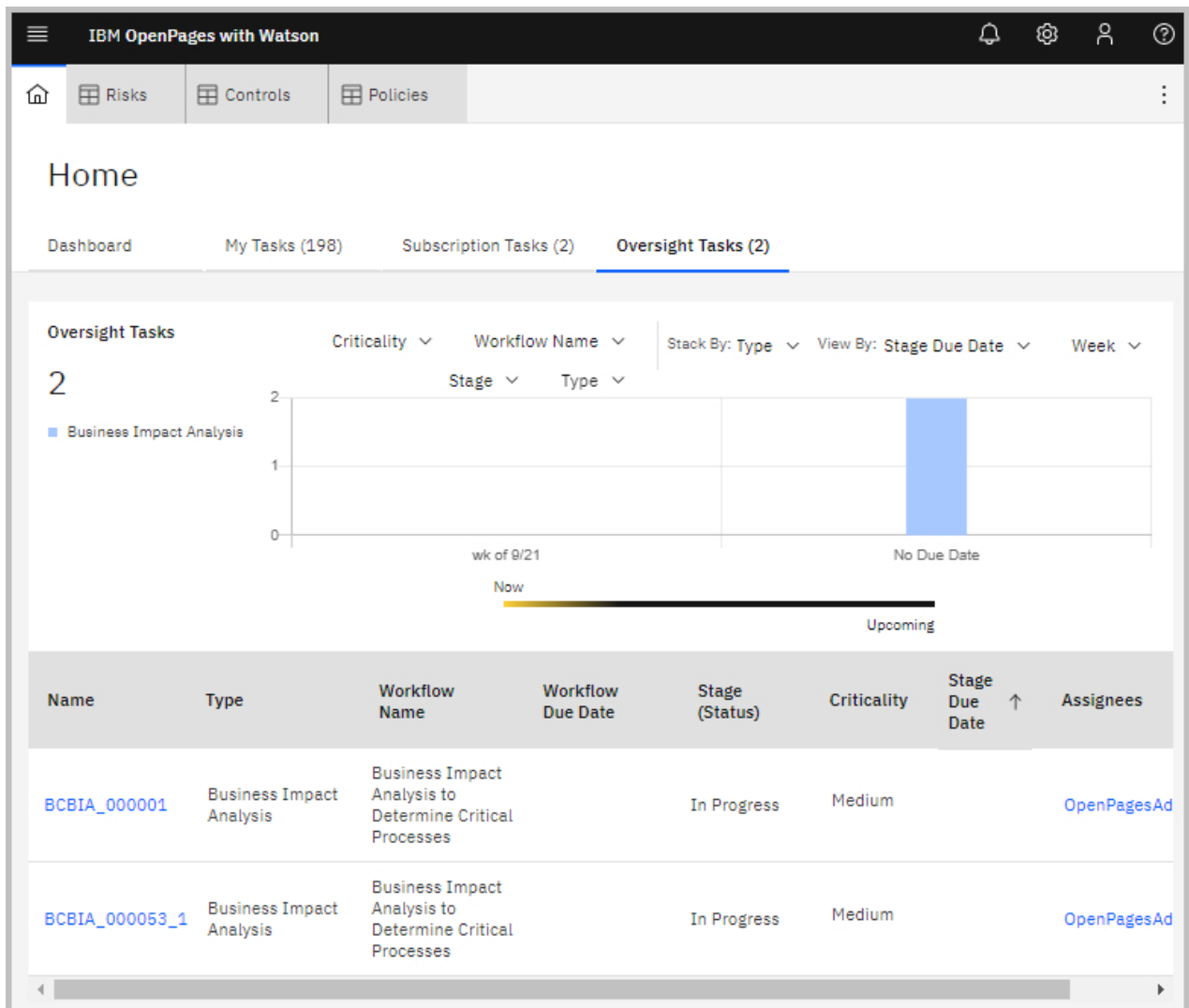


Figure 9. Example of the Oversight Tasks tab

The chart summarizes tasks that belong to people in your area of responsibility. You can:

- Filter the data
- Control how the data is stacked in each bar by changing **Stack by**
- Hover above a bar to view a summary of the underlying data
- Select Stage Due Date or Workflow Due Date to change the date view
- Select Week, Month, or Year to change the date view

The grid lists tasks that belong to people in your area of responsibility. In the grid you can click a user that is displayed in the **Assignee** column. The list and chart change to show only tasks assigned to that person. You can get an overview of their workload and work that is overdue.

You can also select an object by clicking the **Name**. The object opens and, if you have access to the task, you can begin working on it.

When you apply a filter, you can control what tasks are included in both the chart and the grid. You can filter tasks using the following selection criteria: Criticality, Workflow Name, Stage, and Type. For example, you can choose to include only tasks whose Criticality is High. Tasks that do not match the filter are excluded from the chart and the grid.

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as an oversight user. For more information, see [“Completing bulk workflow actions in a Grid View”](#) on page 40.

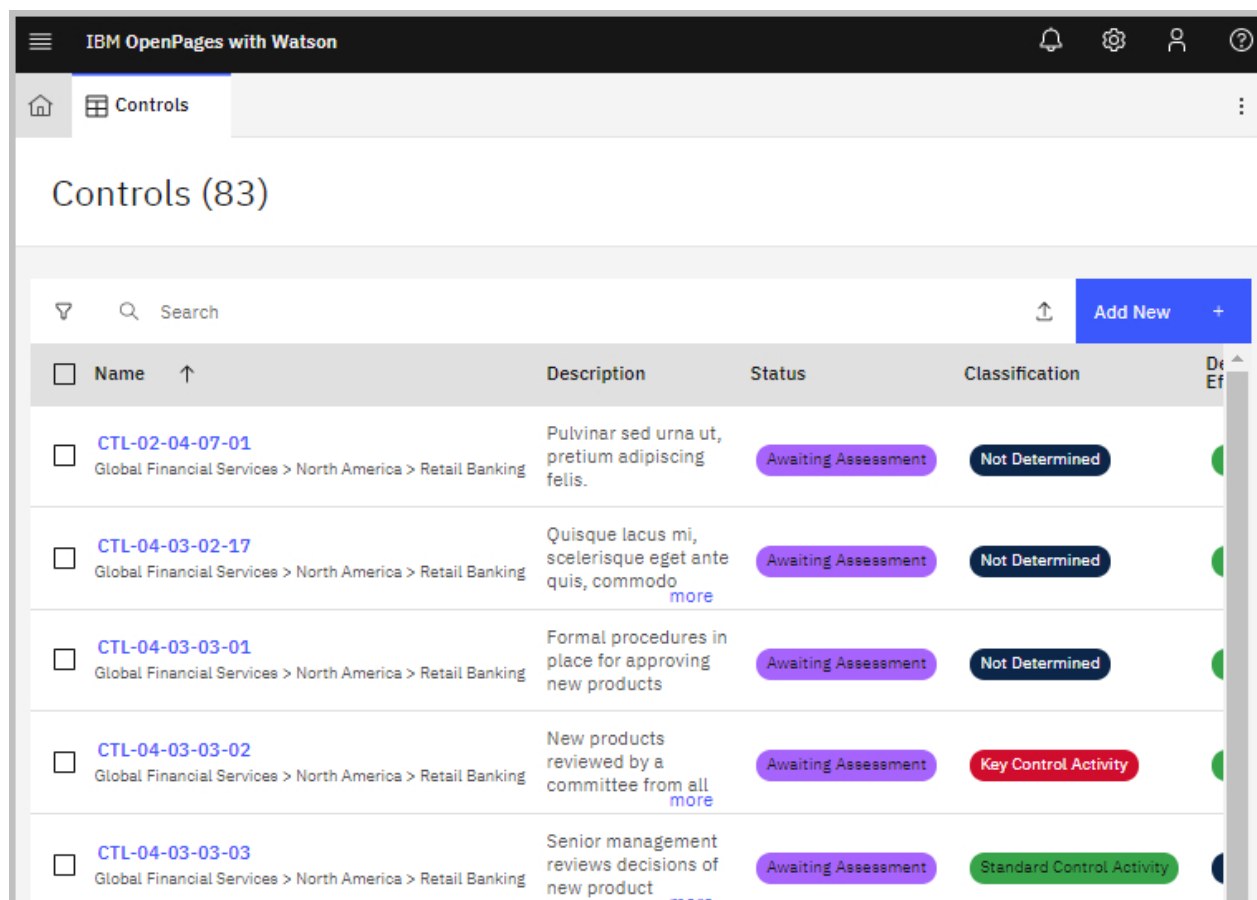
The content and layout of the Oversight Tasks tab is configured for you and cannot be changed.

Using Grid Views to find, open, and work with objects

A Grid View is a list of objects. You can filter the list, export the list, select a specific object to open, and create, delete, lock, and unlock objects.

About this task

Grid Views function the same across all object types. The field columns vary depend on the object type.



☐	Name	Description	Status	Classification	Drift
☐	CTL-02-04-07-01 Global Financial Services > North America > Retail Banking	Pulvinar sed urna ut, pretium adipiscing felis.	Awaiting Assessment	Not Determined	Green
☐	CTL-04-03-02-17 Global Financial Services > North America > Retail Banking	Quisque lacus mi, scelerisque eget ante quis, commodo more	Awaiting Assessment	Not Determined	Green
☐	CTL-04-03-03-01 Global Financial Services > North America > Retail Banking	Formal procedures in place for approving new products	Awaiting Assessment	Not Determined	Green
☐	CTL-04-03-03-02 Global Financial Services > North America > Retail Banking	New products reviewed by a committee from all more	Awaiting Assessment	Key Control Activity	Green
☐	CTL-04-03-03-03 Global Financial Services > North America > Retail Banking	Senior management reviews decisions of new product more	Awaiting Assessment	Standard Control Activity	Blue

Figure 10. Example of a list of objects (Grid View)

Procedure

1. Open a Grid View.

There are numerous access points for Grid Views, for example:

- Click  to open the Primary menu. Find the object type that you want to work with. A Grid View opens.
- Click a color in a chart in a Task View or on the Dashboard. A Grid View opens with objects in that portion of the chart.

2. Take any of the following actions:

- Select an object that you want to work with and open it.

- Click in the search box and enter search criteria.

For more information, see [“Using the Search box ” on page 29](#).

- Click  to access filters that help you quickly find objects that you want to work with.

For more information, see:

- [“Using folder filters \(Business Entity\)” on page 29](#)
- [“Using private filters ” on page 31](#)
- [“Using public filters” on page 30](#)
- [“Using ad hoc filters” on page 33](#)

After you apply a filter, you can optionally enter search criteria in the search box to narrow your search even further.

Click the filter name in the header to remove the filter.

- Select or clear the filter that is displayed at the top of the grid, if one is displayed. The name of the filter depends on how your system has been configured. If the object type uses workflows, the **Active Only** filter might be displayed. Clear **Active Only** to include objects in the list that have completed a workflow. Objects that have not yet gone through a workflow and those that are actively in a workflow are always listed. If **Active Only** is not displayed, no workflows exist for the object type.
- Use FastMap to export all or selected objects into a spreadsheet (.xls format). You can:
 - Click  to export all objects of that object type.
 - Use the check mark to select all or specific objects and click **Export**.

From either access point, you can select additional object type levels to export. The object types that are displayed are determined by your profile. The number of levels in the object type path is configured by an administrator.

Click **Export** and a Microsoft Excel file in FastMap format is created. A link is placed in the tray at the bottom of the screen.

All fields that are available for your profile are exported.

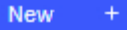
FastMap is an import capability, which might be configured for you by your administrator. Using FastMap, you can edit the data and then import it using the same workbook.

For more information about FastMap, see *Using FastMap* in the *IBM OpenPages with Watson Administrator's Guide*.

- Click **Complete task with bulk workflow actions**, if it is displayed, to quickly complete workflow items. For more information, see [“Completing bulk workflow actions in a Grid View” on page 40](#).
- Select all, one, or many objects with the check mark and then you can delete, lock, unlock, or export them.
- Select all, one, or many objects with the check mark and click  to change field values across multiple objects. For more information, see [“Applying changes to multiple objects with bulk update in a Grid View” on page 34](#).
- Select all, one, or many objects with the check mark and click  to move the objects to another folder. Choose the destination of the selected objects and click **Confirm**. For business entities, self-contained objects, and security model objects, selected objects are moved using a long running process. This enables a user to reorganize business entity structures. A move cannot be undone.

Whether child objects are moved with their parent objects depends on how the Allow Hierarchical Moves setting is configured.

Note: If a move involves a large number of objects, perform the move after business hours to reduce the impact on system performance.

- Click a field name in the header row to sort the list by that field in ascending order. Click the field name again to choose descending order.
- Click  to create a new object. Whether the icon is displayed depends on how your system is configured.
- Choose a value in **Items per page** to control how many objects are listed on a single page.

If you access an object type that does not have an enabled, valid Grid View, no view is displayed. You can close the page or switch to a Filtered List View or Grid View in the Standard UI.

Using filters in Grid Views

The filters that are available in Grid Views are useful tools that make finding information more personalized and manageable.

You use filters to limit the information that is displayed in a list of objects. Only objects that match the criteria are displayed in the list.

The following types of filters are available in Grid Views:

- The Search box

Use the Search box to do a quick search for specific values on the objects that are listed in a Grid View.

For more information, see [“Using the Search box ” on page 29](#).

- Folder filters (Business Entity)

Use a folder filter (Business Entity) to find objects based on the folder hierarchy that the object type belongs in.

A folder filter displays objects of the same type in a folder hierarchy.

For more information, see [“Using folder filters \(Business Entity\)” on page 29](#)

- Public filters

Use a public filter to find objects based on criteria on field values on objects and, optionally, parent objects.

Public filters are defined by administrators. You can select one of these filters but you cannot edit or delete them.

For more information, see [“Using public filters” on page 30](#).

- Private filters (My Filters)

Use a private filter to find objects based on criteria on field values on objects and, optionally, parent objects.

Private filters are filters that you define and save. You can edit, rename, or delete private filters.

The functionality of public and private filters is the same. The only difference is that you define your own private filters, whereas public filters are defined by an administrator.

For more information, see [“Defining private filters ” on page 31](#) and [“Using public filters” on page 30](#).

- Ad hoc filters

Ad hoc filters are private filters that are used in one session and not saved.

For more information, see [“Using ad hoc filters” on page 33](#).

Using the Search box

Use the Search box to do a quick search for specific values on the objects that are listed in a Grid View.

About this task

You can enter text in the language of your locale. For example, if the locale is French, enter French text.

You can also enter text in English in a non-English locale. For example, if the locale is French, enter English text and it returns matching objects and displays them in French.

The search criteria is retained the next time you access the view in the same browser session.

When searching for Business Entity objects, the search is based only on the name and description not the path. For other object types, the search includes the path.

When searching for values in user fields, for example, owners or assignees, search by name value is not currently supported.

Procedure

1. Open a Grid View.
2. Click in the Search box and enter criteria. You can:
 - Enter free text, for example, all or part of an object's name, description, or folder. Then press Enter.
 - Enter a letter from the name of an enumerated field, for example, S for Status. A list of matching enumerated fields that are in the view is displayed.
 - Choose a value for an enumerated field. For example, if you select Status: Approved, the list narrows to objects whose Status is Approved.
 - Choose multiple values for an enumerated field. Make a selection, for example, Status: Approved, and choose a second value for the same enumerated field, for example, Status: Awaiting Assessment. The list narrows to objects whose Status is either Approved or Awaiting Assessment.
 - Choose different enumerated fields. For example, if you select Status: Awaiting assessment and then select Inherent Risk Rating: Very High, the list narrows to objects whose Status is Awaiting assessment and whose Inherent Risk Rating is Very High.
 - Choose multiple values for different enumerated fields. For example, if you select Status: Approved, Status: Awaiting Assessment, Inherent Risk Rating: High, and Inherent Risk Rating: Very High. The list narrows to objects whose Status is either Approved or Awaiting Assessment and whose Inherent Risk Rating is either High or Very High.
3. Optional: To further refine your search, apply a public or private filter.
For information, see [“Using public filters” on page 30](#) and [“Using private filters ” on page 31](#).
4. Optional: To further refine your search, apply a folder filter.
For information, see [“Using folder filters \(Business Entity\)” on page 29](#).
5. Click the filter name in the header to remove the filter.
The filter is removed and the list is refresh.

Using folder filters (Business Entity)

Use a folder filter (Business Entity) to find objects based on the folder hierarchy that the object type belongs in.

About this task

Folder hierarchies are defined in the Standard UI by administrators. You can select folders in the hierarchy in the Task Focused UI but you cannot add to or edit the hierarchy.

Procedure

1. Open a Grid View.
2. Click .
3. Click **Select** next to **Business Entity**.
A folder hierarchy is displayed.
4. Navigate through the path and select one folder. Multiple folders cannot be selected.
5. Click **Done**.
The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
6. Optional: To further refine your search, enter search criteria in the Search box.
For more information, see [“Using the Search box ” on page 29](#).
7. Optional: To further refine your search, apply a public or private filter.
For information, see [“Using public filters” on page 30](#) and [“Using private filters ” on page 31](#).
8. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Using public filters

Use a public filter to find objects based on criteria on field values on objects and, optionally, parent objects.

About this task

Public filters are defined by an administrator.

Only one public filter can be applied at a time.

You can apply a public filter, a folder filter, and search criteria that you enter in the Search box. An object must match all the criteria to be displayed in the Grid View.

You cannot apply both a public filter and a private filter.

Procedure

1. Open a Grid View.
2. Click .
3. Select one of the filters listed under **Public Filters**.
The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
4. Optional: To further refine your search, enter search criteria in the Search box.
For more information, see [“Using the Search box ” on page 29](#).
5. Optional: To further refine your search, apply a folder filter.
For information, see [“Using folder filters \(Business Entity\)” on page 29](#).
6. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Using private filters

Use a private filter to find objects based on criteria on field values on objects and, optionally, parent objects.

About this task

Private filters are filters that you define for your own use.

Only one private filter can be applied at a time.

You can apply a private filter, a folder filter, and search criteria that you enter in the Search box. An object must match all the criteria to be displayed in the Grid View.

You cannot apply both a public filter and a private filter.

Procedure

1. Access a Grid View
2. Click  to access the filters.
The filter panel expands. A count shows the total object count with no filters applied.
3. Select one of the filters listed under **My Filters**.
The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
4. Optional: To further refine your search, enter search criteria in the Search box.
For more information, see [“Using the Search box ” on page 29](#).
5. Optional: To further refine your search, apply a folder filter.
For information, see [“Using folder filters \(Business Entity\)” on page 29](#).
6. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.

Defining private filters

Define a private filter in a Grid View to save search criteria that you frequently need to access.

Before you begin

When you define fields in a private filter, only fields that are available for your profile or added to the object type's detail view in the Standard UI are displayed. If the fields you want to define in a private filter do not display, check your profile or the detail view for the object type in the Standard UI.

About this task

A private filter is used to find objects based on criteria on field values on objects and, optionally, parent objects.

You can define private filters in either the Task Focused UI or the Standard UI. If you define or change a private filter in the Task Focused UI, the change is immediately made in the Standard UI, and vice versa. If the filter is open in the second interface, refresh the page to see the changes. Functionality is the same in the Task Focused UI and the Standard UI.

A private filter definition contains two kinds of criteria:

- Conditions on the object type that is displayed in the Grid View.
 - This criteria is required in a private filter.
 - One condition is required.

- If you define multiple conditions on the object type, all the conditions must be met. To override this rule, define advanced logic to combine the condition in a specific way.

For example, if you define three conditions, the default logic is that system retrieves objects that match all three conditions: 1 and 2 and 3. However, if you define advanced logic, you use the condition numbers together with the operators and, or, not, and parentheses to build a more refined statement. For example, a statement can be 1 or 2 or 3 or a statement can be 1 and (2 or 3).

- Conditions on a selected parent object type of the object type that is displayed in the Grid View.

For example, on a Grid View for Risks, a parent-based filter can narrow the list of Risk objects to only those Risks that have a Process object as a parent. You can add a condition to further refine the search to only Risks where the parent Process objects has a status of Awaiting Approval.

- This criteria is optional in a private filter.
- Conditions are optional.

If a private filter has both types of criteria, an object must match both to display in the Grid View.

Procedure

1. Click  to open the Primary menu.
2. Find the object type that you want to work with.
A Grid View opens.
3. Click .
4. Click **Add Filter** next to **My Filters**.
5. Enter a **Name**.
6. Click **Add** next to **Conditions** to define conditions.
7. Select a **Field**. You can choose any field on the object type but only fields that are added to the object type's detail view in the Standard UI are displayed.
8. Define an **Operation**.
 - a) Select or define the values that the filter is based on. How the operation is defined depends on the field type of the field you chose in **Field**.
 - For an enumerated field, choose one or more enumerated values in **Selected Values**. Set **Show hidden values** to control whether hidden values are displayed for selection.
 - For a user field, choose **Me** and/or other users or user groups (if displayed).
 - For a text field, choose **Starts with**, **Contains**, **Equals**, or **Ends with**. Enter a value.
 - Text is not case sensitive.
 - An underscore (_) is used as a single character wildcard.
 - A percent (%) is used as a multiple character wildcard.
 - For a date field, choose **In the last**, **In the next**, **On a specific date**, or **In the range**. Enter a value or date range.
 - For integer, decimal, and currency fields, choose **Equals**, **Greater than**, **Less than**, or **In the range**. Enter an amount.
 - For a boolean field, choose True or False.

Computed fields, long string fields, and reporting fragments are not supported.
 - b) Click **Done**.
The condition is saved and assigned a number. Conditions are numbered consecutively in the order they are defined.
 - c) Optional: Add more conditions.
9. Optional: Set **Advanced Logic** to true to override the default rule that all conditions must be met.

- a) Write a statement in **Logic**. Use the condition numbers together with the operators and, or, not, and parentheses.
For example:
 - 1 or 2 or 3
 - 1 and (2 or 3)
- 10. Optional: Expand **Parent Criteria** to filter on the parent object.
 - a) Choose a **Parent Type**.
 - b) Set **Primary Parent Only** to true to filter only by the primary parent.
 - c) Click **Add** next to **Parent Conditions** to define conditions on the parent object. Parent criteria must have one condition.
 - d) Select a **Field**. You can choose any field on the parent object type.
 - e) Define an **Operation**. Select or define the values that the filter is based on. How the operation is defined depends on the field type of the field you chose in **Field**.
 - f) Click **Done**.
- 11. Click **Save**.
The filter is applied and objects that match the filter criteria are displayed. The name of the filter and number of results are displayed in the header.
- 12. Click the filter name in the header to remove the filter.
The filter is removed and the list is refreshed.
- 13. After a private filter is saved, you can rename, edit, and delete it.

Using ad hoc filters

Ad hoc filters are private filters that are used in one session and not saved.

About this task

Ad hoc filters are filters that you define for your own use.

Only one ad hoc filter can be applied at a time.

You can apply an ad hoc filter, a folder filter, and search criteria that you enter in the Search box. An object must match all the criteria to be displayed in the Grid View.

You cannot apply both a public filter and an ad hoc filter.

Procedure

1. Access the Grid View
2. Click .
3. Click **Add Filter** next to **My Filters**.
4. Leave **Name** blank.
5. Complete all the remaining fields and conditions as explained in [“Defining private filters ” on page 31](#).
6. Click **Apply**.
The filter is applied and objects that match the filter criteria are displayed. The name *Unsaved Filter* and number of results are displayed in the header.
7. If you want to change the filter, clear the filter from the Grid View. Make your changes in the ad hoc filter and click **Apply**. Repeat as often as required.
8. Optional: To further refine your search, enter search criteria in the Search box.
For more information, see [“Using the Search box ” on page 29](#).
9. Optional: To further refine your search, apply a folder filter.

For information, see [“Using folder filters \(Business Entity\)” on page 29](#).

10. Click the filter name in the header to remove the filter.

The filter is removed and the list is refreshed.

11. Close the Grid View.

The ad hoc filter is deleted.

Applying changes to multiple objects with bulk update in a Grid View

Administrators can edit information for multiple objects by using the bulk update function.

About this task

- Identify field values to change and objects to update. The fields that you identify are updated in all objects that you select.
- You can also leave fields unchanged or clear the values in a field.
- Administrative settings might prevent you from updating an object.
- All objects that generate no errors are updated.
- Field dependencies, locks, and permissions might prevent you from modifying selected objects. The objects that you can modify are saved with the changes, while the others are not changed.
- You cannot clear required fields.

Administrators configure the fields that are available in bulk update. Depending on how the view is configured, more fields might be displayed in bulk edit than are displayed in the Grid View.

Read only fields, for example, computed fields, workflow fields, and system fields that are read only are not available for selection in bulk update.

Changing the value of a picklist that is the controller of other pick lists can invalidate the values of the dependent pick lists. Therefore, if you use bulk update to change a controller or dependent picklist, all other picklists that are involved in the dependency are automatically added as bulk update fields. Update the field values based on the list of new options.

If you have permission to access bulk update in the Standard UI, you can also access it in the Task Focused UI.

Procedure

1. Open a Grid View.

For more information, see [“Using Grid Views to find, open, and work with objects ” on page 26](#).

2. Select all, one, or many objects with the check mark and click **Bulk Update**.

The bulk update side panel opens. The number of objects that are selected is displayed.

3. In **Select fields to bulk update**, choose the fields that you want to change. Type letters to find fields.

4. Provide the changes:

- Enter new values in the fields.
- Click **Clear Values** to clear the values in a field.

If a field is required, you cannot clear its values.

5. Review the list of changes to be applied. If a field is listed that should not be updated, click the remove icon to remove it from bulk update.

6. Click **Update**.

7. A summary of the proposed updates is displayed. Review the changes and click **Confirm**.

What to do next

Objects are updated. If you remain on the confirmation window during processing, the Bulk Update Report window is displayed when the process is finished. It shows the number of object updates that succeeded and failed. Object updates that failed are listed with a reason. If you close the confirmation window during processing, you can review the bulk update results in Notifications or the email that you receive.

Creating objects

You can create objects, for example, Risks, Risk Assessments, Controls, and Processes, in the Task Focused UI.

About this task

You can create objects in two ways: by using a menu item on the Primary menu or by working on a task that is assigned to you. From either access point, you click **New +**, complete the fields in the view, and save the object. The icon might be named differently, depending on your configuration.

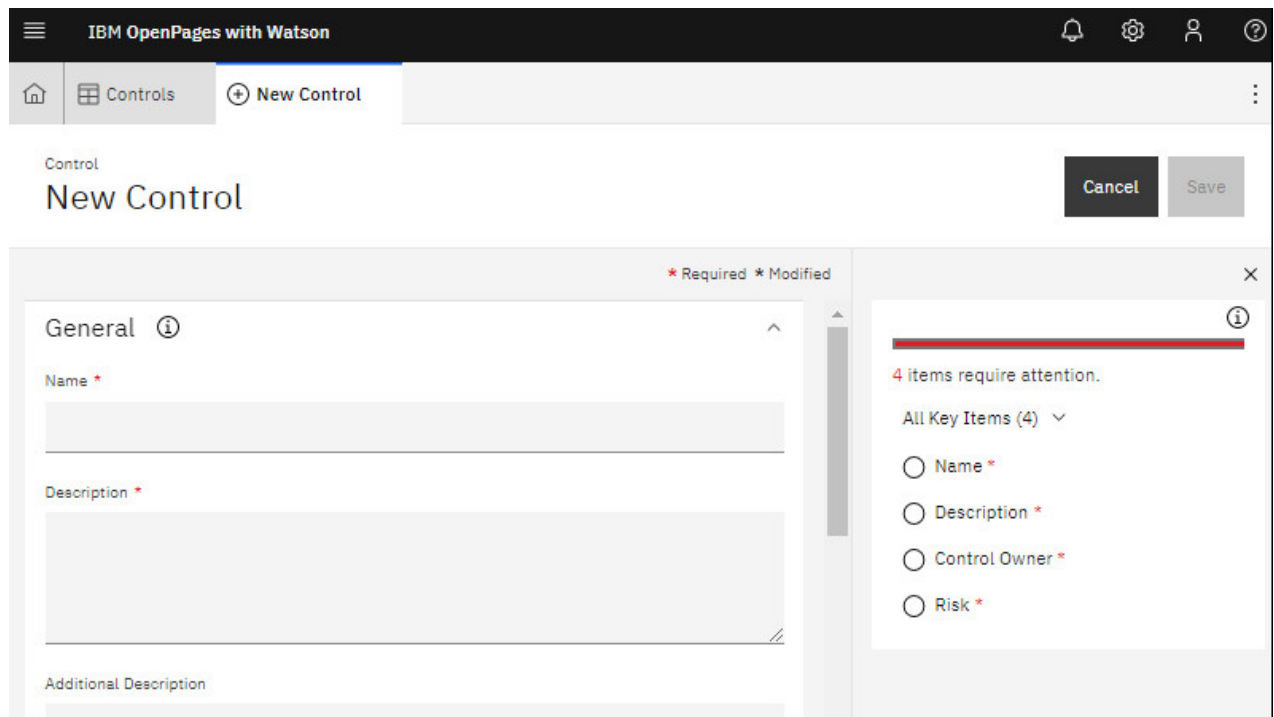


Figure 11. Example of adding an object (Creation View)

Procedure

1. Click  to open the Primary menu.
2. Click the object type.
The Grid View opens.
3. Click **New +**. If you are creating an object by working on a task that is assigned to you, you begin here.
Depending on how the Task View is configured, you might be able to take any of the following actions:
 - Use the supporting information in inline guidance to help you understand what you need to do.
 - Use the information text and progress bar in user guidance to view a task's status:

Table 15. Colors in the progress bar		
Color	Status	Includes
Red	Not ready	– Required fields that are empty. – Required fields that have invalid values. – Optional fields that have invalid values.
Green	Ready	Required and optional fields that are finished and have valid values.
Gray	Ready	Optional fields that are empty.
Black	Not ready	Fields that need to be revalidated. Click Save.

You must address fields that display as red in the progress bar. Review all optional fields and, if possible, provide values for those that display as gray.

Use the key items that are listed in user guidance as your navigation point to important fields. Filter the list of key items by all key items, key items that need attention, or key items that are incomplete. Key items that need attention are included in red in the progress bar.

- To find a field in the view, click , and then type the name of the field.
4. Complete the required fields. A primary parent object is required for most object types. For example, when you create an Issue, you might be required to provide a Control as its parent object. If you are creating an object by working on a task that is assigned to you, the primary parent is preselected. It is set to the object of the task you were working on.

Provide values in the optional fields as needed. Use the supporting information in the field guidance, inline guidance, and user guidance, if it is configured.

As you complete the fields, other field values might automatically be set to values and be read-only. This happens if the field you completed is an input field for a calculation. For more information about the GRC Calculations feature, see the *IBM OpenPages with Watson Administrator's Guide*.

5. If the text *Adding a description improves IBM Watson Suggestions* is displayed below a field, IBM Watson cognitive technology has been implemented. It can support you by providing taxonomy suggestions and/or object association suggestions. For more information, see [“Natural language processing services”](#) on page 74.
- a) Click the IBM Watson Insights button. The button label displays briefly as IBM Watson Insights and then changes to the classifier field label or action label. The button displays only if Watson can make suggestions given the value you entered in the field noted by the text *Adding a description improves IBM Watson Suggestions*.
- A list of suggestions displays in the IBM Watson Insights panel together with confidence scores.
- If cognitive technology has been configured to make taxonomy suggestions, a list of suggested classifications is displayed.
 - If cognitive technology has been configured to make object association suggestions, a list of suggested objects is displayed.
- b) Make a selection.
- If cognitive technology has been configured to make taxonomy suggestions, the system populates up to three classifier target fields, for example, the Risk Category, Risk Sub-Category and Risk Example fields. You can manually populate the classifier target fields if they are included in the view.
 - If cognitive technology has been configured to make object association suggestions, the system updates the object's parent or child associations.

You might be able to choose multiple suggestions.

- c) If you do not want to use any of the suggestions, close the panel. To generate a new list of suggestions, change the text in the classifier input field, for example, the **Description** field. Click the IBM Watson Insights button again.

6. Click **Save**.

Completing work that is assigned to you

You can complete a task that is assigned to you.

About this task

What you can do on the task depends on how it is configured.

IBM OpenPages with Watson

Issue: Policy needs update

Issue Status: In progress

Priority: Low

Action Items: 0

Cancel Save

Task Activity

Reveal editable fields: Off

* Required * Modified

General

Name: Policy needs update

Assignee:

Description: All Inventory policy documents need to be translated and uploaded into FCM for the locales to which they apply. Adding a detailed Description improves IBM Watson suggestions.

Controls

Select Primary Control Select Additional Controls ISO Control Suggestions (1)

There are no Controls

Priority: Low

Issue Status:

Issue Category:

Risk Domain:

Deficiency Details

Issue Owner: Search users (This value is required.)

Issue Approver:

Stage: In progress

Due Date: 9/14/2020

Issue In Progress

For new due date request, provide or review the Requested Due Date field in the remediation section.

Select an action to validate

1 item requires attention.

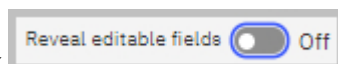
All Key Items (7)

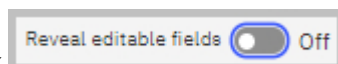
- Name
- Description
- Issue Category
- Issue Owner
- Issue Approver
- Priority
- Due Date

Figure 12. Example of a task (Task View) with one required field that is empty

Procedure

1. There are several ways to access tasks that are assigned to you:
 - From your dashboard, you can find and open tasks that are assigned to you. For more information, see [“Using the Dashboard in the Task Focused UI”](#) on page 20.
 - From the My Tasks tab, you can open tasks that are assigned to you. For more information, see [“Using the My Tasks tab in the Task Focused UI”](#) on page 22.
 - Click **Complete task with bulk workflow actions** to complete workflow items. For more information, see [“Completing bulk workflow actions in a Grid View”](#) on page 40.
 - From an email notification that you received, click a URL. The system opens a task that is assigned to you in the Task Focused UI. Email notifications can be sent when a stage changes or a workflow ends. Email notifications can be sent to both task assignees and subscribers. Whether and when you receive email notifications depends on how your system is configured.
 - From an email reminder that you received, click a URL. The system opens a task that is assigned to you in the Task Focused UI. Email reminders can be sent before, on, or after the due date for a task. You might receive multiple reminders. Email reminders can be sent to both task assignees and subscribers. Whether and how frequently you receive email reminders depends on how your system is configured.
2. Work on the task:
 - Review information about the object.
 - Complete required fields that are empty.



Tip: If it is displayed, click  to turn on edit mode. If you have many changes to make, you can tab from field to field.

- Correct required and optional fields that have invalid values.
- Review optional fields that have values.
- If possible, complete optional fields that are empty.
- Click  to view field guidance for all fields in a section.
- To find a field in the view, click , and then type the name of the field.

Depending on how the Task View is configured, you might also be able to take any of the following actions:

- Use the supporting information in inline guidance to help you understand what you need to do.
- Use the information text and progress bar in user guidance to view a task's status:

Table 16. Colors in the progress bar		
Color	Status	Includes
Red	Not ready	– Required fields that are empty. – Required fields that have invalid values. – Optional fields that have invalid values.
Green	Ready	Required and optional fields that are finished and have valid values.
Gray	Ready	Optional fields that are empty.
Black	Not ready	Fields that need to be revalidated. Click Save.

You must address fields that display as red in the progress bar. Review all optional fields and, if possible, provide values for those that display as gray.

Use the key items that are listed in user guidance as your navigation point to important fields. Filter the list of key items by all key items, key items that need attention, or key items that are incomplete. Key items that need attention are included in red in the progress bar.

- Add or change information about the object.

Other field values might change automatically and be set to read-only. This happens if the field you added or changed is an input field for a calculation. For more information about the GRC Calculations feature, see the *IBM OpenPages with Watson Administrator's Guide*.

- Associate the object to another object. If the association is required, the relationship field is listed as a key item.
- Disassociate an object from another object:
 - In a grid relationship field, click **Remove**.
 - In a card relationship field, click **Associate** (the label may be different) and then disassociate the object.
- Add objects. For information, see [“Creating objects ” on page 35](#).
- Delete child objects.
- View a chart diagram and drill down to underlying objects. For information, see [“Viewing information in charts” on page 43](#).
- View object relationship diagrams and navigate through an object relationship structure. For information, see [“Viewing information in a tree diagram ” on page 44](#).
- If a task is part of a workflow, the **Actions** button is displayed. For example, for an Issue object you might see one or more of the following options on the **Actions** button:
 - **Approve**
 - **Deny**
 - **Approve Close Request**
 - **Deny Close Request**
 - **Request Due Date Change**
 - **Grant Due Date Change**

For a Waiver object you might see one or more of the following options:

- **Submit for Review**
- **Reject**
- **Approve and Close**

Whether the **Actions** button is displayed depends on the workflow that is driving the business process for the object type. The options on the **Actions** button change as the object moves through the workflow process.

The information in the workflow information card is dynamic and also changes throughout the workflow process. It helps you understand where the object is in the workflow process. It shows the stage that the object is currently at, the stage due date, and the current assignee.

Click the refresh button in the workflow information card if the workflow fields are not automatically updated with the latest changes. Fields that are displayed in the workflow information card are refreshed. If the dashboard or task tabs are open, information there is refreshed as well.

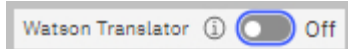
The information in the user guidance panel, if it is configured, is also dynamic and can change throughout the workflow process. It explains more about the workflow process and what you need to do at this stage. Click **Select an action to validate** to check whether an action would pass validation before you complete the action. For information, see [“Validating a workflow action” on page 46](#).

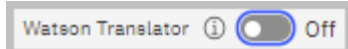
- Add a comment after you choose an option on the **Actions** button. Whether you can add a comment and whether it is required or optional depends on how the options for the **Actions** button are configured. A comment can be up to 4000 characters.

- Move an object forward to the next stage in a lifecycle, if lifecycles are configured for the object type. For example, for an Issue object you might see an **Actions** button with one or more options.

Objects that are configured to use lifecycles show different options on the **Actions** button but have neither a workflow information card nor a User Guidance panel.

- Use IBM Watson cognitive technology to make taxonomy suggestions and parent or child object association suggestions. For information, see [“Creating objects”](#) on page 35.



- Click , if it is displayed, to translate values in text fields to the language associated to your locale. For more information, see [“Using IBM Watson Language Translator”](#) on page 18.
 - Add and work with files (attachments). For more information, see [“Adding and working with files \(attachments\) on objects”](#) on page 48.
 - From a Grid relationship field, click  to open an object in a Quick View. The object opens in the side panel. For more information about using the Quick View, see [“Opening a Quick View”](#) on page 47.
3. Click the **Activity** tab to view change history. For more information, see [“Viewing change history on the Activity tab”](#) on page 48.
 4. Click .

Results

After you finish a task, close the tab.

If you access an object type that does not have an enabled, valid Task View, no view is displayed. You can close the page or switch to a Detail View or Activity View in the Standard UI.

Completing bulk workflow actions in a Grid View

Use the **Complete task with bulk workflow actions** window to quickly complete workflow tasks.

About this task

The **Complete task with bulk workflow actions** window is displayed if the feature is configured and you have workflow items that belong to you as an assignee, subscriber, or oversight user. The window can be displayed on the My Tasks tab and dashboard panel, the Subscription Tasks tab and dashboard panel, and the Oversight Task tab and dashboard panel. After you click a category, a Grid View for bulk workflow actions is displayed.

In this example let's say that you are the assignee for tasks for Risks, Control Evals, and Issues. If you go to a My Tasks panel on the Dashboard, the **Complete task with bulk workflow actions** window is displayed as in the following example:

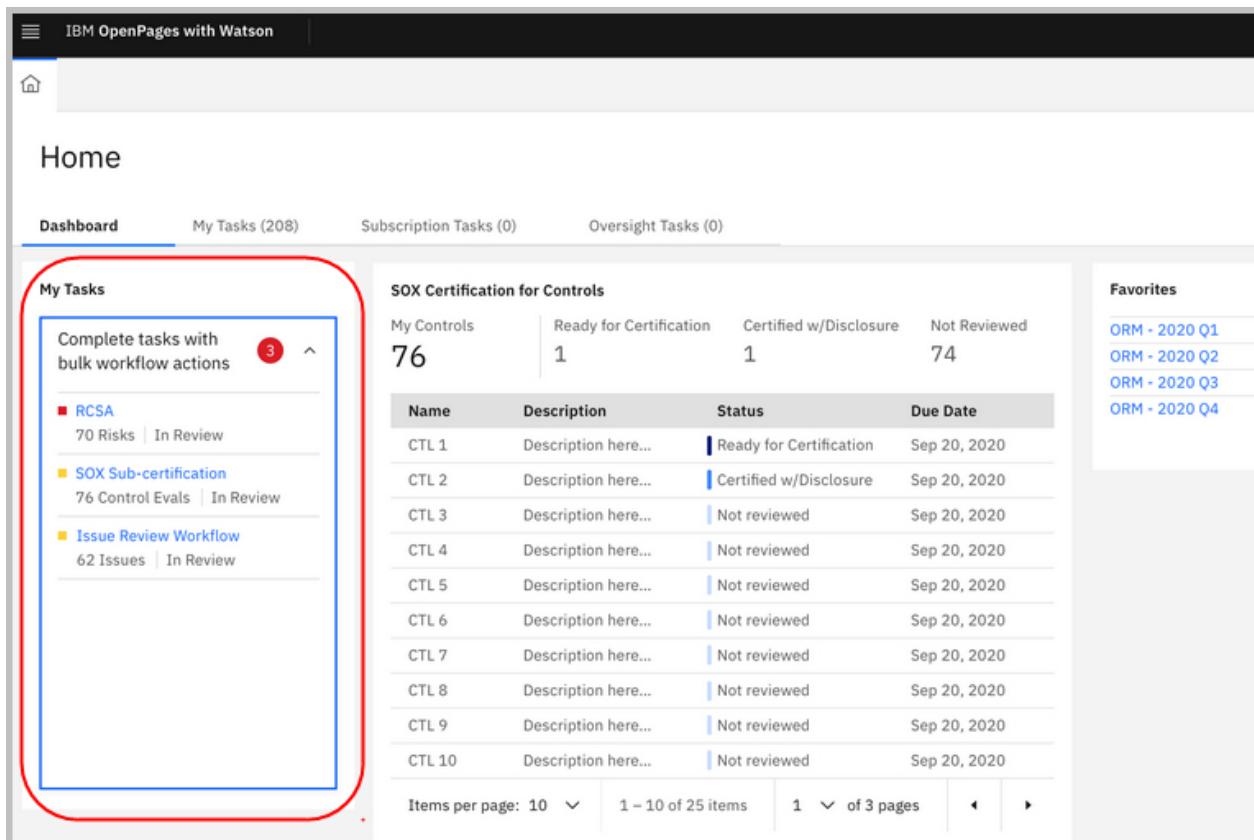


Figure 13. Example of a My Tasks dashboard panel with a **Complete task with bulk workflow actions** window

The number 3 corresponds to the number of categories (workflows) assigned to you, not the number of actual tasks.

If you go to the My Tasks tab on the Home page, the **Complete task with bulk workflow actions** window is displayed. Click the count to expand the view:

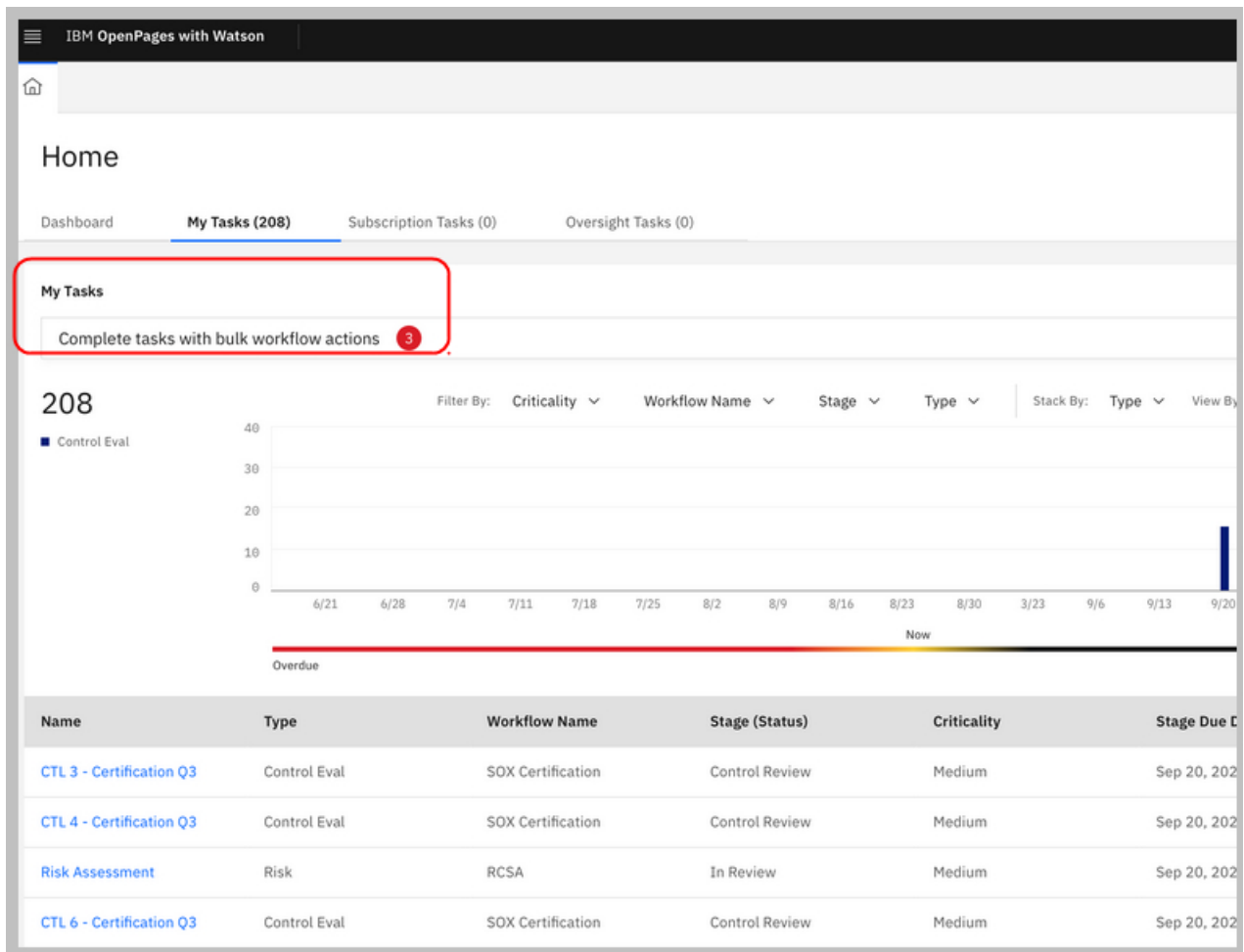


Figure 14. Example of a My Tasks tab with a **Complete task with bulk workflow actions** window

From either access point, when you click a category, a Grid View opens where you can work with tasks. In the following example, you selected to work with tasks related to Risks (the RCSA workflow). The workflow is displayed in Workflow Name in the header. The stage is displayed next to the workflow name. In this example, you have 43 risk assessments to review. Select one or more rows with the check mark and the options in the toolbar, Approve, Reject, and Return, are displayed.

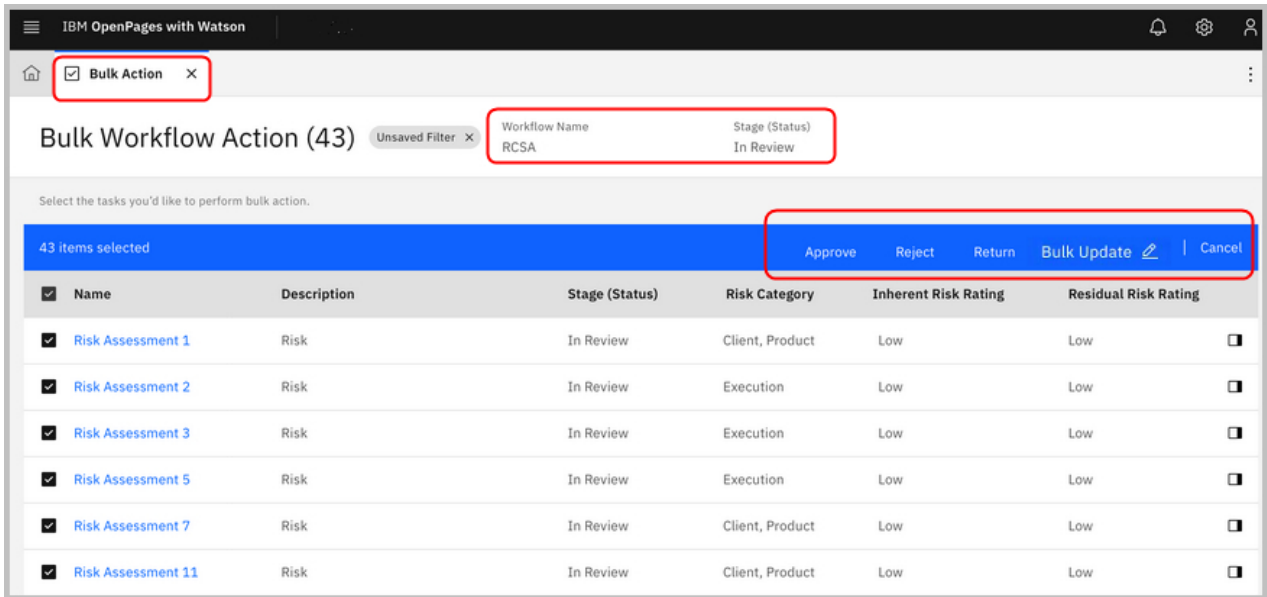


Figure 15. Example of a Grid View for bulk workflow actions

Procedure

1. Go to the My Tasks tab or dashboard panel, the Subscription Tasks tab or dashboard panel, or the Oversight Task tab or dashboard panel.
2. Expand **Complete task with bulk workflow actions**.
3. Choose a category.
A Grid View opens.
4. Optional: Select all, one, or many objects with the check mark and click **Bulk Update**. For more information, see [“Applying changes to multiple objects with bulk update in a Grid View”](#) on page 34.
5. Select one or more rows with the check mark and choose an option in the toolbar.
6. Click **Confirm**.
7. Repeat the steps until you have worked through your tasks.

Viewing information in charts

A chart diagram displays a graphical view of related objects based on a specific field.

Example: Single stack bar

In the following example, an Audit is open and a single stack bar chart shows its related work papers by review status. You can quickly understand that most of the work papers for this audit have not yet been started.

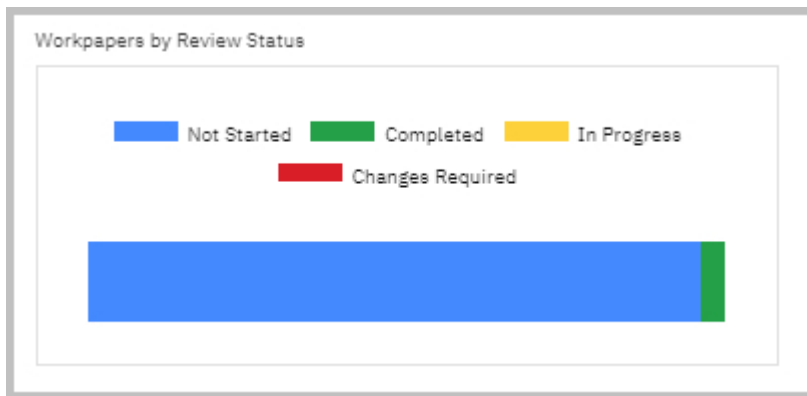


Figure 16. Example of a single stack bar chart

Click in the different areas of a chart to open a Grid View that lists the underlying objects for that value. For example, click in the teal area and a Grid View opens that lists work papers that are related to this audit and whose review status is "Not Started". Click in the green area and a Grid View opens that lists work papers that are related to this audit and whose review status is "Completed".

Indicators at the top of the Grid View show the filters that are applied and the number of objects in the list. Click the arrow icon to open a parent object. Click the X to remove a filter and update the list in the Grid View.

Name	Description	Preparer	Reviewer	Type
02-01-WP01 Internal Audit > FinAud > FinAud 1 > Accounts Receivable - 2011	Comparative Summary	georgeaudit	kevinaudit	Test Evid
02-01-WP02 Internal Audit > FinAud > FinAud 1 > Accounts Receivable - 2011	Detailed List of Accounts Receivable	georgeaudit	kevinaudit	Test Evid
02-01-WP03 Internal Audit > FinAud > FinAud 1 > Accounts Receivable - 2011	Evaluate Reconciling Items	georgeaudit	kevinaudit	Test Evid
02-01-WP04 Internal Audit > FinAud > FinAud 1 > Accounts Receivable - 2011	Investigate Significant Unusual Items	georgeaudit	kevinaudit	Test Evid

Figure 17. Grid View of underlying objects in a chart

Viewing information in a tree diagram

A tree diagram displays an object relationship diagram that you can use to find out how an object is related to other objects, drill through the diagram, and open related objects.

The following image shows a tree diagram for a Business Entity.



Figure 18. Tree diagram

In a tree diagram, you can take the following actions:

- Click a circle to expand or collapse that level.
- Click the title of a circle to open an object or list of objects.
 - If you click an object name, the object opens in a Quick View. For more information, see [“Opening a Quick View”](#) on page 47.
 - If you click an object type name, a list of objects displays as cards. Click an object name to open it in a new tab.
- Hover over an object title to see a full name without opening an object.
- Click  to open the tree diagram in a new tab.

The following image shows an expanded tree diagram after you drill down to the child objects.

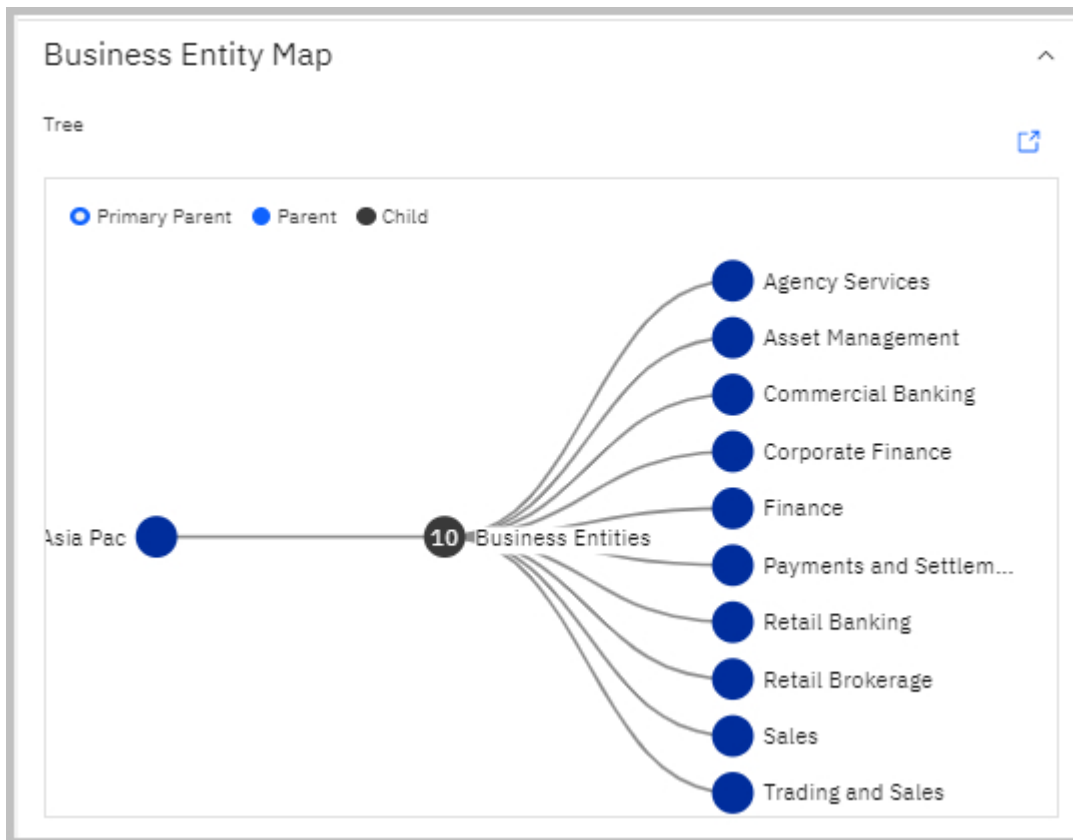


Figure 19. Expanded tree diagram

Validating a workflow action

If a task is part of a workflow that has already started, you can check whether an action would pass validation before you complete the action.

About this task

If a task is part of a workflow that has started, **Select an action to validate** is displayed in the user guidance panel.

When you validate an action, the system guides you through the issues that need to be addressed. You can:

- Use the list of key items as your navigation point.
- Click a key item to go directly to a field.
- Follow the messages to understand how to resolve issues.

The list of key items includes required fields and other items that an administrator designated as key items. You can filter the list of key items by all key items, key items that need attention, or incomplete key items. Key items that need attention are included in red in the progress bar. The symbols next to a key item indicate its status. When you click a key item, the cursor moves to the field in edit mode.

Procedure

1. Open the task that you want to work on.
If it is configured, the user guidance panel displays in the upper right corner of the view.
2. Click **Select an action to validate** and choose an action.
Several changes occur in the user guidance panel:

- Symbols next to key items change based on the action you chose.
 - Messages might display in the task view under fields that have validation errors.
 - Key items that are specific for the action are added to the list of key items under the title **Key Items for this Action**.
3. Click key items that are in error or need to be addressed. Use the selector to filter the key items by all key items, those that need attention, or those that are incomplete. Key items that need attention are included in red in the progress bar.
 4. Follow the messages to understand how to resolve issues.
After all issues are resolved and the progress bar has no red, the action is validated.
 5. Optional: Click **Select an action to validate** and validate a different action. Changes occur in the user guidance panel based on the action you chose. Work through the same steps to resolve issues.
 6. After issues are resolved and the task is ready to be finished, click **Actions** and select the action that you validated.
The action completes and you have finished your work.

Opening a Quick View

Use a Quick View to view or edit a selected or related object or create an object in a small sidebar without leaving the original object.

About this task

A Quick View is accessed from several places in the system, for example, a Grid View, Grid relationship field in a Task View, or a tree diagram.

If you open a Quick View from a Task View, the Task View where you started becomes read only.

All of the functionality that is available in a Task View is also available in a Quick View with the following exceptions:

- Actions in relationship fields except for Add New (direct children only)
- User Guidance
- The IBM Watson Insights button that supports IBM Watson cognitive technology

Procedure

1. Open a Grid View or a Task View.

For information about how to access a Grid View View, see [“Using Grid Views to find, open, and work with objects” on page 26](#).

For information about how to access a Task View, see [“Completing work that is assigned to you” on page 37](#).

2. Click  next to the object you want to open.
The object opens in Quick View.
3. From a tree diagram, click a circle title where there is only one object at that level.
The object opens in a Quick View.
4. In a Quick View, you can:
 - View an object.
 - Edit an object, either field-by-field or in edit mode.
 - Click  to search for fields in the Quick View.
 - Mark an object as a favorite.
 - Start a workflow action.

- Create a new child object of the object that is open.
 - If a tree diagram is displayed, drill through to other objects.
 - Click  to expand the Quick View to open the object in a new tab. The object opens in the Task View for the object type. Full functionality is then available.
5. Close the Quick View.

Viewing change history on the Activity tab

Use the **Activity** tab on a task to view modifications that were made to an object.

About this task

Change history is read-only and cannot be changed. Change history is displayed for the selected reporting period. For more information, see [“Viewing data for a reporting period in the Task Focused UI” on page 63.](#)

Procedure

1. Open a task.
For more information, see [“Completing work that is assigned to you” on page 37.](#)
2. Click the **Activity** tab.
Change history for the object is displayed. If the tab is empty, no changes were to the object.
3. Compare values in the **Old Value** and **New Value** columns.
4. Optional: Filter the change history by the following criteria:
 - Field - displays changes to field values
 - Relationship - displays changes to object associations
 - Workflow - displays changes to workflow stages and statuses

Adding and working with files (attachments) on objects

Depending on how the Task View is configured, you might be able to add and work with files (attachments) from a task.

About this task

When files are added to OpenPages, a copy of the file is uploaded to the file repository. The types of files that you can add are configured for your system. For example, you might be able to add PDF files, text files, graphics files, and Microsoft Office files.

OpenPages uses version control and file locking in the file repository. When you work in a collaborative team environment, files are checked in and out to ensure that changes made by one team member will not be overwritten by another team member.

When you add a file, it is associated to the object in the task that you have open.

When you add a file, a copy of the file is uploaded to the OpenPages file repository. After a file has been added:

- Click the file name to view file details and access multiple versions of the file if they exist.
- Click  to download it.

Click  to check out a file.

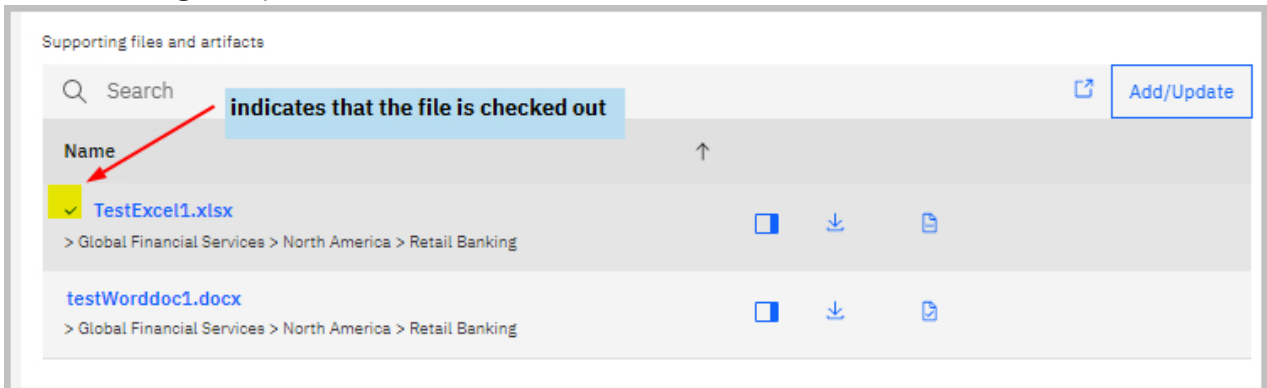
A checked-out file has the following characteristics:

- A check mark is displayed next to the file name. If it is green, you checked it out. If it is blue, it is checked out by another user (Task Focused UI only).
- The file is locked and cannot be overwritten in the file repository.
- The last checked in version and all earlier versions of the file can be viewed and downloaded by other users.

The file can also be associated to other objects.

When you check in a file, you can add a comment. A new version is then uploaded with your latest changes, the file is unlocked, and it is available to other users to view and check out.

In the following example, the file in the first row is checked out and the file in the second row is not.



Depending on how the system is configured, you might be able to open and edit Microsoft Office files

(Word, Excel, and PowerPoint) directly from OpenPages. If this feature is enabled, the  (View) and  (Edit) icons display next to Microsoft Office files.

Rather than accessing files from a Task View, you can also access files by using the  > **Attachments** > **Files** task. Functionality is the same except that with the  > **Attachments** > **Files** task you can access all files across all object types. Icon labels are slightly different in the two tasks. For more information, see [“Adding and managing all files \(attachments\)”](#) on page 51.

Procedure

1. Open the task that you want to work on.
2. Locate the section that contains file attachments. This section might, for example, be titled **Supporting files and artifacts**.
3. To add files to the object:
 - a) Click **Add/Update** and select the file. Alternatively, you can drag files to the files section.
 - b) Complete the fields in the **Files to add** pop-up window.
 - c) Click **Upload**.

The file is added and automatically checked in.

After a file has been added, there are two methods to upload a new version of it. Using either method, you receive an error message when you upload the file if it is checked out by another user.

4. To update a file using manual check out:

Use this method to prevent other users from editing the file while you are working on your changes.

Do not use this method when editing Microsoft Office files directly from OpenPages by clicking  (View) and  (Edit).

- a) Click  to check out the file. The icon is hidden if the file is already checked out.

- b) Download the file.
- c) Make and save your changes to the file.
- d) Click **Add/Update** and select the file. Alternatively, you can drag the file to the files section.
- e) Complete the fields in the **Files to add** pop-up window.
- f) Click **Upload**. Your copy is uploaded and the file is checked in.

You can click  to cancel a check out. If you cancel a check out, OpenPages reverts to the last checked in version of a file in the file repository.

5. To update a file without using manual check out:

Use this method if you are making quick changes to the file.

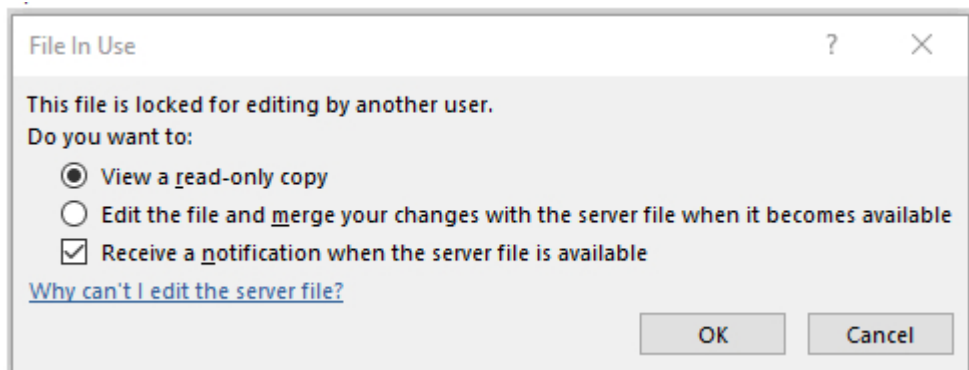
Do not use this method when editing Microsoft Office files directly from OpenPages by clicking  (View) and  (Edit).

- a) Download the file.
- b) Make and save your changes to the file.
- c) Click **Add/Update** and select the file. Alternatively, you can drag the file to the files section.
- d) Complete the fields in the **Files to add** pop-up window.
- e) Click **Upload**. The file is automatically checked out and back in.

6. To view a Microsoft Office file:

- a) Click .
- b) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.
- c) View the file.
- d) It is possible to edit the file even though you chose to view it, if you have the rights to edit the file. Click **Enable Editing** in the Microsoft Office application and start making your changes. The file is automatically checked out. Make and save your changes. Click  to check in the file in OpenPages when you are finished.

If the following message appears when you click **Enable Editing**, the file is locked by another user and it cannot be edited. You must wait until the file is unlocked to make your edits. You can choose only the first option, **View a read-only copy**. The other two options are non-functioning.



7. To open and edit a Microsoft Office file:

- a) Click .
- Two dialog boxes are displayed:
- An OpenPages dialog box that reminds you to check in the file when you are finished.

- A Microsoft dialog box that opens the Microsoft Office application.
- b) Leave the OpenPages dialog box with the reminder open until you are finished editing the file. Or, you can click the Cancel button in the dialog box to close it. Closing the dialog box does not cancel the checkout. But you must remember to check in the file when you are finished.
- c) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.
- d) Click **Enable Editing** in the Microsoft Office application. The file is automatically checked out.
- e) Make your changes and click save frequently. Every time you manually save, your changes are saved to the file in the OpenPages file repository. However, other users cannot see your changes until the file is checked in.

Note: You are not able to auto-save in Microsoft Office applications.

- f) Check in the file when you are finished. You can either click **Check in** in the dialog box that was displayed earlier, if it is still open. Or, you can click  next to the file name.

Note: If you get a message saying that your file failed to save to the server, save the file locally and then click **Add/Update** to manually upload the file to OpenPages. This can occur if the OpenPages session times out or if there is a connectivity issue.

Adding and managing all files (attachments)

Use the  > **Attachments** > **Files** task to add and manage all files that you have access to, across all object types. The task displays only non-system files of object type File (SOXDocument).

About this task

When files are added to OpenPages, a copy of the file is uploaded to the file repository. The types of files that you can add are configured for your system. For example, you might be able to add PDF files, text files, graphics files, and Microsoft Office files.

OpenPages uses version control and file locking in the file repository. When you work in a collaborative team environment, files are checked in and out to ensure that changes made by one team member will not be overwritten by another team member.

You can also add files directly to objects by using a Task View. Functionality is the same except that with the  > **Attachments** > **Files** task you can work with all files across all object types. Icon labels are slightly different in the two tasks. For more information, see [“Adding and working with files \(attachments\) on objects” on page 48](#).

Depending on how the system is configured, you might be able to open and edit Microsoft Office files (Word, Excel, and PowerPoint) directly from OpenPages. If this feature is enabled, the **View** and **Edit** buttons are displayed for Microsoft Office files (Word, Excel, and PowerPoint).

The  > **Attachments** > **Files** task displays only non-system files of object type File (SOXDocument). It does not display system files.

Procedure

1. Click  > **Attachments** > **Files**.
2. To add files:
 - a) Click **Add New**.
Fields and button labels may be different depending on how your system is configured.
 - b) Optional: Add values in **Keywords**.
 - c) Optional: Select a **Document Type**.
 - d) Click **Add File** and select the file. Alternatively, you can drag a file to page.

- e) Click **Select Folder** and associate the file to a parent business object.
- f) Click **Save**.

The file is added and automatically checked in.

After a file has been added, there are two methods to upload a new version of it. Using either method, you receive an error message when you upload the file if it is checked out by another user.

3. To update a file using manual check out:

Use this method to prevent other users from editing the file while you are working on your changes.

Do not use this method when editing Microsoft Office files directly from OpenPages by clicking **View** and **Edit**.

- a) Select the file.
- b) Click **Check Out**. The icon is hidden if the file is already checked out.
- c) Download the file.
- d) Make and save your changes to the file.
- e) Click **Update** and select the file. Alternatively, you can drag the file to the page.
- f) Complete the fields in the **Files to update** pop-up window.
- g) Click **Upload**. Your copy is uploaded and the file is checked in.

You can click **Cancel checkout** to cancel a check out. If you cancel a check out, OpenPages reverts to the last checked in version of a file in the file repository.

4. To update a file without using manual check out:

Use this method if you are making quick changes to the file.

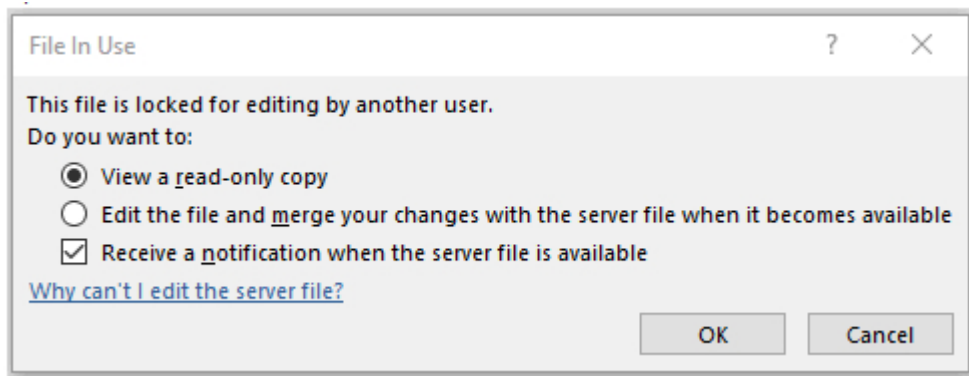
Do not use this method when editing Microsoft Office files directly from OpenPages by clicking **View** and **Edit**.

- a) Select the file.
- b) Download the file.
- c) Make and save your changes to the file.
- d) Click **Update** and select the file. Alternatively, you can drag the file to the page.
- e) Complete the fields in the **Files to update** pop-up window.
- f) Click **Upload**. The file is automatically checked out and back in.

5. To view a Microsoft Office file:

- a) Select the file.
- b) Click **View**.
- c) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.
- d) View the file.
- e) It is possible to edit the file even though you chose to view it, if you have the rights to edit the file. Click **Enable Editing** in the Microsoft Office application and start making your changes. The file is automatically checked out. Make and save your changes. Click **Check in** to check in the file in OpenPages when you are finished.

If the following message appears when you click **Enable Editing**, the file is locked by another user and it cannot be edited. You must wait until the file is unlocked to make your edits. You can choose only the first option, **View a read-only copy**. The other two options are non-functioning.



6. To open and edit a Microsoft Office file:

a) Select the file.

b) Click **Edit**.

Two dialog boxes are displayed:

- An OpenPages dialog box that reminds you to check in the file when you are finished.
- A Microsoft dialog box that opens the Microsoft Office application.

c) Leave the OpenPages dialog box with the reminder open until you are finished editing the file. Or, you can click the Cancel button in the dialog box to close it. Closing the dialog box does not cancel the checkout. But you must remember to check in the file when you are finished.

d) Click **Open [App]**, for example **Open Word**, in the dialog box that opens the Microsoft Office application.

e) Click **Enable Editing** in the Microsoft Office application. The file is automatically checked out.

f) Make your changes and click save frequently. Every time you manually save, your changes are saved to the file in the OpenPages file repository. However, other users cannot see your changes until the file is checked in.

Note: You are not able to auto-save in Microsoft Office applications.

g) Check in the file when you are finished. You can either click **Check in** in the dialog box that was displayed earlier, if it is still open. Or, you can click **Check in** from the file.

Note: If you get a message saying that your file failed to save to the server, save the file locally and then click **Update** to manually upload the file to OpenPages. This can occur if the OpenPages session times out or if there is a connectivity issue.

Adding panels and widgets to your dashboard in the Task Focused UI

The dashboard allows you to create your own personalized dashboard panels.

The following types of panels can be added to your dashboard:

- Charts

For more information, see [“Adding a chart panel ” on page 55.](#)

- Custom panels

For more information, see [“Adding a custom panel ” on page 56.](#)

- Favorite objects

For more information, see [“Adding a favorites panel” on page 57.](#)

- My Tasks

For more information, see [“Adding a My Tasks panel ” on page 59.](#)

- Oversight Tasks

For more information, see [“Adding an Oversight Task panel ” on page 60.](#)

- Reports

For more information, see [“Adding a Reports panel ” on page 58.](#)

- Subscribed Tasks

For more information, see [“Adding a Subscription Task panel ” on page 59.](#)

You can add as many panels as you want to your dashboard. Panels might appear on your dashboard that you did not define in the Task Focused UI. They can come from two sources:

- Dashboard panels that you defined in the Standard UI.

If you defined panels for your dashboard in the Standard UI, those panels are also displayed on your dashboard in the Task Focused UI.

You can rearrange these panels and remove them from your dashboard in the Task Focused UI. For more information, see [“Adding panels and widgets to your Dashboard tab” on page 70.](#)

Dashboard panels that are defined in the Standard UI are displayed in the Task Focused UI the first time a user signs on to the Task Focused UI. Subsequent changes to dashboard panels that are defined in the Standard UI are not brought over to the dashboard in the Task Focused UI.

Dashboard panels that are defined in the Standard UI for global search are not displayed on a dashboard in the Task Focused UI.

- Dashboard panels that an administrator defined for the profile that you belong to.

These panels are automatically displayed on your dashboard. You can rearrange them and hide them. Administrators can add or change the default panels at any time. If you configured your dashboard and an administrator later adds a panel to the default dashboard, your layout remains unchanged and the new panel appears at the bottom of your dashboard.

Administrators can define Search panels that use global search. For more information, see [“Searching for objects using global search \(Task Focused UI\)” on page 80.](#)

Regardless of where the panels come from, you can reposition them on your dashboard in the Task Focused UI by dragging them and placing them where you want them.

The configuration of your dashboard is saved in the database and not in the web browser cache. This means that you can clear the cache, switch to a different browser, or log in from a different computer without changing the configuration of your dashboard.

Dashboard panels are displayed side-by-side and down the screen. The screen width dictates how many dashboard panels are displayed side-by-side. On smaller screens, for example, on tablets and phones, panels might be displayed straight down the screen. Scroll down to see all panels. You can use a drop-down list to switch between tabs.

Tabs for reports are part of the dashboard that an administrator defined for the profile that you belong to. Administrators can add or change the tabs for reports at any time. You can retain the report tabs that an administrator defined for your profile and also define your own. For more information, see [“Adding a Reports tab ” on page 60.](#)



Trouble:

If the Dashboard encounters a problem and cannot render, you can apply safe mode by adding ?safeMode=1 to the end of the URL. The rendering process stops and you can access the dashboard configuration to debug the problem. Remove ?safeMode=1 from the URL to exit safe mode.

Adding a chart panel

Chart panels on the Dashboard show data graphs that you frequently access.

Before you begin

Learn more about chart diagrams. For more information, see the *IBM OpenPages with Watson Administrator's Guide*.

About this task

A chart is based on one object type and one field within that object type that is a single value enumerated field.

You can drill through the chart and open related objects.

Charts in a dashboard panel are similar in functionality to charts in a Task View with the exception that a chart in a dashboard panel has a sum total of objects. Click the sum total to open a grid view of all objects in the chart.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Select **Chart** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. Choose an **Object Type**. The object types that are listed depend on the access rights that have been assigned to you by an administrator.
 - a) Optional: Select a **Filter**. If no filters are displayed, there are no filters associated to the object type and associated to a filtered list view on the object type on your profile. Contact your administrator for assistance.
6. Choose a **Chart Type**. Valid values are:
 - **Bar**
 - **Doughnut**
 - **Gantt**
 - **Horizontal Bar**
 - **Pie**
7. If you choose Gantt, complete the Gantt Chart Configuration fields:
 - a) Select a **Start Date Field**.
 - b) Select an **End Date Field**.
 - c) Select a **Primary Row Field**.
 - d) Optional: Select a **Secondary Row Field**.
 - e) Select a **Color Definition Field**.
 - f) Click **Done**.
8. Choose a field in **Chart Data Field** (displays for all types of charts except Gantt).
9. In **Method Type** choose Count, Sum, Average, Min, or Max (displays for all types of charts except Gantt). If you chose Sum, Average, Min, or Max, provide a field in **Aggregation Field**. Only currency, decimal, and integer type fields are displayed in **Aggregation Field**.
10. Click **Done**.
11. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a custom panel

Configure a custom panel on the Dashboard to organize information to which you want to have quick access.

About this task

The custom panel is a highly flexible panel type. It can contain multiple widgets of different types, for example, you can place an Add New widget and a guidance widget (informational text that you write) in a single custom panel.

The following types of widgets can be added to a custom panel:

- **Add New**

An Add New widget displays an add button for one object type. A Creation View for the object type opens.

- **Chart**

A chart is based on one object type and one field within that object type that is a single value enumerated field.

For more information about charts, see [“Adding a chart panel ” on page 55.](#)

You can select the chart type (bar, doughnut, horizontal bar, or pie), the object type, and the field or fields that the chart is based on.

- **Filter Count**

A filter count widget shows an object count for one object type and filter. Click the count to open a Grid View that lists objects that match the filter. You can see how many objects exist and drill down into the count.

- **Guidance**

A guidance widget displays informational text that you write. You can apply formatting, for example, bold and italics, to the text.

- **Static Link**

A static link widget displays a clickable label for a URL.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Select **Custom** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. Click **Add Widget** and select a widget type:
 - **Add New**
 - **Chart**
 - **Filter Count**
 - **Guidance**
 - **Static Link**
6. If you chose **Add New**, complete the following steps:
 - a) Select an **Object Type**.
 - b) Click **Done**.
7. If you chose **Chart**, complete the following steps:
 - a) Enter a **Label**.

- b) Select an **Object Type**.
 - c) Select a **Chart Type**.
 - Bar
 - Doughnut
 - Horizontal Bar
 - Pie
 - d) Choose a field in **Chart Data Field**.
 - e) Click **Done**.
8. Click **Done**.
9. If you chose **Filter Count**, complete the following steps:
- a) Select an **Object Type**.
 - b) Optional: Select a **Filter**. If no filters are displayed, there are no filters associated to the object type and associated to a filtered list view on the object type on your profile. Contact your administrator for assistance.
 - c) Click **Done**.
10. If you chose **Guidance**, complete the following steps:
- a) Enter informational text in **Guidance**.
You can apply the following formatting to the text:
 - `*text*` displays text as italics.
 - `**text**` displays text as bold.
 - A fully qualified URL inserts a hyperlink. For example, `https://www.ibm.com` displays in a view as a hyperlink named **https://www.ibm.com**.
 - `[Link title] (URL)` inserts a hyperlink as a link title, where `[Link title]` is a text title and `(URL)` is a fully qualified URL. For example, `[Click here to visit IBM] (https://www.ibm.com)` displays in a view as a hyperlink named **Click here to visit IBM**.

Note: Check the text placement and make adjustments if needed. You might have to add spaces and/or new lines to position the text where it aligns correctly.
 - b) Click **Done**.
11. If you chose **Static Link**, complete the following steps:
- a) Enter a **Label**, for example, **Go to IBM**. The label is a clickable name in the widget.
 - b) Enter a fully qualified URL in **Link**, for example, `https://www.ibm.com`.
 - c) Click **Done**.
12. Click **Done**.
13. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a favorites panel

A favorites panel on the Dashboard displays objects that are marked as favorites.

About this task

The first column in a favorites panel is object name. The second column is configurable, where it can be an object's description, folder location, or object type. You can define multiple favorites panels, each with a different field defined as the second column.

Objects are sorted by the timestamp when objects are marked as a favorite.

A maximum of 20 objects can be marked as favorites.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Select **Favorite Objects** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In **Second Column** define what field is displayed in the second column of the favorites panel.
The second column can be:
 - Description
 - Folder
 - Object Type
6. Click **Done**.
7. Click **Done**.
The new panel displays on the Dashboard. Objects are already marked as a favorite are listed.
8. To mark an object as a favorite:
 - a) Click the Primary Menu, expand a category, choose an object type, and open an object. For example, open a business entity that you frequently need to access.
 - b) Click .
The favorites star becomes solid yellow.
 - c) Go back to the dashboard.
The object you marked is listed in the favorites panel.
9. To unmark an object as a favorite, open the object and click .

Adding a Reports panel

A Reports panel shows either a list of all reports by category or an alphabetical list of reports that are assigned to the profile that you belong to.

About this task

When you define a Reports panel, the **Data Source** field determines the panel's organization and content:

- All Reports

A Reports panel lists reports organized by categories. The categories are the same as the categories on the **Reporting** menu in the Standard UI. The panel contains reports that are located in the OpenPages V6 folder. The panel contains only reports that you have permission to view, either per your profile or the permissions on the report.

- Profile Reports

A Reports panel lists reports alphabetically. The list contains only reports that are assigned to your profile.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Select **Reports** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. Select All Reports or Profile Reports in **Data Source**.

6. Click **Done**.
7. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a My Tasks panel

A My Tasks panel on the dashboard organizes tasks that are assigned to you by due date, relative to a *due soon* timeframe.

About this task

You define how many weeks constitute the *due soon* timeframe. You can use the timeframe to establish a sense of urgency that is personalized for you for this type of task. A task can fall into one of three categories:

- Overdue (the task's due date is before the due soon timeframe)
- Due soon (the task's due date is within the due soon timeframe)
- Due later (the task's due date is after the due soon timeframe)

The **Complete task with bulk workflow actions** window displays on My Tasks panel if the feature is configured and you have workflow items that belong to you as an assignee. It appears automatically and requires no configuration in the panel definition. For more information, see [“Completing bulk workflow actions in a Grid View” on page 40](#).

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Click **My Tasks** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In **'Due Soon' definition (in weeks)** enter the number of weeks that define the due soon timeframe.
6. Leave the default colors as they are or choose other colors in **Chart Colors**.
7. Click **Done**.
8. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a Subscription Task panel

A Subscription Task panel on the Dashboard organizes your subscription tasks by due date, relative to a "due soon" timeframe.

About this task

You define how many weeks constitute the *due soon* timeframe. You can use the timeframe to establish a sense of urgency that is personalized for you for this type of task. A task can fall into one of three categories:

- Overdue (the task's due date is before the due soon timeframe)
- Due soon (the task's due date is within the due soon timeframe)
- Due later (the task's due date is after the due soon timeframe)

The **Complete task with bulk workflow actions** window displays on a Subscription Task panel if the feature is configured and you have workflow items that belong to you as a subscriber. It appears automatically and requires no configuration in the panel definition. For more information, see [“Completing bulk workflow actions in a Grid View” on page 40](#).

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Select **Subscribed Tasks** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In '**Due Soon**' definition (**in weeks**) enter the number of weeks that define the due soon timeframe.
6. Leave the default colors as they are or choose other colors in **Chart Colors**.
7. Click **Done**.
8. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding an Oversight Task panel

An Oversight Task panel on the Dashboard organizes your oversight tasks by due date, relative to a *due soon* timeframe.

About this task

You define how many weeks constitute the *due soon* timeframe. You can use the timeframe to establish a sense of urgency that is personalized for you for this type of task. A task can fall into one of three categories:

- Overdue (the task's due date is before the due soon timeframe)
- Due soon (the task's due date is within the due soon timeframe)
- Due later (the task's due date is after the due soon timeframe)

The **Complete task with bulk workflow actions** window displays on an Oversight Task panel if the feature is configured and you have workflow items that belong to you as an oversight user. It appears automatically and requires no configuration in the panel definition. For more information, see [“Completing bulk workflow actions in a Grid View” on page 40](#).

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **Add Panel**.
3. Select **Oversight Tasks** in **Panel Type**.
4. Enter a **Label**. The label displays as a title for the panel.
5. In '**Due Soon**' definition (**in weeks**) enter the number of weeks that define the due soon timeframe.
6. Leave the default colors as they are or choose other colors in **Chart Colors**.
7. Click **Done**.
8. Click **Dashboard** to refresh the dashboard and verify that the panel displays correctly. Click a panel and move it to where you want it to display on the dashboard.

Adding a Reports tab

A dashboard can contain up to three tabs for Cognos and OpenPages reports.

About this task

Your administrator might have created report tabs for the profile that you belong to. If this is the case, you can retain the report tabs or remove them and add reports that you access more frequently.

Procedure

1. Click  to open the Dashboard configuration menu.
2. Click **New Report Tab**.
3. Enter a **Name**. Keep it short.
4. Select a **Report**.
5. Click **Done**.

Changing your locale setting in the Task Focused UI

You can change your locale setting. This changes the language of the user interface, as well as the display format for numbers and dates.

About this task

Procedure

1. Click  to open the User menu.
2. Click **Change Locale** and select a language.
3. Click **Save**.

Changing your password in the Task Focused UI

You can change your password.

About this task

If you have access to the Standard UI, your user ID and password are the same in both the Standard UI and the Task Focused UI. Changes that are made in one interface are automatically reflected in the other interface.

Procedure

1. Click  to open the User menu.
2. Click **Change Password**.
3. Type the old password in **Current Password**.
4. Specify a new password in **New Password** and confirm it.

Note the following password requirements:

- The maximum length is 32 characters.
- Passwords are case-sensitive.
- If your company uses single signon or LDAP, you cannot change a password with IBM OpenPages with Watson. You must change it with the single signon or LDAP application.

5. Click **Save**.

Changing your profile in the Task Focused UI

A profile determines the look and feel of the user experience in the Task Focused UI. It determines the contents of the Dashboard and the layout and contents of all views, and any filters available for use in the

Grid View. Your administrator configures one or more profiles for you, which can be tailored to a specific task.

About this task

If your administrator set you up with multiple profiles, you can change profiles by using **Change Profiles** on the User menu.

Important: Ensure that you save your work before you change your profile.

This video demonstrates how users can easily switch from one profile to another:

<https://youtu.be/NQ38cb-4YFg>

Procedure

1. Click  to open the User menu.
2. Click **Change Profiles**. If you have more than one profile, **Change Profiles** appears on the menu with an indented list of available profiles.
3. Select the profile that you want.
4. Click **Save**.

What to do next

The change takes effect immediately without having to log off. After you change profiles, the Dashboard and the functionality of views might change.

Changing your theme in the Task Focused UI

A theme determines the color design that is applied in the Task Focused UI. Your administrator can configure one or more themes for you to use.

About this task

If you choose no theme, a default theme is applied for you.

After you choose a theme, it is retained the next time you log in.

A default light gray theme is applied if you are using Microsoft Internet Explorer 11. No other theme can be applied.

Procedure

1. Click  to open the User menu.
2. Click **Change Theme**.
3. Select a theme.
4. Click **Save**.

Results

The change takes place immediately.

Viewing data for a reporting period in the Task Focused UI

You can view data for a current and past reporting period. However, you can only modify data in the current reporting period.

About this task

If past reporting periods are defined, you can change the reporting period in the Task Focused UI.

If the **Change Reporting Period** option on the User menu is not displayed, there is only one reporting period (the current reporting period).

Data for the active reporting period cannot be viewed in the Task Focused UI. You must switch to the Standard UI. For more information, see [“Viewing data for a reporting period” on page 100](#).

Procedure

1. Open the object that you want to work with.

2. Click  to open the User menu.

The reporting period that is currently chosen is displayed above **Change Reporting Period**.

3. Click **Change Reporting Period**.

4. Select a reporting period.

5. Click **Save**.

The view is refreshed based on the reporting period. If you switch to a past reporting period, the object becomes read-only. Fields cannot be changed and workflows can be neither started nor advanced.

What to do next

Repeat the steps to select the current reporting or another past reporting period. If you switch to the current reporting period, the object becomes editable and workflows can be started and advanced.

Switching from the Task Focused UI to the Standard UI

You can switch from the Task Focused UI to the Standard UI if you have permission to use the Standard UI.

About this task

You can either switch from the Task Focused UI to the Standard UI, or you can have both applications open simultaneously. For information, see [“Using the Standard UI” on page 65](#).

Procedure

1. Click  to open the User menu.

2. Click **Switch to Standard UI**.

If you do not have permission to use the Standard UI, the **Switch to Standard UI** menu item is hidden.

Results

The Standard UI opens in the same window without having to sign in again.

Note: You can also access the Standard UI directly from a URL. Open Google Chrome or Microsoft Edge and in the **Location bar** enter the OpenPages with Watson URL for the Standard UI, for example:

`https://opserver:10111/openpages/home.do`

Chapter 4. Getting started with the Standard UI

Using the Standard UI

You use the Standard UI to work with information in OpenPages and to configure and administer the system.

OpenPages provides two user interfaces:

- Standard UI
- Task Focused UI

The Standard UI is the user interface that is used by users, risk managers, implementers, and administrators. It provides access to the full functionality of OpenPages.

The Task Focused UI is a simplified user interface that is used by users and risk managers who need to complete tasks that are assigned to them and find information in OpenPages. It is optimized for infrequent users who have access to targeted functionality in OpenPages. For information, see [“Using the Task Focused UI”](#) on page 13.

You might be able to access either or both user interfaces, depending on your role template or user group assignments.

When you are using the Task Focused UI, you can use a menu item to switch to the Standard UI. You can have both user interfaces open simultaneously.

The information in this guide applies to the Standard UI unless otherwise noted.

Logging in to OpenPages with Watson

Use this procedure to log in to IBM OpenPages with Watson.

About this task

Before you log in, obtain the OpenPages with Watson URL and the user name and password if single sign-on is not configured.

Procedure

1. Open Google Chrome or Microsoft Edge. In the **Location bar** enter the OpenPages with Watson URL, for example:
`https://opserver:10111/openpages`
2. Type your user name and password. If these fields are not displayed, single sign-on is configured and the system opens.
3. Click **Log In**.

Note: If you get a message that the session has expired, verify that you are using the correct URL for your environment.

Results

The Standard UI opens. If the Task Focused UI opens, it is because of the role template or user group you are assigned to. For information, see [“Using the Standard UI”](#) on page 65.

If the URL redirects you to the Task Focused UI, you can try entering a URL like the following example:

`https://opserver:10111/openpages/home.do`

Where `home.do` forces a redirect to the Standard UI.

Logging out

You can end a session and exit the application. Click **Log Out** in the global header, and then close the browser window.

Automatic timeout

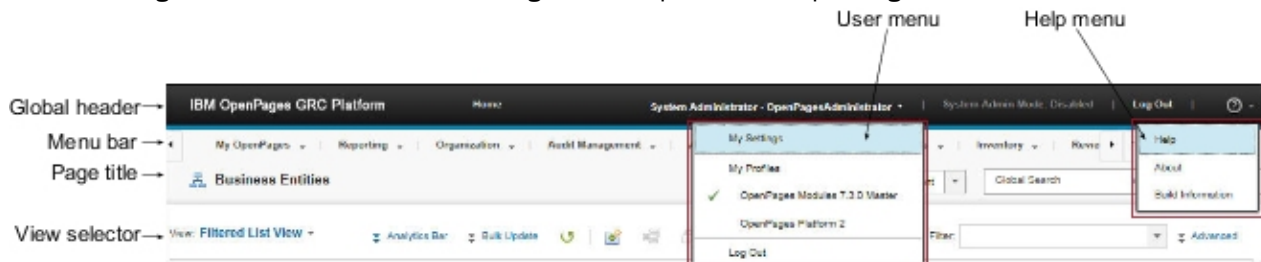
The solutions in the IBM OpenPages with Watson Enterprise suite are set to automatically timeout after a period of system inactivity.

If you attempt to perform an operation after the application has timed out, the system automatically moves to the Log On page where you can log on again.

Navigating the Standard UI in OpenPages

You can manage your work with the menus and interface in IBM OpenPages with Watson.

The following illustration describes the navigation components of OpenPages:



The components that are labeled in the graphic are described in the following table:

Table 17. Navigating OpenPages	
Navigation	Description
Global header	Use the header to view the product name and the logged in user. - Click  to open the Help menu to view online help. - The Home page is accessed from the global header. Click Home in the global header to return to the Home page. The Home page opens to the Dashboard tab or to the My Work tab, whichever tab was used most recently.
Menu bar	You might have object types and a reports menu from which you can choose. Depending upon your configuration, you might have one or more of the following menus: - Use My OpenPages to work with Files, Links, and Milestones. - Use Reporting to select and run published reports, and to use IBM Cognos Business Intelligence to create your own reports. - Use menus, such as Organization and Audit Management, to work with objects.
Page title	Object page or tool that is active.

Table 17. Navigating OpenPages (continued)

Navigation	Description
View selector	The information about an object that is displayed. The view selector is available on the Filtered List View page and on the Detail View page. • To view objects that match a filter you select, select Filtered List view. • To view folder information about an object, select Folder view. • To view a Grid View that might display information about more than one object type, select a Grid View from the list.
User menu	Open the User menu by clicking ▼ after the user name in the Global header. From this menu, you can go to the My Settings page, change your profile, or log out. • Click My Settings on the User menu to open the My Settings page where you can change your password, your profile, your locale, or your alert notifications. • If you have more than one profile, a My Profiles section appears on the User menu, with an indented list of available profiles. The profile that you are currently using has a check mark beside it.

My Settings

This topic provides links to information about the My Settings page. This page is available by clicking **My Settings** from your user menu located on the global header.

- [“Changing your locale setting” on page 67](#)
- [“Changing your password” on page 68](#)
- [“Changing your preferences for alert notifications ” on page 68](#)
- [“Changing your profile ” on page 67](#)

Changing your locale setting

You can change your locale setting. This changes the language of the user interface, as well as the display format for numbers and dates.

Procedure

1. From your user menu on the global header, click **My Settings**.
2. From the **Locale** field, select a language.

Changing your profile

A profile determines the look and feel of the OpenPages user experience. It determines the contents of the home page, the layout and contents of all views, and any public filters available for use in the Filtered List View. Your administrator configures one or more profiles for you, which can be tailored to a specific task.

This topic applies to the Standard UI only. For information about changing your profile in the Task Focused UI, see [“Changing your profile in the Task Focused UI” on page 61](#).

About this task

If your administrator set you up with multiple profiles, you can change profiles from My Profiles on the global header or from the My Settings page. The recommended approach is to change your profile by using My Profiles so you can see the impact of the change on your Home page immediately.

Important: Ensure that you save your work before you change your profile.

This video demonstrates how administrators configure multiple profiles, and how users can easily switch from one profile to another:

<https://youtu.be/amgQPw51Duo>

Procedure

1. Go to your user menu from the global header. If you have more than one profile, a **My Profiles** section appears on the menu with an indented list of available profiles. The profile that you are currently using has a check mark beside it.
2. From the indented list under **My Profiles**, select the profile that you want. The change takes effect immediately without having to log off. After you change profiles, you are directed to the Home page of the profile that is now the current profile.

Note: You can also change your profile by using My Settings. On the **My Settings** page, select a profile from the **Profile** list. If only one profile is assigned to you, no list appears and the profile field is not editable. The change takes effect immediately. You do not need to log off. After you change profiles, you remain on the **My Settings** page.

Changing your password

You can change your password.

About this task

Procedure

1. From your user menu on the global header, click **My Settings**.
2. Click **Change Password**.
3. Type the old password.
4. Specify a new password and confirm it.

Note the following password requirements:

- The maximum length is 32 characters.
- Passwords are case-sensitive.
- If your company uses single signon or LDAP, you cannot change a password with IBM OpenPages with Watson. You must change it with the single signon or LDAP application.

5. Click **Save**.

Changing your preferences for alert notifications

Notifications alert you of some action that was taken on a page. By default, notifications are disabled. When you modify notification settings, the change is applied immediately to all object types.

About this task

You can set preferences for the notifications you want to receive on objects and fields. For example, you could set a notification that alerts you when an object is successfully created or deleted.

Expand the alert notification window to see multiple messages. Keep the alert notification dialog open so that notifications are always visible.

Procedure

1. From your user menu on the global header, click **My Settings**.
2. In the Alert Notification pane, click **Edit**.
3. In the **Notifications** field, enable each option to activate.
4. Click **Apply**.

The menu bar

Your assigned role and permissions determine which menus and page views are available.

To reveal menu items for selection, hover over or click on a menu name.

Example: To display a list of Control objects (assuming you have access), select **Assessments** from the menu bar, and then click the **Controls** menu item.

The Home page

This topic provides links to information about the **Home** page.

- [“Using the Home page” on page 69](#)
- [“About filters” on page 83](#)
- [“Associations between objects” on page 108](#)
- [“Changing your password” on page 68](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)
- [“Notifications” on page 73](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Logging out” on page 66](#)

Using the Home page

The **Home** page displays objects that you plan to work on, assignments, or favorite reports. You can also use it to go to the details page of an object.

What you need to know about the **Home** page:

- Click **Home** from the global header to return to the **Home** page from any location. Either the **My Work** tab or the **Dashboard** tab opens, depending on which tab you used most recently.
- Select a tab on the **Home** page to make it active.
- Click the refresh icon on the tab to refresh the data on the **Home** page.
- Click a link on any pane on the **My Work** tab or **Dashboard** tab to access more information that item.
- On the **My Work** tab, click **View Details** to see all the items in a pane. A pane shows only a limited number of items on initial display.
- Personalize the layout of the **My Work** tab or **Dashboard** tab to contain the things that you work with most frequently. For more information, see [“Personalizing the My Work tab” on page 70](#) and [“Adding panels and widgets to your Dashboard tab” on page 70](#).
- If you collapse a pane on the **My Work** tab and leave the page, it is displayed collapsed when you return to it in this session and later sessions. If you expand it, that display preference is also retained.

Personalizing the My Work tab

You can control the display and order of the panes on the **My Work** tab on the home page. Whether this feature is enabled is determined by the administrator.

About this task

The content of the **My Work** tab comes from your profile. It contains numerous panes with predefined lists, filtered lists, and embedded reports that have been configured by the administrator. For panes you display, the system places them in two columns in the order listed. When you hide a pane, the remaining panes shift up.

Procedure

1. Click the Configure icon () on the **My Work** tab.
The system displays the **Personalize My Work Home Page Portlets** page. All panes available for your profile are displayed. The Configure icon is hidden if the administrator disabled this feature.
2. Select or clear **Show** in the header to control whether all panes are displayed or hidden.
3. Select or clear **Show** next to an individual row to control whether the pane is displayed or hidden.
4. Select a row and drag and drop it to where you want it placed on the tab. You can also use the arrow icons. You can select multiple rows at one time and place them as a group.
5. To discard the changes and start over, click **Restore Defaults**.
6. Click **OK**.
7. Review the changes on the **My Work** tab.

Results

If an administrator adds panes to the profile you belong to, the system displays them at the end of the **My Work** tab.

Adding panels and widgets to your Dashboard tab

The Dashboard tab allows you to create your own dashboard for your Home Page. It helps you to make your work flows more efficient by creating quick access to the tasks and information that you use the most. You own your dashboard and can tailor it to suit the way that you work.

About this task

The configuration of your dashboard is saved in the database and not in the web browser cache. This means that you can clear the cache, switch to a different browser, or log in from a different computer without changing the configuration of your dashboard.

You can add new panels to your Dashboard tab and for each panel add as many of the following types of widgets as you need:

- Filter Count widget
- Object Global Search widget. You can use advanced search techniques to refine a search. For more information, see [“Global search advanced techniques” on page 78](#).
- Static Web Link widget
- Add New widget, which creates an **Add New** button that is preconfigured for a specific object type.

The panels and widgets that you have access to are determined by the settings specified for your profile by an administrator.

Administrators can add panels to a default Dashboard tab that is displayed when you log on to OpenPages for the first time. It may contain some panels that are locked and cannot be changed or deleted by you. Administrators can also create new locked panels at any time. When a locked panel is saved by the administrator it will appear on your Dashboard tab the next time you log on and can not be edited by you. You can edit or delete any panels on your Dashboard tab that are not locked.

Note: If an administrator disables the Global Search component for your profile, then any existing Global Search widgets you have added to your Dashboard tab will be removed the next time you log on to OpenPages. The Global Search widget is only available for your Dashboard tab if the Global Search component has been enabled by an administrator.

Procedure

1. On your Home page, click the Dashboard tab.
2. Click **Add New Panel**.
3. In the Create New Panel window, type a title for the panel
4. Make a selection from the **Widget Type** list.

Only widgets that your profile has access rights to will be available to you. The only widget type that will appear unconditionally is the Static Web Link widget. The availability of the other widget types is dependent on the access rights that have been assigned to you by an administrator. Also, the Filter Count widget type will not be available if there are no object types in the system that have filters.

5. Select an object type and complete the fields that appear.
6. To add another widget to the panel, click the **Add New Widget** button.

You can change the order in which widgets appear in the panel by dragging them up or down. You can delete a widget by clicking the minus sign to the right of the widget.

7. When you are finished adding widgets to the panel, click the **Create Panel** button.

Results

The panels that you create appear on your Dashboard tab and can be repositioned by dragging. You can return to a panel at any time to edit or remove it, unless it is a panel that has been locked by an administrator.

Editing panels and widgets on your Dashboard tab

You can edit or remove unlocked panels and widgets on your dashboard tab. The panels and widgets that you have access to are determined by the settings specified for your profile by an administrator. Any panels that have been locked by an administrator cannot be edited or removed.

About this task

When you log on to OpenPages for the first time, there may be panels and widgets that have been added by an administrator. You can edit or remove any of the panels that are not locked.

Procedure

1. Open your **Dashboard** tab.
2. Perform any of the following tasks:

- To edit a panel, hover your mouse pointer over the panel, and click the edit icon (). If the edit icon does not appear, it means that the panel is locked and cannot be edited by you.
- To delete a panel, hover your mouse pointer over the panel, and click the delete icon (). If the delete icon does not appear, it means that the panel is locked and cannot be deleted by you.

- To move a panel, click and drag the panel to change its position on the page.
- To rename a panel, click the title of the panel, type a new name, and press Enter.

Using the widgets on the Dashboard tab

The widgets on your Dashboard tab provide shortcuts for the tasks that you perform most often.

Filter Count widget

The Filter Count widget appears in the dashboard panel as the object type name and a number representing the number of filters applied. When you click the number of filters, the Filtered List View page for that object type is opened. If there no filtered list for that object type, then the Filtered List View will not be opened.

Object Global Search widget

The Object Global Search widget appears in the dashboard panel as the object type name followed by a search box. When you enter a search term in the box, for example Accounts Receivable, the Search Results page provides a list of results.



Static Web Link widget

A Static Web Link widget displays a clickable link with the label that was provided for the widget. When creating this widget, you must begin the URL with the protocol, such as http://.

Add New widget

The Add New widget creates an **Add New** button for the object type that was specified when the widget was added to the Dashboard tab. Clicking the button, displays the Add New dialog box for that object



type.

Using the calendar widget

Use the calendar widget to choose a date. The calendar icon is displayed anywhere a date can be entered

About this task

The calendar defaults to the last date you entered in the current session. If you have not changed the date, it defaults to today's date.

Procedure

1. Click  to open the calendar.
2. Choose a date or click **Reset** to clear the last saved date. The next time that you open the calendar, it defaults to today's business date.

Accessing the Recently Used tab

When you add new objects, the parent objects, users, and user groups that you previously selected are displayed in the **Recently Used** tab.

About this task

How and where the recently used history is saved depends on the user interface that you use:

- In the Standard UI, the list of recently used parent objects is cleared if you clear the browser history.
- In the Standard UI and Task Focused UI, recently used users and user groups are stored in the database and cannot be manually cleared. Up to ten recently used users and user groups are saved.

Procedure

1. In the Standard UI, open the Add New wizard for an object type.
2. On the **Parents** tab, parent objects that you have recently accessed are displayed on the **Recently Used** tab. Choose a parent object and continue using the Add New wizard.
3. In fields where you can choose a user or user group, users and user groups that you have recently accessed are displayed on the **Recently Used** tab. Choose a user or user group and continue using the Add New wizard.

Notifications

Notifications alert you of some action that was taken on a page.

By default, notifications are disabled. You can set preferences for the type of notifications you want to receive on objects and fields. For example, you could set a notification that alerts you whenever an object is successfully created or deleted.

Use notifications for the following tasks:

- Set preferences for the types of notifications you want displayed.
- Expand the alert notification dialog to see multiple messages.
- Keep the alert notification dialog open so that notifications are always visible
- Show or hide notifications in the alert box.

Lifecycles

Lifecycles define the stages that an object type can follow. Lifecycles work with questionnaire assessments and incidents but can be extended to other objects. Users are informed in an email that they must complete a task, for example, answer questions in a questionnaire assessment. When the user completes the task, the object moves to the next task and the next user. The lifecycle process is finished when all the tasks are completed. You have a record of who did what task and when.

At each lifecycle stage, the system:

- Identifies a lifecycle assignee
- Defines the actions available to move to a different stage
- Sends an email to the new lifecycle assignee
- Defines other attributes (read-only and in review) that are related to the current stage

Lifecycle information is stored on the object instance. Open an object in the Activity or Detail View to see its lifecycle information. Lifecycle fields are read-only, except for **Update Assignee**. The assignee for a stage is defined in the lifecycle trigger. An object can have only one lifecycle assignee per stage. A user can add a comment with each transition.

For more information see the *IBM OpenPages with Watson Solutions Guide*.

Natural language processing services

Implementing and configuring a natural language processing service is an optional feature in IBM OpenPages with Watson. If your administrator has implemented and configured a natural language processing service, you can use it to interpret and classify text that you enter in OpenPages. A natural language processing service understands the intent behind text and returns corresponding suggested classifications, together with a confidence score.

You can use a natural language processing service with any objects in OpenPages but it is typically used to classify loss events, waivers, issues, and incidents. For example, you can use it to support your decision making when you classify a loss event to the correct Basel II categorization. You can also use it to support decision making when you classify waivers as exceptions to regulatory compliance. The text description that you enter is used as input to a natural language processing service that has been trained with knowledge from your domain specialists.

Terms to understand

natural language processing service

A natural language processing service uses machine learning algorithms to return the top-matching predefined classes for short text inputs. Your administrator configures, trains, and connects to a natural language processing service from OpenPages. A natural language processing service learns from your data and then can return information for texts that it is not trained on. Your administrator can link OpenPages to one or more services, either to support different purposes or multiple languages.

The following natural language processing services are supported:

- IBM Watson Discovery
- Natural Language Classifier services in IBM Cloud

IBM Watson Discovery

IBM Watson Discovery is a natural language processing service on IBM Cloud Pak® for Data. It uses the Analyze API. It can be used only in the Task Focused UI.

Natural Language Classifier

A Watson service in IBM Cloud. It can be used in both the Task Focused UI and the Standard UI.

Classifier Configuration

A classifier configuration in OpenPages defines connection information to an instance of a natural language processing service. It also specifies the classifier target fields for the instance. Your administrator defines a classifier configuration.

Classifier Field

A classifier field is a field group in OpenPages that contains the name of a classifier configuration and a classifier input field. In the Task Focused UI, an IBM Watson Insights button is displayed in place of a classifier field (taxonomy classifications) or as an action (object associations). In the Standard UI, the **View Suggestions** button is displayed next to a classifier field.

Classifier Input Field

A classifier input field is a field in OpenPages that contains the text input that a natural language processing service interprets and classifies. It is typically a **Description** field.

Classifier Target Fields

Classifier target fields are fields in OpenPages that are set when a user chooses suggestions for a classifier field.

Watson Insights

In the Task Focused UI, the underlying infrastructure in OpenPages is tied to IBM Watson Insights. An IBM Watson Insights button is displayed and suggestions are displayed in a **Watson Insights** panel.

An IBM Watson Insights button appears only if a natural language processing service is able to make a suggestion based on the text entered. The button does not appear if the text does not generate suggestions.

User interaction on IBM Watson Insights is the same regardless of whether the underlying natural language processing service is IBM Watson Discovery or a Natural Language Classifier.

Chapter 5. Searching for information

About global search

IBM OpenPages with Watson global search uses advanced text processing techniques and analysis to search across all object types to find records relevant to your search terms.

The following table shows some ways that global search responds to an initial search:

Table 18. Global search results	
If you search for ...	Expect to see records that contain...
"trade"	"trades", "trading", and "traded" that is, the words do not need to be in the exact form.
"step missing" (without quotation marks)	"missing process steps", that is, the words do not need to be in order.
"security breach" (with quotation marks)	"security breach" but not "breach of security", that is, word order matters with phrase search.
"BaNk"	"Bank", "bank", "BANK", and "BANKING", that is, cases are ignored.

For more information, see [“Global search advanced techniques” on page 78](#).

Access points from both user interfaces

Global search can be accessed from the Task Focused UI and the Standard UI. Functionality is the same from both user interfaces with the exception that search facets in the **Filters** pane are available only in the Standard UI.

For more information, see:

- [“Searching for objects using global search \(Task Focused UI\)” on page 80](#)
- [“Searching for objects using global search \(Standard UI\)” on page 80](#)

Global search versus other search methods

You can use several methods to find specific information in IBM OpenPages with Watson.

The following search methods are available in IBM OpenPages with Watson:

- Global search is available if it has been configured by an administrator.
- Global search is available in both the Task Focused UI and the Standard UI.
- Global search uses advanced text processing techniques and analysis, such as stemming, tokenization, and natural language processing to find and return records that are relevant to your search terms.
- Grid view search in Task Focused UI.

Grid view search limits the information that is displayed in a list of objects. Grid view searches look for an exact match of the words or characters that are typed in. They do not utilize global search. For more information, see [“Using filters in Grid Views” on page 28](#).

- Filtered List Views in the Standard UI.

Filter List Views look for an exact match of the words or characters that are typed in: everything else is ignored. They do not utilize global search. For more information, see [“About filters” on page 83](#).

Use the appropriate method based on the access point and what you are looking for. If you need to find records that must match an exact stream of text, use Grid view search or Filtered List Views. If you are attempting to find records relevant to search terms, use global search.

Searching by using global search looks for the specified criteria across all object types - and any attached files, if enabled - in different arrangements and returns the results by word relevance. Search results are ranked in order from most relevant to least. In the Task Focused UI, a Search panel can be configured to look at all or specific object types.

Unlike the other search methods, global search does not attempt to find an exact match of letters, words, or pattern of characters such as "-", ":", "#", "(", ")", "<", ">", and so on, that can occur in a text.

Global search disregards the order or placement of search terms, except for searching phrases. For example, searching for "ancial serv" does not find "Financial Services". And searching for "Be" does not find "Benefits". Also, searching for "Be" does not find "Be" because "be" is considered a common word, and so is not indexed. Indexing common words and including them in search results can skew search results and relevancy ranking. This is because common words occur so frequently that they can overtake other, more relevant words in relevancy ranking. For information about searching for phrases see ["Phrases"](#) on page 78.

The following words are other common words to be avoided: a, an, and, are, as, at, be, by for, if, in, into, is, it, no, not, of, on, or, such, that, the, their, then, there, these, they, this, to, was, will, and with.

These are common words in English. Equivalent words in non-English languages should likewise be avoided.

This is because global search does not do a textual match of what is being searched, but instead does lexical analysis with natural language processing. Global search breaks the stream of data into tokens, and then breaks tokens into the root meaning of each word.

For example, if you search for "management", the search finds records that contain all variations of the root word "manage", such as "management", "managements", "manager", and so on.

Global search advanced techniques

In most cases, searching with terms and phrases is sufficient to find the record you are looking for. However, global search supports advanced search syntax that you can use to further control your search.

Using these techniques takes practice and a thorough understanding of the search syntax and the data set.

Further refinement can be done by using and combining advanced search syntax, such as wildcards, Boolean logic, grouping search terms, and more.

Terms

The simplest way to use global search is to search for one or more terms.

A term is a simple word such as "risk" or "security" or "management". Search results are more relevant and specific when you use more terms in your search. The order and capitalization of terms are ignored. For example, searching for "Security RISK management" is the same as searching for "management security risk" (without quotation marks).

Phrases

Phrases are similar to terms, except the words are in quotation marks.

All the words in a phrase must exist and must be in the order that they are entered, with no other words in between. For example, the phrase "risk security management" is not the same as "security risk management" or "risk management" (with quotation marks). Furthermore, a search for "risk management" excludes records with the phrase "risk aversion management" because of the word "aversion" in the middle of the phrase.

You can combine multiple phrases to further refine search results. For example, searching for "security risk" "risk management" (two phrases, each with quotation marks) finds records that have both phrases.

Wildcards

Global search supports single and multiple character wildcard searches within single terms.

To perform a single character wildcard search, use the "?" symbol. To perform a multiple character wildcard search, use the "*" symbol.

The single character wildcard search looks for terms that match with the single character replaced. For example, to search for both "test" and "text", use te?t.

Multiple character wildcard searches look for 0 or more characters. For example, to search for "management" and "managerial" use manag*.

Wildcards can be anywhere in a term but are not supported at the start of a term. That is, "*siness" and "?usiness" are not supported.

Wildcards are not supported within phrase searches.

Boolean

Boolean operators allow terms and phrases to be combined through logic operators to further refine search terms.

Global search supports AND, OR, NOT, "+" and "-" as Boolean operators. Boolean operators must be in uppercase.

The AND operator is the default operator for global search. This is why, the more terms are searched, the fewer search results are returned. For example, searching for "US UK" is the same as searching for ""US OR UK"" (without quotation marks) and returns records that have both "US" and "UK".

Use the OR operator to find records that contain either search terms. For example, searching for "US OR UK" (without quotation marks) returns records that have either only US or only UK or both.

Use the NOT operator to exclude records that contain specific search terms. For example, searching for "risk management US NOT UK" (without quotation marks) finds records that have the terms "risk", "management", and "US", but any records that have "UK" are excluded from the search results.

The "+" operator is identical to the AND operator. Use it to explicitly specify that a term must exist in a search result. For example, searching for "+US UK risk management" (without quotation marks) returns records that must have "US". However, since global search default to AND as the default Boolean operator, using the "+" operator has no effect unless it is used with complex search syntax such as "+US OR UK OR risk OR management" (without quotation marks).

The "-" operator is identical to the NOT operator. Use it to explicitly specify that a term must be excluded from search result. For example, searching for "-US UK risk management" (without quotation marks) returns all records that have "UK", "risk", and "management", but none that contain "US".

Grouping

Global search supports parentheses to group search terms to form subsearches.

You can use grouping to control and better refine search terms, especially with regards to Boolean logic. For example, to search for "risk management" for both "US" and "UK", enter "(US OR UK) AND risk management" (without quotation marks). Or, to search for the phrase risk management and exclude "US" or "UK", use "-(US OR UK) risk management".

Fuzzy matches

A fuzzy match uses a tilde (~) to search for a term similar in spelling to other words.

For example, to search for a term similar in spelling to "roam", use "roam~" (without quotation marks). This search finds records that contain words like foam and "roams".

Proximity

Uses a tilde (~) to search for terms in a phrase that are within *N* or fewer words apart.

For example, "risky business"~10 (with quotation marks) finds records that have "risk" and "business" that are 10 words or less apart.

Boosting

Boosting uses a caret sign (^) to give specific terms more relevancy over others. For example, searching for "risk management US^5 UK" (without quotation marks) ranks records with "US" higher over records with "UK".

Searching for objects using global search (Task Focused UI)

You can quickly find and act upon the objects that are relevant to your GRC tasks by using global search.

Before you begin

Learn about the many ways you can search for information using global search. For more information, see [“Global search advanced techniques” on page 78.](#)

Procedure

1. Access the Home page.
2. Click the dashboard tab.
3. Find a Search panel. The name can vary, depending on how it was configured by an administrator. There may be multiple Search panels, for all or specific object types.
4. Enter text in the Search panel.
Up to 25 objects that match the search are displayed, ranked from the most to least relevant. If the Search panel is configured to search the content of file attachments, file objects are also listed. Only objects that you have permission to view are displayed.
5. Click an object in the Search panel result list to open it in a new tab.
6. Click  to mark an object as a favorite.
The object is added to the Favorites panel.

Searching for objects using global search (Standard UI)

You can quickly find and act upon the objects that are relevant to your GRC tasks by using global search.

Before you begin

Learn about the many ways you can search for information using global search. For more information, see [“Global search advanced techniques” on page 78.](#)

About this task

IBM OpenPages with Watson global search uses advanced text processing techniques and analysis to search across all object types to find records relevant to your search terms.

You can refine the results of your search even further by using the search facets in the **Filters** pane. For more information, see [“Refining search results \(Standard UI\)” on page 81.](#)

Procedure

1. Type the content that you are looking for in the **Global Search** box.

The search results for all of the objects for which you have permission to view are displayed and ranked from the most to least relevant, irrespective of object type. The **Filters** pane also appears.

2. Optional: From the **Filters** pane, apply one or more filters on the **Object Type**, **Date**, **User**, or **Folder** facet criteria and click **Apply** to limit your search results.
3. Click an item in the search results.

The Detail View for the selected object opens. Depending on how your profile is set up, it is possible to have the selected object open in an Activity View.

Refining search results (Standard UI)

Search results can be further refined by either adding or removing search terms or phrases to the original search string.

For example, you can type in Robert and see some results. Then, you can type in Robert Williams and further limit your results to records containing those two words only.

- You can use **Object Type** to limit search results to one or more object types. When more than one object type is selected, search results are narrowed down to include the selected object types.
- You can use **Date** to limit search results to a combination of **Creation Date**, **Last Modified Date**, or **Other Dates** on the object. For each, you can use a specific date or a range of dates. When more than one date filter is selected, search results are narrowed down to include the selected dates.
- You can use **User** to limit search results to a combination of objects that are **Created By** or **Last Modified By** a user, or by a **Name on the Object**. For each, you can specify yourself, or search for other users. When more than one user filter is selected, search results are narrowed down to include the selected users.
- You can use **Folder** to limit search result set to those objects that include the entered value in the full path to the object. This field is not case-sensitive. You can type in a full or partial path into the entry box. Folder path search terms can cross folder path boundaries. However, the terms must be complete.



Attention: As you combine filters, search results are limited to the combination of filters that you applied. You can remove filters by clicking **Clear** or **Clear All**.

For more information about finding specific information, see [“Global search advanced techniques” on page 78](#).

Searching file attachments (Standard UI)

IBM OpenPages global search can be configured so that you can search not only on objects content, but also on the contents of any file attachments for which you have permission.

About this task

The administrator can configure which file types to include for search, such as .doc, .rtf, .xls, .ppt, .txt, .pdf, and so on.

Procedure

1. Enter a search expression in the **Global Search** box. The search results for all of the objects for which you have permission to view are displayed.
2. The search results returned for file attachments, if any, include a link that provides immediate access to the file attachment itself.
3. Click **View file** to directly access the content of the file attachment.

Chapter 6. Filtering information

About filters

To make data more manageable for viewing and selection, use filtering options to limit the information that is returned for a specific object type. Only data that matches the criteria is displayed in the list.

Access an object on the Filtered List View or Grid view when you select an item from the menu bar. Running a filter displays search results based on the property fields that you or the filter define. The results of a filtered search are displayed.

Click the name of an item in the search results to open the Detail page. If multiple items are returned from the search, you can use the Iterator box, which is on a Detail or Activity View page, to move through, view, and edit each object in the results list without returning to the Filtered List View or Grid View. If you are on a grid view you may be able to edit the data in place.

The following types of filters are available:

- Saved filters have been saved either by you for your own use or by an administrator for group or public use.
- Public Filters are predefined by administrators and are available for group or public use. You can select one of these filters but you cannot edit or delete them. You can copy a public filter to use as a template, change the search criteria, and then save it as one of your own filters.
- My Filters are private filters that you define and save. You can copy, edit, rename, or delete any filters that you create.
- Ad hoc filters are filters that you create and run without saving. These filters are temporary and do not appear on the filters list.

Type text in the Filter Selector and then press **Enter**. The results will be filtered to include those records that contain the entered text in either the Name or the Description field of the object.

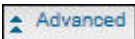
- You can add complex logic to a search filter to help refine your search. By default, the system only retrieves objects that matched all search criteria. For example, if you had 3 fields defined in your advanced search filter, the system would retrieve objects that matched all 3 fields based on the following logic: 1 AND 2 AND 3.

If you want to broaden the search so it includes field 1 and either fields 2 or 3, you could use the complex logic feature to modify the default search logic. For example, you could modify the logic in the search filter to include the OR operator so the search would retrieve all objects that matched field 1 and matched either fields 2 or 3 based on the following logic: 1 AND (2 OR 3).

Showing or hiding the Advanced filter panel

In the Filtered List View or Grid View, you can show the Advanced filter panel to create or edit a filter, and hide it when you are done.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View or Grid View, use one of the following options:
 - Click  to show the Advanced filter panel.
 - Click  to hide the Advanced filter panel.

Showing or hiding the Analytics bar

By default, the Analytics bar is hidden from view in the Filtered List View or Grid view for all objects. You can show the Analytics bar for individual object types.

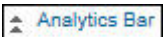
Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View or Grid View, use one of the following options:

- Click  to show the Analytics bar.

You can use the scroll bars to view all the filters available in the Analytics bar if they are not all shown on a single screen.

If there are no saved filters available, the message, "There are currently no filters configured to show in the Analytics Bar.", is shown instead of the Analytics bar.

- Click  to hide the Analytics bar.

View filters in the Analytics bar

When you use the Filtered List View or Grid view, you can also view filters in the Analytics bar.

The Analytics bar provides an overview of saved filters for an object. Each filter also shows the number of results available.



Figure 20. Example of the Analytics bar

You can customize the Analytics bar to focus on specific filters that you want to follow. For example, you could configure the Analytics bar to provide an overview of the number of assessments in each status.

By default, when you show the Analytics bar for the first time, the filters that are shown are the same as those listed in the Filter selector.

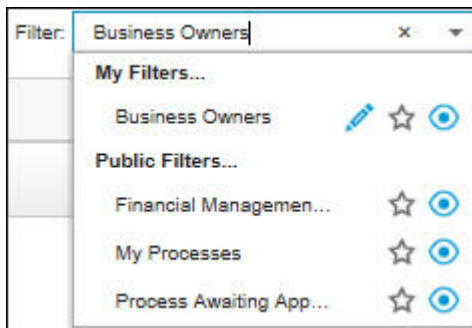


Figure 21. Example of the Filter selector

If you create an advanced filter or copy a filter, it is automatically added to the Analytics bar. If you delete a filter, it is also removed from the Analytics bar.

Settings that you apply in the Analytics bar are your personal settings, and do not apply to other users.

Showing or hiding filters in the Analytics bar

By default, when you show the Analytics bar for the first time, the filters that are shown are the same as those listed in the Filter selector. You can customize the Analytics bar to show only the filters that you

want to follow, and hide others. You can quickly see which filters are shown  or hidden  in the Analytics bar by viewing them in the Filter selector.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, click  to open the Analytics bar.

3. To hide a filter, click  for the filter that you want to hide, then click .

The icon changes to .

4. To show a filter, click  for the filter that you want to show, then click .

The icon changes to .

5. You can also show and hide filters from the Filter selector by clicking  and  beside the filters that you want to show and hide.

Tip: In the Filter selector, you can quickly see which filters are shown or hidden in the Analytics bar.

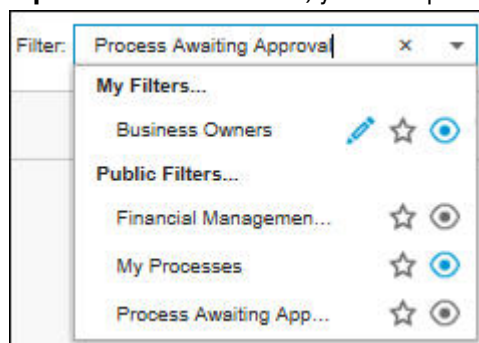


Figure 22. Example of shown and hidden figures in the Filter selector

Changing the order of filters in the Analytics bar

You can change the order that filters are shown in the Analytics bar.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, click  to open the Analytics bar.
3. In the Analytics bar, click  in the filter panel that you want to move.
4. Click and hold  and drag the filter to the new position.

Setting a parent filter

You can create filters based on parent information.

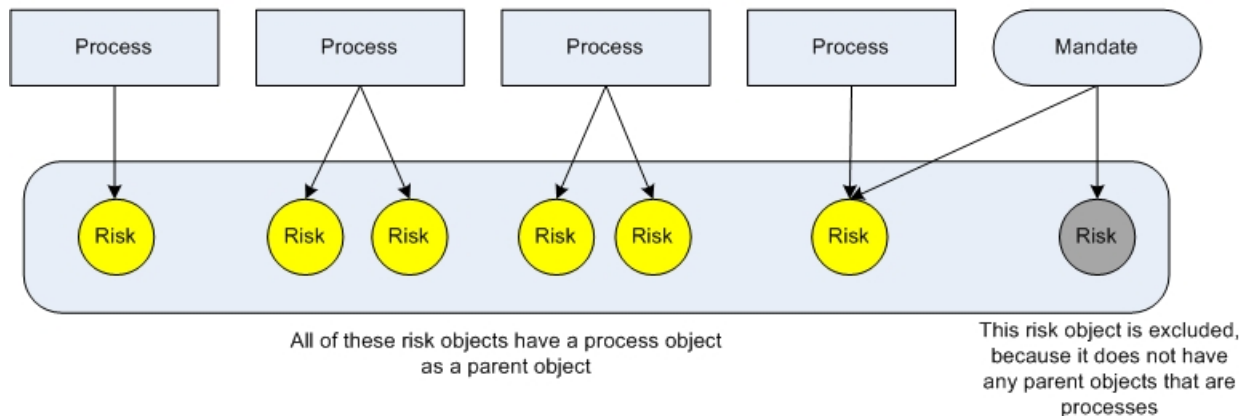
About this task

The filter can be based on the object type of the parent, or on the object type and characteristics of the parent. You can also filter on the primary parent object.

For example, you can use a parent-based filter to display risks that have a process object as their parent.

Filter criteria

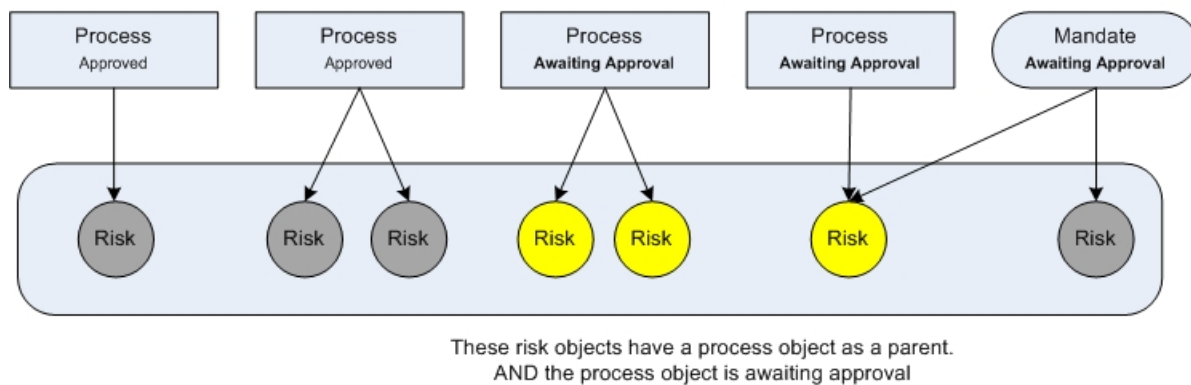
Has a process as its parent



You can also use a parent-based filter to display risks that have a process as their parent, where the status of the parent process is Awaiting Approval.

Filter criteria

Has a process as its parent AND
The parent process is awaiting approval



When you are filtering business entities, the **Parent Criteria** options do not apply. Business entities are at the top of the object hierarchy, so you cannot filter by parent type or by parent type and field. Also, since a business entity can have only one parent, the **Primary Parent Only** option does not apply.

Filters can be built on one parent type only.

This is a feature for users; administrators cannot create parent-based filters in profiles.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, select the object that you want to associate with a parent.
3. Create a filter. For more information, see [“Creating advanced filters” on page 87](#).
4. From **Parent Criteria** in the Advanced Filter panel, choose one of the following options:
 - To filter by the direct parent, click **Parent Type**. Optionally, you can enable the **Primary Parent Only** check box.
 - To filter by parent type and parent attribute, click **Parent Type and Field**. Optionally, you can enable the **Primary Parent Only** check box. Choose the field name and define the value for which to filter.

Setting a default filter

You can select any saved filter as the default filter to run in the Filtered List View. Saved filters are listed in the Filter selector. If you are using the Analytics bar, the filters might also be visible from there, depending on your settings. After you set a default filter, the next time you log in, the filter results are shown when you access the object type in the Filtered List View.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, use one of the following options to set a default filter:

- In the Filter selector , click  beside the filter that you want to set as default.
- Click  to open the Analytics bar. Click  for the filter that you want to set as default, then click .

When default filter is set, a gold star  is shown in the Filter selector, in the filter panel in the Analytics bar, and in the Configure settings for the filter.

You can remove the default filter, by selecting another filter as the default or by clearing it by clicking the gold star beside the filter.

Creating advanced filters

You can create a filter for an object type to narrow search results and locate information quickly.

About this task

To create a filter, select the fields to use for filtering and define the search criteria. Consider the following options:

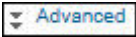
- Use complex logic with logical operators and parenthetical expressions to further refine search results.
- Some special characters have limitations.
- Text that you type into text boxes is not case-sensitive.
- Some object types might have hidden values that are configured for enumerated fields. By default, hidden values are not displayed. You must display hidden values before they can be used for filtering.

For object types that are recursive, the **Parent Type** list does not include the recursive object type. For example, if you are filtering sub-mandates, the **Parent Type** list does not include Sub-mandate.

If you create a new filter that uses the character % as the value, for example Name Contains %2, the Name Contains value field appears empty after you load the filter: the % character does not appear. However, the filter runs properly.

Do not include long string fields that are encrypted using field level encryption in the search criteria because they can return unexpected results.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, click  to display the Advanced Filter panel.
3. In the Advanced Filter panel, click **New**.
4. Select the field to use in the search and define search conditions.

5. To use more than one field in the filter, click  and add more search criteria.
6. To run the filter, click **Filter**.
7. To save the filter, click **Save**.

Saved filters are available from the **My filters** category in the **Filter** selector.

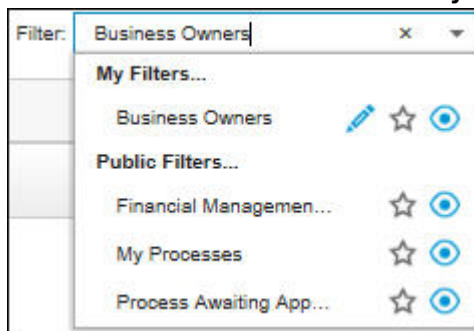


Figure 23. Example of the Filter selector

If you are using the Analytics bar, they are also available from there.



Figure 24. Example of the Analytics bar

For more information, see [“Running saved filters” on page 88](#).

Running saved filters

Filters that you create and save are listed under My Filters in the Filter selector. Filters that an administrator creates for group use are listed under Public Filters in the Filter selector. If you are using the Analytics bar, the filters might also be visible from there, depending on your settings.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, run a filter by using one of the following options:

- In the Filter selector , click the filter to run.
- Click  to show the Analytics bar, and click the filter to run.

When you run a filter from the Analytics bar, it is automatically selected whenever you refresh your browser, and it overrides any default filter.

Editing saved filters

You can modify search criteria for filters that you create. These filters are listed under My Filters in the Filter selector. If you are using the Analytics bar, the filters might also be visible from there, depending on your settings.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, edit a saved filter by using one of the following options:

- In the Filter selector , click  beside the filter that you want to edit.
- Click  to show the Analytics bar. Click  for the filter that you want to edit, and then click .

When you edit a filter from the Analytics bar, you must save it to see the updated number of results available in the Advanced Filter panel.
- 3. In the Advanced Filter panel, modify the filter values and click **Save**.

Deleting saved filters

You can delete a filter from My Filters in the Filter selector. If you are using the Analytics bar, and the filter is shown, you can also delete it from there. When you delete a filter, if there are no other saved filters available, a message is shown instead of the Analytics bar.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, delete a saved filter by using one of the following options:
 - In the **Filter** selector click  beside the filter that you want to delete.
 - Click  to show the Analytics bar. Click  for the filter that you want to delete, then click . Click **Delete** to confirm the deletion.

Copying filters

You can copy an existing filter and use it as a template. The filter is available from My Filters in the Filter selector. If you are using the Analytics bar, the filter might also be visible from there, depending on your settings.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, copy a filter by using one of the following options:
 - In the Filter selector , click  beside the filter that you want to copy.
 - Click  to show the Analytics bar. In the Analytics bar, click  for the filter that you want to copy, and then click .

The filter criteria is displayed in the Advanced Filter panel.
3. In the Advanced Filter panel, click **Save As**, then rename the new filter.
4. Edit fields as necessary, then click **Save**.

Renaming filters

You can rename a private filter.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, use one of the following options:

- In the Filter selector , click  beside the filter that you want to rename.
- Click  to open the Analytics bar, click  for the filter that you want to rename, and then click .

The filter criteria is displayed in the Advanced Filter panel.

3. In the Advanced Filter panel, click **Rename**.
4. Type the new name in the **Filter Name** field and click **OK**.

Clearing filter results

If you have applied a filter to a Filtered List View or Grid View, you can clear the filter.

About this task

You can tell whether a filter is applied by looking at the message bar. If a filter is applied, the **Clear Filter** option is available. If a filter is not applied, the message bar displays **No filter applied**.

When you clear a filter, the search results from the filter are cleared. The name of the filter remains in the Filter selector. You can apply a new filter, ignore the value in the Filter selector, or select and delete the filter name in the Filter selector.

Procedure

1. From the menu bar, select the object type.
2. Go to the Filtered List View or Grid View for the object.
3. In the Filter selector  or in the Analytics bar, click the filter that you want to clear.
4. Click .

Exporting data from filter results

You can export data into a spreadsheet (.xls format) from any filter that you run. All objects that match the filter criteria are exported.

About this task

You can tailor the fields and objects that are exported based on what you want to do with the data. You can further tailor what fields are exported by using Compact Mode to restrict the fields that are displayed. For more information about Compact Mode, see [“Controlling the column display in a Grid or Filtered List View”](#) on page 96.

Your administrator sets the maximum number of items that you can export. If you exceed this limit, you must reduce the number of items in the filter results or select fewer levels of object types to export.

Procedure

1. From the menu bar, select the object type.
2. Go to the Filtered List View or Grid View.
3. To export data from an ad hoc filter, create an advanced filter without saving, and click . For more information, see [“Creating advanced filters” on page 87](#).
4. To export data from a saved filter, use one of the following options:
 - In the Filter selector , select the filter to run.
 - In the Analytics bar, click the filter to run.
5. When the results of the filter are shown in the Advanced Filter panel, click **Export** .
6. In the **Export** dialog box, select the fields that you want to export. The default is **All Fields**. This selects all fields in the Detail View configured in the profile for the object types you want to export. Optionally, choose **Fields currently displayed** to select only the fields that are displayed for the object types.
7. In the **Export** dialog box, select the object types that you want to export. The default is the top-level object. You can select up to two levels of objects in addition to the object types configured in the view, depending on the configuration that your administrator set up.
8. Click **Export**.
9. Follow your browser instructions to save or open the file.

Results

A Microsoft Excel workbook opens, with one worksheet for each object type that you selected. The workbook is in FastMap format. FastMap is an import capability, which might be configured for you by your administrator. Using FastMap, you can edit the data and then import it using the same workbook.

This video demonstrates how to use FastMap to bulk load data:

<https://youtu.be/qkysGm9AmWg>

For more information about FastMap, see *Using FastMap* in the *IBM OpenPages with Watson Administrator's Guide*.

Chapter 7. Viewing information

View pages

When you select an object type from the menu bar, a Filtered List View or Folder View page is displayed. The IBM OpenPages with Watson application provides the following View pages:

- Overview - this view page displays a tree-view of all the objects in the entity or folder hierarchy that are associated with the selected object type. This is the view you see when you click any object that contains the word Overview.
- Folder View - this view page displays objects of the same type in a folder hierarchy that were created for this object type. From a Folder View page, you can add, move, or delete objects.
- Filtered List View - this view page displays search filter options that you can use to display objects of the same type that match your search criteria.
- Detail View - this view page displays the fields of an object for viewing or editing, and any associations it has to other objects. This is the view you see when you click, for example, the linked name of an object from a Folder, List, Filtered List, or Overview page. From an object's Detail View page, you can perform a variety of actions, such as add, associate, disassociate, and delete objects.
- Grid View - this view page can display multiple object types in a hierarchy, can use bulk update, and can have editable fields.
- Activity View - this view page is configured by your system administrator to meet your unique business needs. If configured, activity pages display selected details of object fields and associated objects. From an object's Activity View page, you can perform activities on both the selected object as well as on multiple associated objects. If configured, this page appears as a selection in the Current View list on an object's Detail View page. If a Detail View is not configured for an object, the Activity View page appears as the only detail page.
- List View - this view page lists objects of the same type in an alphabetical list format. This is the page you see when you select, for example, the Business Entities or Milestones menu item from the menu bar. From an object's List View page, you can perform a number of actions, such as add, rename, and move objects.

Filtered List View

This topic provides links to information about the Filtered List View.

- [“About filters” on page 83](#)
- [“Clearing filter results” on page 90](#)
- [“Controlling the column display in a Grid or Filtered List View” on page 96](#)
- [“Copying filters” on page 89](#)
- [“Creating advanced filters” on page 87](#)
- [“Deleting saved filters” on page 89](#)
- [“Editing objects in a Grid View or Filtered List View” on page 113](#)
- [“Editing saved filters” on page 88](#)
- [“Exporting data from filter results” on page 90](#)
- [“Showing or hiding the Advanced filter panel” on page 83](#)
- [“Notifications” on page 73](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“Setting a default filter” on page 87](#)
- [“Setting a parent filter” on page 85](#)

- [“Showing or hiding the Advanced filter panel” on page 83](#)
- [“Showing or hiding the Analytics bar” on page 84](#)
- [“Renaming filters” on page 90](#)
- [“Running saved filters” on page 88](#)
- [“View filters in the Analytics bar” on page 84](#)
- [“View pages” on page 93](#)

Folder View

This topic provides links to information about the Folder View.

- [“Adding an external link to a folder” on page 125](#)
- [“Adding files from the Folder View or Browse Attachments option” on page 122](#)
- [“Adding folders” on page 119](#)
- [“Deleting objects” on page 116](#)
- [“Editing folder descriptions” on page 120](#)
- [“Moving objects to a different folder” on page 120](#)
- [“Notifications” on page 73](#)
- [“Renaming an object or folder from the Folder View ” on page 118](#)
- [Select a different report period for this view?](#)
- [“View pages” on page 93](#)

Detail View

This topic provides links to information about the Detail View.

- [“Adding or attaching files from the Detail View” on page 122](#)
- [“Adding a child object from the Detail View” on page 107](#)
- [“Adding comments to an Action Item” on page 138](#)
- [“Adding a form” on page 121](#)
- [“Adding a signature” on page 127](#)
- [“Associations between objects” on page 108](#)
- [“Associating objects from a Detail View or Activity View” on page 109](#)
- [“Attaching an external link to an object” on page 125](#)
- [“Copying file links” on page 126](#)
- [“Copying objects from a Detail View or Activity View” on page 114](#)
- [“Deleting objects” on page 116](#)
- [“Editing objects in Detail View ” on page 113](#)
- [“Locking objects” on page 129 and “Unlocking objects” on page 129](#)
- [“Moving objects to a different folder” on page 120](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Notifications” on page 73](#)
- [“Printing Detail View information” on page 101](#)
- [“Changing the primary parent association ” on page 111](#)
- [“Renaming an object from the Detail View” on page 117](#)
- [“Searching for objects using global search \(Standard UI\)” on page 80](#)
- [Select a different report period for this view?](#)

- [“Viewing files or links from the Detail View page” on page 100](#)
- [“Viewing locks” on page 130](#)
- [“Viewing signatures” on page 128](#)
- [“Viewing the change history of objects” on page 98](#)
- [“Viewing and comparing marked-up changes to text” on page 99](#)
- [“Viewing lifecycle information” on page 100](#)
- [“View pages” on page 93](#)

Grid View

This topic provides links to information about the Grid View.

- [“About filters” on page 83](#)
- [“Copying objects from a Grid View” on page 115](#)
- [“Editing objects in a Grid View or Filtered List View” on page 113](#)
- [“Associating objects from a Grid View” on page 108](#)
- [“Adding a parent object from the Grid View” on page 107](#)
- [“Showing or hiding the Analytics bar” on page 84](#)
- [“View filters in the Analytics bar” on page 84](#)
- [“Exporting data from filter results” on page 90](#)
- [“Clearing filter results” on page 90](#)
- [“Controlling the column display in a Grid or Filtered List View” on page 96](#)
- [“View pages” on page 93](#)

Activity View

This topic provides links to information about the Activity View.

- [“Associating objects from a Detail View or Activity View” on page 109](#)
- [“Associations between objects” on page 108](#)
- [“Copying objects from a Detail View or Activity View” on page 114](#)
- [“Notifications” on page 73](#)
- [“Searching for objects using global search \(Standard UI\)” on page 80](#)
- [“View pages” on page 93](#)

List View

A **List view** displays objects of the same type in a list format, with objects listed in ascending order. Depending on the object type, List Views can be displayed as either a page or a pane.

By default, List Views are displayed as pages for the following object types: Business Entities, Milestones, and Milestone Action Items, and as panes on a Detail view page for listing associated parent or child objects.

If you have a Folder or Filtered List view for Business Entities, the default List view for this object type is not used.

Navigating to an object's Detail View page

Use this procedure to open an object's Detail View page.

Procedure

1. Select the object type from the menu bar.
2. From the **Filter List View**, select a search filter to narrow the list of objects that are displayed.
3. Click the name of the object to view its detail.

Controlling the column display in a Grid or Filtered List View

For each Grid View or Filtered List View, you can define what information is displayed on the page. The fields that are available in the views are configured by the administrator.

About this task

For each view, you control how the results are displayed. Define the name field in the first column because it is the only required field. Then, in Full Mode, identify what fields of information are displayed. Select the fields to display from the fields that the administrator configured.

- You can create another view and further restrict what fields are displayed in Compact mode. You can move between the two views. Fields that enable Compact Mode are the only fields that are displayed when Compact Mode is enabled. The fields that can be displayed in Compact mode are a subset of the fields that are displayed in Full Mode.
- To reorder multiple columns, select multiple rows by clicking **Ctrl** and the fields to reorder. Values for all fields that are configured by your administrator appear in the Info Card for that object. You can toggle the display between Compact and Full mode for an object by clicking the icon next to the label for the name field. You can reorder the sequence of fields in the results. If the administrator changes the view configuration, the view reverts to the default.

Procedure

1. Select the object type from the menu bar.
2. In the Filtered List View or Grid View, click **Grid Actions > Manage Columns**.
3. To remove information from the view, disable **Full Mode** next to the field.
4. To display fields in Full Mode, enable **Full Mode**.
5. To display fields when the column view is collapsed, enable **Compact Mode**.
6. To control the order of fields in the results, select the fields to order. Click the up or down arrows to move fields to the position.
7. Select how to use the column information in the sorting process in the **Sort Order** field: select **Only this item** to sort by only this column, 1 to use this column as the main sort item, and **None** if the column is not used.
8. If you select 1 in the **Sort Order** field, a 2 is displayed in the next field you select. You can select 2 in another column to identify the secondary sorting field. If you enable 2, a 3 is displayed in the other fields. You can select as many sorting columns as is available.
9. Identify if the sort order is ascending or descending in the **Sort Direction** field.
10. Click **OK**.

Defining the order that columns are displayed

You can define the order that columns are displayed on the page. The fields that are available in the views are configured by the administrator.

About this task

To reorder multiple columns, select multiple rows by clicking **Ctrl** and the fields to reorder. Values for all fields that are configured by your administrator appear in the Info Card for that object. You can toggle the display between Compact and Full mode for an object by clicking the icon next to the label for the name field. You can reorder the sequence of fields in the results. If the administrator changes the view configuration, the view reverts to the default view.

Procedure

1. Select the object type from the menu bar.
2. In the Filtered List View, click **Grid Actions > Manage Columns**.
3. To control the order of fields in the results, select a field to reorder. Click the up or down arrow to move the field to a new location in the display.
4. To sort information that is based on field values, select the field to use for sorting. Select how to sort the field information in the **Sort Order** field.
 - Select **Only this field** to sort information with this column only.
 - Select 1 to use this column as the main sort item.
 - Select **None** if the column is not used.
 - If you select 1 in a field definition, a 2 is displayed in the next field that you select. Select 2 in the field to use as the secondary sorting field.
 - If you enable 2, a 3 is displayed in the other fields. Continue to select more sorting columns as is available.
5. Identify if the sort order is ascending or descending in the **Sort Direction** field.
6. Click **OK**.

Refreshing information on a page

For object overview pages and some administrative functions, you may need to refresh the page to display any new or updated information. For example, if you added a new business entity to your organizational structure and did not see the new entity displayed on the Business Entity Overview page, click the Refresh icon to refresh the page and display the updated information.

Procedure

1. Select the object type from the menu bar.
2. In the Filtered List View, click **Grid Actions > Refresh**.

Change history

Changed information is displayed on the Change History page and cannot be modified. You can view change history information for a selected reporting period from the Detail View page of an object.

Change History displays the following types of changes:

- Associated objects displays additions or removals of associated child object types.
- Object values displays old values and changed field values.

The Change History table displays the following information:

Table 19. Change History Table	
Information	Description
Name	The name of the property or field that was changed.
Old Value	The value of the property or field prior to the change. For Rich Text Formatted (RTF) fields and any large text fields, this column will be empty.
New Value	The new value of the property or field. Text fields, in addition to the new value, also display a View Changes link. However, RTF and large text fields have only a View Changes link (no new value is displayed). When the View Changes link is clicked, the Change History Viewer opens in a new window where you can view and compare changes.
Modified By	The name of the user who made the change.
Modified	The date and time the change was made.

Associated objects, files, links, forms, and signatures - when associations between objects are created or removed, the Change History page of the parent object displays the following information for each associated object type. Changes are sorted by date (newest first).

Table 20. Association History Table	
Table Column Heading	Description
Name	The name of the associated object that was added or removed.
Status	Indicates whether the associated object was added or removed. Possible status values are: - Added - An object was associated as a child object in the hierarchy - Removed - The object was logically deleted from the repository. - Added Primary - The association type has been set to Primary. The first association will always be set to Primary. - Removed Primary - The association has been changed to Non-Primary. This could happen if the user selects another object relationship to be the Primary parent-child association or the current Primary association was deleted.
Modified By	The name of the user who made the change.
Modified	The date and time the change was made.

Viewing the change history of objects

The Change History pane displays the modifications that were made to an object during a selected reporting period. If an object field is not listed in the Change History table, no changes were made to that field during the reporting period.

Procedure

1. Select the object type from the menu bar.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Details** section of the navigation pane, click **Change History**.
4. To compare text changes, click the **View Changes** link in the **New Value** column.

Viewing and comparing marked-up changes to text

Changes to plain text and Rich Text Formatted (RTF) are automatically tracked. A new version is created when the object is saved. The Change History pane displays a changes link for all text. In addition, the old and new value of the text is displayed.

About this task

The View Changes link displays marked-up text and the revision history of changes for the selected text. The text in the viewer is read only. To change text, edit the object.

In the Change History Viewer, you can view revisions that are made to the text. Editing activities such as delete, insert, and move are tracked and displayed with marked-up text in the viewer. The Change History Viewer does not track format-only changes that are made to RTF fields such as changes to style, font, color, or indentations. It does not track images that are added or deleted from the RTF field, or image changes. The Change History Viewer does not compare changes within tables. Tables are displayed as they exist in the most recent version of the object. View and compare HTML source between different versions of an RTF field.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Details** section of the navigation pane, click **Change History**.
4. To open the Change History Viewer, click the **View Changes** link in the **New Value** column that contains the text.
5. To compare text in two versions, in the **Revision History** pane, select the two versions you want to compare.
6. If multiple revisions exist for a text, clear the check box for one version before you select another version for comparison.
7. Click **Show Changes**.
8. To view comparisons in HTML source code for RTF fields, click **View Source** in the Change History Viewer.
9. To return changes without the code, click **Changes**.
10. To view the change history for another reporting period, select a different reporting period for this object. You cannot view audit trails for multiple reporting periods on the same page.

Viewing reports in a different format

If your system is configured to display reports in different formats, you can generate a report and then view or save it in another format. The standard format is HTML.

Procedure

1. On the icon bar of the generated report, click **Action**.
2. From the list, select a format.
3. Follow the screen prompts.

Viewing data for a reporting period

You can view data for a current, active, and past reporting period. However, you can only modify data in the active and current reporting period.

About this task

Note: Active reporting periods are essentially in the process of being closed (or "finalized"). An active reporting period can be reapplied at any business entity level to synchronize the business entity and its children with the current reporting period. For more information, see the topic *Active reporting periods and operational limitations* in the *IBM OpenPages with Watson Administrator's Guide*.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.

Note: When you use the Grid View, only the top level objects are displayed.

3. From the **Reporting Period** drop-down field, select a reporting period.

Data for the selected reporting period is displayed.

If the **Reporting Period** drop-down field is not displayed, there is only one reporting period (the current reporting period).

Viewing files or links from the Detail View page

You can view the contents of a file or link. If the Check In/Check Out feature is configured, you can view files that are checked out by another team member. You can edit only files that you check out.

Procedure

1. Select the object type from the menu bar.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Attachments** section of the navigation pane, click **Files** or **Links**.
4. From the list of files or links, click the one you are interested in.
5. To view the versions of a file or link, click the file or link name that appears beside a document

icon, such as  **vendors.xls**, to open the detail page for the file or link. In the **Details** section of the navigation pane, click **Versions**.

Viewing lifecycle information

If an object is assigned to a lifecycle, you can view that information on the object Detail View.

About this task

You can view an object's current lifecycle stage, for example, the assignee, the status, and comments. For more information see [“Lifecycle” on page 73](#).

Procedure

1. From the menu bar, select the object type.

2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Details** section of the navigation pane, click the **Fields** section.
Lifecycle fields for the current lifecycle stage are displayed under Lifecycle Management. The fields are read-only except for **Update Assignee**, which you might be able to change depending on the object and the stage. For more information see [“Updating a questionnaire assessment's lifecycle assignee” on page 155](#).
4. To view previous lifecycle stage information, click **Change History**.

Printing Detail View information

You can share information in IBM OpenPages with Watson with others by printing the relevant part of the Detail View.

You can print the information from the **Details** section of the navigation pane on the Detail View page. Click the **Print** icon next to the **Actions** menu to open a new window that contains the content to be printed. The print function not only prints what is visible on screen, but also information that is scrolled off the screen.

As well as sections, you can print the contents of derived fields such as Orphan, Business Entity Hierarchy, Primary Parent Hierarchy, and Computed fields.

You can print labels, sections, and enum values in the locale of the user. A header appears on every page, containing Date/Time in the locale of user.

Note: To change the time format when you print a Detail View, specify the format using the page setup from the Print settings for the Chrome or Microsoft Internet Explorer browsers.

The print function does not print the following types of information:

- Related Information
- Context View
- Hover help
- On Demand fields content

After printing, you return to where you were before, and in same state. For example, if you were on the second page of child list, you return to the second page; if you were in Read mode, you return to Read mode.

IBM OpenPages GRC Platform

Home

System Administrator - OpenPagesAdministrator

System Admin Mode: Disabled

Log Out

IBM

My OpenPages

Reporting

Organization

Audit Management

Assessments

Assets

Compliance

Policy Management

Add New

Risk Detail

Risks > RB-01-Risk00189

Reporting Period: Current

Global Search

View: Detail View

Risks • 1 of 14

Risk Details

Fields

Automation Jobs

Change History

Locks

Related Information

Parents

Baselines (0)

Data Inputs (0)

Data Outputs (0)

Mandates (0)

Processes (1)

Requirements (0)

Risk Assessments (0)

Scenario Analyses (0)

Sub-Mandates (0)

Sub-Processes (0)

Associations

Controls (3)

FIRST Losses (0)

Incidents (0)

Issues (0)

KRIs (0)

Loss Events (0)

Loss Impacts (0)

Resources (0)

Risk Evals (0)

Signatures (0)

Waivers (0)

Attachments

Files (0)

Links (0)

RB-01-Risk00189

Description: Receipts are not properly authorized (authorization & approval)

Status: Awaiting Assessment

Risk Category: Clients, Products and Business Practices

Risk Sub-Category: Improper Business or Market Practices

Business Entity Hierarchy: Global Financial Services > North America > Retail Banking

Primary Parent Hierarchy: RB-01

Fields

Print

Actions

General

Name: RB-01-Risk00189

Description: Receipts are not properly authorized (authorization & approval)

Additional Description:

Lorem Ipsum is simply dummy text of the printing and typesetting industry. Lorem Ipsum has been the industry's standard dummy text ever since the 1500s, when an unknown printer took a galley of type and scrambled it to make a type specimen book. It has survived not only five centuries, but also the leap into electronic typesetting, remaining essentially unchanged. It was popularised in the 1960s with the release of Letraset sheets containing Lorem Ipsum passages, and more recently with desktop publishing software like Aldus PageMaker including versions of Lorem Ipsum.

Why do we use it?

It is a long established fact that a reader will be distracted by the readable content of a page when looking at its layout. The point of using Lorem Ipsum is that it has a more-or-less normal distribution of letters, as opposed to using 'Content here, content here', making it look like readable English. Many desktop publishing packages and web page editors now use Lorem Ipsum as their default model text, and a search for 'lorem ipsum' will uncover many web sites still in their infancy. Various versions have evolved over the years, sometimes by accident, sometimes on purpose (injected humour and the like).

Where does it come from?

Contrary to popular belief, Lorem Ipsum is not simply random text. It has roots in a piece of classical Latin literature from 45 BC, making it over 2000 years old. Richard McClintock, a Latin professor at Hampden-Sydney College in Virginia, looked up one of the more obscure Latin words, consectetur, from a Lorem Ipsum passage, and going through the cites of the word in classical literature, discovered the undoubtable source. Lorem Ipsum comes from sections 1.10.32 and 1.10.33 of "de Finibus Bonorum et Malorum" (The Extremes of Good and Evil) by Cicero, written in 45 BC. This book is a treatise on the theory of ethics, very popular during the Renaissance. The first line of Lorem Ipsum, "Lorem ipsum dolor sit amet...", comes from a line in section 1.

Owner: ORM User - orm

Status and Approval

Status: Awaiting Assessment

Submit for Approval?: No

Rejection Comment:

Risk Categorization

Risk Category: Clients, Products and Business Practices

Risk Sub-Category: Improper Business or Market Practices

Figure 25. Sample of a Detail view ready to be printed

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Chapter 8. Adding and associating objects

New object instances

In IBM OpenPages with Watson, you can add object instances from virtually anywhere in the system.

The Add New wizard lets you create and save object instances by entering only the minimum and most important information. The types of object instances that you are able to add are specified by your administrator and determined by your profile.

There are several launch points for the wizard, depending upon the permissions that have been granted by your administrator:

- A global **Add New** icon appears on every page. It can be used to create any object type. To select an object type from the list that appears when you click the **Add New** icon, you can begin typing the object name in the filter area to display only the object types that begin with the letters you typed.
- An **Add New** icon appears in the toolbar for the Filtered List View, Grid View, or Home Page Filtered List View. It can be used to create an object instance that is of the same type as the object type of the list.
- An **Add New** option is available from a context menu when you right-click on a row in Filtered List View, Grid View, or a Home Page Filtered List View. It can be used to create an object instance that is of the same type as the object type of the list, or any of its direct children.
- An **Add New** option is available from the **Actions** menu in Detail and Activity Views. The option allows adding an instance of a specific object type.

The Add New wizard has the following features:

- If you have the appropriate permissions, you can create a new object instance from scratch or by selecting an existing object instance to use as a template. Using a template saves time because information for the new item is populated with information from the existing one.
- If the auto-naming setting is enabled for an object type by your administrator, a name is automatically assigned to the new object instance.
- When you create a child object, you can select the parent object to associate with the child object.

You can associate a parent object either on the **Parent** tab or with the **View Suggestions** button, if cognitive technology has been enabled.

- If associated children are defined for an object type, you can select child objects to link to the new object instance.

You can associate a child object either on the children tabs or with the **View Suggestions** button, if cognitive technology has been enabled.

- A new object instance cannot be saved until all required fields in the Add New wizard are complete.
- If you begin creating a new object instance but don't complete all the required fields, you can save it as a draft. This feature must be enabled by your administrator.

In most instances, the Add New wizard provides the most convenient and efficient way to add object instances. However, the original add behavior is available in the following places in the program:

- From the Folder View
- From the **Add New** icon available from the Business Entity Object List View if the Folder View and Filtered List View are both disabled for Business Entity.
- From the **Add New** icon available from **My OpenPages > Project > Milestones**.
- From the **Add File** link available from **My OpenPages > Attachments > Browse**.

The Add New wizard consists of a series of tabs that you move between by clicking the **Previous** and **Next** icons or by clicking the tabs. The tabs that are available to you are determined by the object type, your profile, and the configuration settings specified by the administrator.

Create tab

The Create tab allows you to select an existing object instance from which to prepopulate the field values for the new object instance you are creating.

Parents tab

The Parents tab allows you to identify the primary parent; the one in whose context the new object will be created. For most configurations, selecting a primary parent is required. This tab also allows you to select additional secondary parents of the same or different object type as the primary parent.

Object-specific tabs

After the Parents tab, one or more tabs are displayed. These tabs contain the fields that are available for the object type that you are adding. The tabs and fields that you see are driven by the view definition for the Add New wizard that is set up by your administrator.

For example, if you're adding a Risk, you might see the following tabs: General, Risk Categorization, Qualitative Measurement, Quantitative Measurement, and Review.

Associated children tabs

If there are child objects that can be linked to the object instance, one or more association tabs may follow the object-specific tabs.

For example, if you are creating a questionnaire assessment, you can choose the processes or assets to associate with the questionnaire assessment.

Review tab

The Review tab displays all of the information from the preceding tabs in read-only mode. Review your choices and entries, and then click **Save**.

Rules for naming objects

Use the following conventions to name objects:

- The maximum length of an object name is 252 characters.
- If auto-naming is enabled, the name of the object is automatically created.
- Special characters are allowed in certain instances. Refer to the following table for the special character restrictions:

Table 21. Special character restrictions		
Special character	Description	Allowed in Object Name?
&	ampersand	Yes
*	asterisk	Yes
\	backward slash	No
:	colon	Yes
"	double quote	Yes
!	exclamation point	Yes
/	forward slash	No
>	greater than	Yes
<	less than	Yes
%	percent	Yes
	pipe	Yes

Table 21. Special character restrictions (continued)

Special character	Description	Allowed in Object Name?
#	pound	Yes
?	question mark	Yes

Adding an object instance with the Add New wizard

With the Add New wizard, you can add a new object instance from many places within IBM OpenPages with Watson.

About this task

The tabs that are available to you in the Add New wizard depend on the object type of the instance you are creating, and the permissions that the administrator assigned to your profile. Tab labels are displayed on the wizard with a circle for each tab label. When all required fields for a page are complete and all field values pass validation, a green circle is shown for that tab.

This video demonstrate how to use a Natural Language Classifier to make object association suggestions:

<https://youtu.be/ONdlkB2P69Q>

This video demonstrates how to use a Natural Language Classifier to make taxonomy suggestions:

<https://youtu.be/KGa2dfsZhs4>

Procedure

1. From the menu bar or other launch point, click **Add New**.
For a list of launch points, see “New object instances” on page 103.
2. Select an object type from the list.
3. On the **Create** tab, click either **Create from scratch** or, to use an existing object instance as a template, click **Create from existing**. Depending on the object type or the permissions that are assigned to you from your administrator, the **Create** tab might not appear.
4. If you want to use an existing object instance, you can select the object by using one of the following methods:
 - Select an object from the **Recently Used** tab.
 - Find an object by using one of the following options on the **Search** tab:
 - Type a term in the **Search** field to find an exact match to the object name or description.
 - Run a saved filter from the **Filter** list.

The list of filters available is the same as the saved filters you see on the Filtered List View. When you run a saved filter from here, the results might differ because you see only objects that can be associated with the current object. When you run a saved filter from the Filtered List View, you see all objects for which you have read access. You can refine the list of existing objects that are shown in the search results by using the **Narrow by** options. For example, to show only objects in a specific folder, type the folder name in the **Folder** field.
5. Click **Next**.
6. Select an object type from the list.
7. To identify the parent object to associate with the new object instance, on the **Parent** tab, select an object from the **Recently Used** tab or find an object on the **Search** tab. If cognitive technology is enabled to add a parent object to the object instance you are creating, you can use it to help you find the correct parent object. Leave the **Parent** tab empty for now and use the **View Suggestions** button on a later tab. If you are creating from a parent object, it might not be necessary to select a parent.

8. Type or review a name for the object. An object name cannot contain two or more consecutive spaces. If it does, the Activity Views and Detail Views display the following error message: "You do not have access to an object type used in this Activity View."

If auto-naming is not enabled and you are creating a new object, you must enter a name. If you are copying an existing object, the name defaults to the name of the source object and you must change it.

If auto-naming is enabled, a name is automatically entered for you and might be read-only, depending on the configuration. If you are copying an existing object, the name is unrelated to the source object's name.

9. Move through each of the object-specific tabs in the wizard by clicking the tab labels or by using **Next** and **Previous**, and complete all of the required fields. Required fields are marked with an asterisk (*). A white circle next to a tab label indicates that all the required fields for that tab are not complete or failed validation. Required and optional fields vary depending on the object type.
10. If there are associated children tabs in the wizard, you have the option to select objects to associate with the new object instance on each tab. For example, if you are creating a control, you can associate it to the issue that indicated that the control was missing.

Select a child object from the **Recently Used** tab or find an object on the **Search** tab. If cognitive technology is enabled to add a child object to the object instance you are creating, you can use it to help you find the correct child object. Use the **View Suggestions** button.

If you associate a large number of child objects, for example, more than 250, the system saves the object and then completes the associations in a background process instead of while you wait. You receive an email when the associations are finished. The email contains links to a process report and to the object's Detail View. You can also review the status of long-running processes in **My OpenPages > Background Processes > My Background Processes**. The associations are created if all the associations in the group are error-free. The default for long-running processes is 250 child objects associations but the administrator can change it.

11. If the **View Suggestions** button is displayed, IBM Watson cognitive technology has been implemented to support taxonomy suggestions and/or object association suggestions. Click **View Suggestions** to display a list of suggestions together with corresponding confidence scores.

The suggestions are based on the text that you entered in the classifier input field, for example, the **Description** field. The field that is used as the classifier input field and the field labels depend on how your administrator configured your system.

- If cognitive technology has been configured to make taxonomy suggestions, a list of suggested classifications is displayed in the suggestions panel. After you choose a suggestion, the system populates up to three classifier target fields, for example, the Risk Category, Risk Sub-Category and Risk Example fields. You can manually populate the classifier target fields if they are included in the view. Doing so clears any selections that you made in the classifier field.

You might be able to choose multiple suggestions, depending on the configuration.

- If cognitive technology has been configured to make object association suggestions, a list of suggested objects is displayed in the suggestions panel. After you choose a suggestion, the system updates the object's parent or child associations. The system synchronizes object association changes that you make using a classifier field with those you make on the **Parent** tab and the children tab.

You might be able to choose multiple suggestions, depending on the data model.

To generate a new list of suggestions, change the text in the classifier input field, for example, the **Description** field. Click **View Suggestions** and then click **Re-suggest** in the suggestions window.

If you do not want to use any of the suggestions, select **None of the suggestions listed above** and click **Done** in the suggestions window.

To change the classifications or object associations after you create the new object, open the object's Detail View. For more information, see [“Editing objects in Detail View”](#) on page 113. For more

information about Natural Language Classifier, see [“Natural language processing services ” on page 74.](#)

12. Click **Save**.

You cannot save until all required fields are completed with valid values. If **Save as Draft** is enabled by your administrator, you can save a draft of the new object instance without completing all the required fields in the wizard.

Adding a parent object from the Grid View

If needed, you can add a parent object from the Grid View.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, click **Grid Actions > Add New**
3. On the **Create** tab, click either **Create from scratch** or, to use an existing object instance as a template, click **Create from existing**. Depending on the object type or the permissions that are assigned to you from your administrator, the **Create** tab might not appear.
4. Move through each of the object-specific tabs in the wizard by clicking the tab labels or by using **Next** and **Previous**, and complete all of the required fields. Required fields are marked with an asterisk (*). A white circle next to a tab label indicates that all the required fields for that tab are not complete or failed validation. Required and optional fields vary depending on the object type.
5. Click **Save**.

You cannot save until all required fields are completed with valid values. If **Save as Draft** is enabled by your administrator, you can save a draft of the new object instance without completing all the required fields in the wizard.

Adding a child object from the Detail View

Except for top level parent objects, objects can be created from the Detail View page of a parent object. You must first select the parent object and then you can add an object.

About this task

You can create a child object that is associated with a parent object.

Opening an object in a new window or tab to copy data between browser tabs or windows might cause unspecified results.

An object can be created quickly from the home page by inheriting the values that are defined in an existing object. See [“Adding an object instance with the Add New wizard ” on page 105.](#)

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the parent object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click the object type to create.
4. Click **Action > Add a new item** where item is the name of the object type to create.
5. On the **Create** tab, click either **Create from scratch** or, to use an existing object instance as a template, click **Create from existing**. Depending on the object type or the permissions that are assigned to you from your administrator, the **Create** tab might not appear.
6. To identify the parent object to associate with the new object instance, on the **Parent** tab, select an object from the **Recently Used** tab or find an object on the **Search** tab. If cognitive technology is

enabled to add a parent object to the object instance you are creating, you can use it to help you find the correct parent object. Leave the **Parent** tab empty for now and use the **View Suggestions** button on a later tab. If you are creating from a parent object, it might not be necessary to select a parent.

7. Move through each of the object-specific tabs in the wizard by clicking the tab labels or by using **Next** and **Previous**, and complete all of the required fields. Required fields are marked with an asterisk (*). A white circle next to a tab label indicates that all the required fields for that tab are not complete or failed validation. Required and optional fields vary depending on the object type.
8. Click **Save**.

You cannot save until all required fields are completed with valid values. If **Save as Draft** is enabled by your administrator, you can save a draft of the new object instance without completing all the required fields in the wizard.

Associations between objects

You can link objects to form a hierarchical tree view of a company governance, risk management, and compliance structure - from the business entity level down to the details of each individual risk, control, and test.

The process of linking objects is called association. Files are attached to objects. Associations are relationships that exist among objects, or between objects and attached files. Associations can be created or removed without affecting the related object or file.

The IBM OpenPages with Watson Object Model Framework contains business logic that governs the following rules:

- The type of objects that can be associated together. For example, in the standard object model, a control object can be associated with a risk and test plan but not with a process.
- The relationship of objects in the hierarchy, for example, parent-child or stand-alone.

In a parent-child hierarchical relationship, the object that initiates the association is the parent object, and the object that is the target of the association is the child object. When a child object is added from a Detail or Activity View page of a parent object, the child object is a primary child and is automatically associated with the parent object. Depending on your object model, if an object type is allowed to have multiple parent objects through association, that child object can have only one primary parent association. The parent-child relationship that exists between objects affects how certain operations such as copy, delete, association, and locking are performed by the application. For example, when a user locks a parent object, all its associated child objects are also locked and cannot be modified until the lock is removed.

Associating objects from a Grid View

You can associate objects from rows in a Grid View, so you can complete your task without leaving the view.

About this task

You can associate object types only when the child object type to be associated is included in the view and is a direct child type. For example, in a Grid View showing processes, risks, and controls, you can associate risks under a process, and you can associate controls under a risk.

You can also associate objects from the Detail View and Activity View. For more information, see [“Associating objects from a Detail View or Activity View” on page 109](#).

Procedure

1. Select the object type from the menu bar.
2. From the Grid View, right-click the row of an object that you want to be the parent of the association.
3. From the right-click menu, click **Associate existing**.

This menu option only appears if the object type of the selected row has direct child objects that are in the Grid View.

4. In the **Search** box, search for the objects that you want to associate.

For example, if you are associating risks, you might search for something like risk127.

You can use **Narrow By** to filter the search results. You can also use an object from the **Recently Used** tab.

5. From **Search results**, select the objects that you want to associate and click **Associate**.

You can also use an object from the **Recently Used** tab.



Attention: If you associate many child objects, the dialog will close and the system then completes the associations in a background process instead of while you wait.

To review the status of long-running processes, click **My OpenPages > Background Processes > My Background Processes**.

You receive an email when the associations are finished. The email contains links to a process report and to the object's detail page.

The associations are created if all the associations in the group are error-free.

The administrator can change the default number of child object associations for long-running processes.

Associating objects from a Detail View or Activity View

You can associate objects from the Detail View and Activity Views, so you can complete your task without leaving the view.

About this task

Depending on the object type, you might be able to link multiple parent or child objects to it. For example, a Risk object can have multiple parent objects, such as Control Objectives and Risk Assessments, child objects such as Controls and Issues, and files and links. Associations can be created or removed without affecting the related object or file.

You can also associate objects from the Grid View. For more information, see [“Associating objects from a Grid View”](#) on page 108.

Procedure

1. Select the object type from the menu bar.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Parents** or **Associations** section of the navigation pane, click the object type to associate.

This step is not necessary when starting from an Activity View.

4. From the detail pane, click **Actions > Associate existing**.
5. In the **Search** box, search for the objects that you want to associate.
For example, if you are associating risks, you might search for something like risk127.
You can use **Narrow By** to filter the search results. You can also use an object from the **Recently Used** tab.
6. From **Search results**, select the objects that you want to associate and click **Associate**.



Attention: If you associate many child objects, the dialog will close and the system then completes the associations in a background process instead of while you wait.

To review the status of long-running processes, click **My OpenPages > Background Processes > My Background Processes**.

You receive an email when the associations are finished. The email contains links to a process report and to the object's detail page.

The associations are created if all the associations in the group are error-free.

The administrator can change the default number of child object associations for long-running processes.

7. If cognitive technology is enabled to associate parent or child objects for the object you are editing, the **View Suggestions** button is displayed when you click **Actions > Edit**. Existing child or parent suggestions are displayed next to the **View Suggestions** button.
 - a) To edit the associations, click **View Suggestions**. The system synchronizes the suggestions with the current associations on the object. Select suggestions to associate them to the object you are editing and deselect suggestions to disassociate them. Click **Done**.
 - b) To generate a new list of suggested objects, change the text in the classifier input field, for example, the **Description** field. Click **View Suggestions** and then click **Re-suggest**. A new list of suggestions is displayed.

The system updates the object's associations with your changes.

8. If cognitive technology is enabled to make object association suggestions for the object you are editing, the **View Suggestions** button is displayed when you click **Actions > Edit**. Existing object suggestions are displayed next to **View Suggestions**.
 - a) To edit the associations, click **View Suggestions**.
 - b) Select suggestions to associate them to the object you are editing. Click **Done**.

Suggestions are based on the text in the classifier input field, for example, the **Description** field. If you change the text in the classifier input field and click **View Suggestions**, the list of suggestions is updated.

The system updates the object's associations with your changes.

Disassociating objects

You can associate a child or parent object, file, or link to an object. For example, from a Risk object, you can add links to parent objects, such as Control Objectives and Risk Assessments. You can also remove links to child objects, files, or links. When you disassociate an object, only the association or link between the objects is removed. The objects remain unaffected.

Procedure

1. Select the object type from the menu bar.
2. Navigate to the detail page of the object to view. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, select the item that you want to disassociate an object from.
4. From the listing pane, click the one that you want to disassociate.
5. From the detail pane, click **Actions > Edit**.
6. Click **Disassociate selected** and click **OK**.

Primary parent association

When a child object is added from the Detail View page of a parent object, it is considered to be a "primary child" and is automatically associated to that parent object upon creation.

Object types that are allowed to have multiple parent objects through association can have only one primary parent association. For example, if Control-01 was added from the Detail View page of Risk-01

and was also associated to Risk-02, Control-01 would have two parents: Risk-01 and Risk-02. However, only Risk-01 would be considered the primary parent of Control-01.

A primary parent object is identified in the application by the Primary Association icon, which is displayed next to that parent object on a child object's Detail View page.

When primary associations are enabled:

- You can change an object's primary association from one parent object to another by reassigning the primary parent.
- Any re-assignment of the primary association from one parent object to another parent object is reflected on the Change History pane of an object.
- A child object with multiple parents that is disassociated from its primary parent object is automatically re-assigned a new primary parent.
- Cascading operations on objects (such as sign-off, delete, locking or unlocking), are based upon primary associations.
- Objects with multiple parents that are not included in a cascade delete operation (such as issues and action items) are automatically re-assigned a new primary parent.
- Copy operations on objects will duplicate existing associations (including primary associations) whenever possible. A new primary parent association is also assigned to the first association.

Changing the primary parent association

An object can have only one primary parent. If an object has multiple parent objects, you can change the primary association from one parent object to another one.

Procedure

1. Select the object type from the menu bar.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the navigation pane under **Parents**, click the parent object type.
4. From the listing pane, click the name of the object to open its detail pane. If the parent object you want is not listed, first associate the parent you want to the selected object and then make it the primary parent. For information about associating objects, see [“Associating objects from a Detail View or Activity View” on page 109](#).
5. From the detail pane, click **Actions > Make this Primary**.
The Primary Association icon is displayed next to the name of the new primary parent object.

Chapter 9. Editing, copying, and deleting objects

Editing objects in a Grid View or Filtered List View

You can edit fields for a single object from a Grid View or a Filtered List View.

Before you begin

Consider the following information before you edit an object in Grid View or Filtered List View:

- You cannot edit the following object fields: Folder, Creation Date, Created By, Last Modification Date, Last Modified By.
- Remove all signature locks, including inherited locks, before you edit an object.
- If you and another user simultaneously edit the same object, or if there are any changes after you retrieve it, an error message notifies you of a conflict.
- It is strongly recommended that users do not edit the same object instance simultaneously in two separate browser tabs or browser windows. Doing so might cause unexpected results.
- If you scroll more than a few rows away from the row you are editing, the edits are canceled.
- You can edit an item that is associated with an object from the object page.

Procedure

1. Open the object type from the menu bar.
2. Click the name of the object to edit.
3. Click **Action > Edit this Item**.
4. Edit the fields, as needed.
5. Click outside the row to save your changes.
6. To edit an item that is associated with the object, click the item in the navigation menu in the Association section.
The number in parentheses identifies how many items exist in a category.
7. Click **Action > Edit this Item**.
8. Edit the fields, as needed. Click **Save**.

Editing objects in Detail View

You can edit an object in the Detail View.

Procedure

1. Open the object type from the menu bar.
2. Navigate to the Detail View page for the object that you want to edit. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.

Note: It is strongly recommended that users do not edit the same object instance simultaneously in two separate browser tabs or browser windows. Doing so might cause unexpected results.
3. To edit an associated object (child or parent), complete the following steps:
 - a) In the **Associations** section of the navigation pane, click the object type that you want to edit.
 - b) From the listing pane, click the name of the object to edit.
 - c) From the detail pane, click **Actions > Edit**.

4. Update the object details.

If the **View Suggestions** button is displayed on the Detail page, IBM Watson cognitive technology has been implemented.

For information, see [“Adding an object instance with the Add New wizard ” on page 105.](#)

For information about updating object associations made with a classifier field, see [“Associating objects from a Detail View or Activity View” on page 109.](#)

5. Click **Save**.

Copying objects from a Detail View or Activity View

You can copy an existing object to quickly create an object with similar values.

About this task

You can copy objects from the Detail View and Activity View. You can copy the selected object only, or you can include the tree of objects underneath it as well.

You can also copy objects from the Grid View. For more information, see [“Copying objects from a Grid View” on page 115.](#)

Procedure

1. Open the object type from the menu bar.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.

3. In the **Associations** section of the navigation pane, click the object type to copy.

This step is not necessary when starting from an Activity View.

4. Click **Actions > Copy existing**.

5. In the **Search** box, search for the objects that you want to copy.

For example, if you are copying risks, you might search for something like risk127.

You can use **Narrow By** to filter the search results. You can also use an object from the **Recently Used** tab.

6. From **Search results**, select the objects that you want to copy and click **Next**.

7. In **Object Copy Options**, choose whether to copy the selected object only or to copy the selected object and its descendants.

These options appear only if enabled by the administrator.

Note that even if you choose to copy the descendants, files and issues are not copied unless the **Copy existing Files** and **Copy existing Issues** boxes are explicitly checked.

8. Enable one of the following options to determine how to resolve file naming conflicts:

- Create a new version of the existing object in the destination directory.
- Create a new object whose name is prefixed with "Copy of".
- Do not copy resources with naming conflicts.

These options appear only if enabled by the administrator.

9. Click **Copy**.

A duplicate instance of the object is created and listed on the parent object's Detail View.



Attention:

- You cannot copy a Business Entity onto itself.

- If the number of selected objects to copy is greater than a specific value, then the copies are created in the background as a long-running process.

To review the status of long-running processes, click **My OpenPages > Background Processes > My Background Processes**.

You receive an email when the copies are finished. The email contains links to a process report and to the object's detail page.

The administrator can change the default number of copies for long-running processes.

Copying objects from a Grid View

You can copy an existing object from the Grid View to quickly create an object with similar values.

About this task

You can copy objects from rows in the Grid View. You can copy the selected object only, or you can include the tree of objects underneath it as well.

You can copy object types only when the child object type to be copied is included in the view and is a direct child type. For example, in a Grid View showing processes, risks, and controls, you can copy risks under a process, and you can copy controls under a risk.

You can also copy objects from the Detail View and Activity View. For more information, see [“Copying objects from a Detail View or Activity View” on page 114](#).

Procedure

1. Open the object type from the menu bar.
2. Click the name of the object to edit.
3. From the Grid View, right-click the row of the object instance that you want to be the parent of the copied object.
4. From the right-click menu, click **Copy existing**.
5. In **Object Copy Options**, choose whether to copy the selected object only or to copy the selected object and its descendants.

These options appear only if enabled by the administrator.

Note that even if you choose to copy the descendants, files and issues are not copied unless the **Copy existing Files** and **Copy existing Issues** boxes are explicitly checked.

6. Enable one of the following options to determine how to resolve file naming conflicts:

- Create a new version of the existing object in the destination directory.
- Create a new object whose name is prefixed with "Copy of".
- Do not copy resources with naming conflicts.

These options appear only if enabled by the administrator.

7. Click **Copy**.



Attention:

- You cannot copy a Business Entity onto itself.
- If the number of selected objects to copy is greater than a specific value, then the copies are created in the background as a long-running process.

To review the status of long-running processes, click **My OpenPages > Background Processes > My Background Processes**.

You receive an email when the copies are finished. The email contains links to a process report and to the object's Detail View page.

The administrator can change the default number of copies for long-running processes.

Deleting objects

You can delete a folder, file, business entity, or other object from the current reporting period.

About this task

An object must be unlocked before it is deleted. After you delete an object, it cannot be recovered. However, if the deleted object was included in a previous reporting period, you can view details that are associated with that object through reports. Folders that are generated by the system cannot be deleted. Consider the following information before you delete an object:

- When you delete a parent object, any child objects, associated issues, or action items are also deleted.
- When you delete a business entity, child objects, associated objects, or subentities that are in the same folder, including attached external documents, are deleted.
- If you delete a control object, any associated tests and attached external documents are deleted.
- Make sure that all important information that is contained in an associated test is preserved before you delete a control.
- You might be able to delete only objects in a folder and not the folder. If you are allowed to delete a folder, all contents are deleted. For a file, all versions are deleted.
- If the file Check In/Check Out feature is configured, a file must be checked in before it can be deleted.

Procedure

1. From the menu bar, select the object type.
2. In the Filtered List View, select each object that you want to delete.
3. Click **Grid Actions > Delete**.
4. Click **Delete** to verify the deletion.

Applying changes to multiple objects with bulk update

If you have multiple objects that are defined in an object type, such as more than one Business Entity, you can edit information in multiple objects, by using the bulk update function.

About this task

- Identify field values to change and objects to update. The fields that you identify are updated in all objects that you select.
- You can also leave fields unchanged or clear the values in a field.
- Administrative settings might prevent you from updating an object.
- All objects that generate no errors are updated.
- Field dependencies, locks, and permissions might prevent you from modifying selected objects. The objects that you can modify are saved with the changes, while the others are not changed.
- You cannot clear required fields.

Currency fields and fields for which you edit the content using a pop-up window cannot be edited in the bulk update panel. These fields are not displayed.

When using the bulk update feature, dependent picklists do not change values when the controlling value changes. Instead, all values from both the controller and the dependent picklist are displayed. Validation of selected values will be done before the objects are saved and any conflicts are reported back to the user.

Procedure

1. From the menu bar, click the object type to open.
2. In the Filtered List View, click **Grid Actions > Bulk Update**.
3. Select the objects to update. To update second or third level objects, expand the rows in which the objects are contained and select the objects. If you select more than one object, select the object type to update from the object selector.
4. Edit the fields to update.
5. To clear the values in a field, select **Clear Values**.
If a field is required, you cannot clear its values.
6. Click **Update**.
7. Review the list of changes to be applied, and click **OK**.
The first record is opened and the updates are applied. If the requested change cannot be made, an error message displays the reason for the update failure. The bulk update feature continues to open and apply updates to records until all records have been processed.

Rename an object

You can rename objects and folders from the Folder view. You can rename objects from the Detail view. Depending on your configuration, this applies to self-contained objects only. You can only rename objects in a folder and not the folder itself.

About this task

Objects that reside in the same folder must have a unique name. When you rename a folder, its contents (primary associations) will also be moved to the renamed folder. If the Check In/Check Out feature is enabled, you can only rename a file that is checked in. Folders that are generated by the system cannot be renamed.

Use one of the following procedures to rename an object:

- [Renaming an Object or Folder From a Folder View Page](#)
- [Renaming an Object From an Object's Detail Page](#)

Renaming an object from the Detail View

Use this procedure to rename an object from an object's Detail View.

Procedure

1. From the menu bar, select the object type.
2. Open the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click the object type you want to rename.
4. In the **Details** section of the navigation pane, click **Fields** to display the fields.
5. From the detail pane, click **Actions > Edit**.
6. In the **Name** field, type a new name for the object.
7. Click **Save**.

Renaming an object or folder from the Folder View

Use this procedure to rename an object or folder from a Folder View page.

Procedure

1. Select the object type from the object menu.
2. If Filter List View is displayed, click it and select **Folder View**.
3. Expand the object hierarchy to locate the object or folder in the tree.
4. Select the object or folder that you want to rename.
5. Click **Rename**.
6. In the **Name** field, type a new name for the object or folder.
7. Click **OK**.

Chapter 10. Working with folders, files, forms, and links

Rules for naming folders and files

Special characters are allowed in certain instances. Refer to the following table for the special character restrictions.

Table 22. Special character restrictions			
Special character	Description	Allowed in Folder Name?	Allowed in File Name?
&	ampersand	Yes	No
*	asterisk	Yes	No
\	backward slash	No	No
:	colon	Yes	No
"	double quote	Yes	No
!	exclamation point	Yes	No
/	forward slash	No	No
>	greater than	Yes	No
<	less than	Yes	No
%	percent	Yes	No
	pipe	Yes	No
#	pound	Yes	No
?	question mark	Yes	No
	single space	Yes	Yes
	double space	Yes but avoid	No

For a folder name,

Correct

Claims and Liability Management, Claims & Liability Management

Incorrect

Claims \ Liability Management, Claims/Liability Management

Adding folders

You can add a folder for an object at any level of an object hierarchy. For example, you might add folders to group objects into categories. A top level folder exists for each object type. For example, the folder

hierarchy for Test objects starts with a root storage folder named Tests. You cannot rename, move, or delete a root storage folder.

Procedure

1. To add a folder to hold files or links, click **My OpenPages > Browse**. Alternatively, you can select an object from the menu bar and select Folder View.
2. Select the folder in which you want to create the new folder.
3. Click **Add Folder**.
4. Type a name and description for the new folder and click **OK**.

Moving objects to a different folder

You can change how objects, files, and links are grouped. You can reorganize objects by moving them into a folder, or from one folder to another.

About this task

You cannot move folders to the top level after you move them to a different level within the hierarchy. To move a folder to the top level, create a new top level folder with the same name and move the existing folder to the newly created folder. If the **Check In** or **Check Out** feature is enabled, you cannot move a checked-out file. You cannot move a self-contained object to another folder. However, you can move it and associate it with any of its parent object types. Folders that are generated by the system cannot be moved.

Procedure

1. From the menu bar, select the object type.
2. In the Folder View, select each object that you want to move.
3. Click **Move To**.
4. On the selection page, expand the folder hierarchy.
5. Depending on your configuration, perform one of the following actions:
 - Enable the check box next to the name of the destination folder.
 - Enable the check box next to the parent object where the current object is moved and associated.
6. Click **OK**.

Editing folder descriptions

You can change the description of an existing folder by opening the folder for editing.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Folder View for the object you are interested in.
3. Click the name of the folder to modify.
4. On the Detail View page, click **Edit**, and edit the description.

Forms

Forms help automate the capture of data and are customized for your business.

Forms that are associated with particular object types automate the capture of data through a series of targeted questions.

The type of forms available on your system depends on your system configuration.

Forms can be attached to an object and then filled out by users. When you fill out a form, you will either have to create a new instance of that form from an existing template, or a survey task will be assigned to you.

Adding a form

Add a new form (or survey) from the Detail View page of an object. The process for adding a form to an object is the same for all objects.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Attachments** section of the navigation pane, click **Files**.
4. From the detail pane, click **Actions > Add a new File**.
5. Select the file to add and provide a description of the file.
6. Click **Save**.

The Browse Attachments page

The Browse Attachments page displays a hierarchy of folders for all files (such as documents, forms, and links) in the IBM OpenPages with Watson file repository.

Attach a file from the Detail View page of a parent object. Depending on your configuration, you may also be able to add standalone document files from the Browse Attachments page that you can later associate with parent or other objects. From the Browse Attachments page, you can view, add, delete, move, and rename files and folders.

File attachments that are modified and then uploaded to the OpenPages with Watson file repository have a new version automatically created. You can retrieve an older version of a file without losing the current version. Files that are stored in the file repository also have a View File link on their File Detail page. You can use a drag-and-drop or cut-and-paste operation to copy a View File link from the file into another application (such as e-mail or a Microsoft Word document).

If an object contains a URL link to an external destination (such as a Web site or file), the link is displayed on the Detail View page of that object and not on the Browse Attachments page. When a user clicks the external link, a new window opens and displays the contents of the target destination. If you link to files or documents that are maintained outside the OpenPages with Watson file repository, unless external security controls are in place, these files or documents will not be under version control. Typically, you add a link from the Detail View page of a parent object.

If the file Check In/Check Out feature is configured for your system, the file is locked while it is checked out for editing and unlocked when it is checked in so changes are not inadvertently overwritten by another team member.

About attachments

This topic provides links to information about attachments.

- [“The Browse Attachments page” on page 121](#)
- [“Adding or attaching files from the Detail View” on page 122](#)
- [“Adding files from the Folder View or Browse Attachments option” on page 122](#)

Adding or attaching files from the Detail View

When you add a standalone file or attach a document file to an object, a copy of the file is uploaded to the file repository. You can upload any type of file. Some common file types for upload include: text (.txt), web pages (.htm or .html), Microsoft Word (.doc), PowerPoint (.ppt), Excel (.xls), and Visio (.vsd).

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View of the parent object. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Attachments** section of the navigation pane, click **Files**.
4. On the details pane, click **Actions > Add a new File**.
5. Complete the fields in the **Add New File** window, and browse to the file that you want to attach.
6. Click **Save**.

Adding files from the Folder View or Browse Attachments option

If you have permission, you can add files to an object from the Browse Attachments page or the Folder View. When a file is added, it is uploaded to the repository and is listed on the Browse Attachments page under the selected folder.

Procedure

1. To locate and add a file as an attachment to an object, complete the following steps:
 - a) From the menu bar, click **My OpenPages > Browse**.
 - b) Select the folder where the file is added and click **Add File**.
2. Complete the following steps to add a file from the File Folder View:
 - a) Click **My OpenPages > Files**.
 - b) Select the folder where the file is added and click **Add New**.
3. Click **Browse** and select the file to upload.
4. Click **Create**.

The file Check In and Check Out features

If the Check In and Check Out features are configured, you can check out a file and lock it and edit it. When you are finished with the file, you then check in and unlock the file.

When you work in a collaborative team environment, the Check In and Check Out features allows only one person to work on a file at one time. Changes will not be overwritten by another team member. A checked-out file has the following characteristics:

- A check mark is displayed next to the file name.
- The name of the person who checked out the file is displayed.
- The file is listed in the **My Checked Out Files** pane on the **home** page.
- The file is locked.
- The file can be viewed and downloaded by others, associated with objects, and copied to an object.

Checking in a file

When you complete revisions to a file, check in the changed file to the IBM OpenPages with Watson file repository. The name of the file you check in must match the name that was checked out.

Procedure

1. Locate the checked-out file.
2. From the menu bar, select the object type.
3. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
4. In the **Associations** section of the navigation pane, click **Files**.
5. From the list, click the name of the checked-out file.
6. In the **Details** section of the navigation pane, click **Fields** if the field details for the selected file are not displayed.
7. From the detail pane, click **Actions** > **Check in this File**.
8. Click **Check in**

The file Check In and Check Out features

If the Check In and Check Out features are configured, you can check out a file and lock it and edit it. When you are finished with the file, you then check in and unlock the file.

When you work in a collaborative team environment, the Check In and Check Out features allows only one person to work on a file at one time. Changes will not be overwritten by another team member. A checked-out file has the following characteristics:

- A check mark is displayed next to the file name.
- The name of the person who checked out the file is displayed.
- The file is listed in the **My Checked Out Files** pane on the **home** page.
- The file is locked.
- The file can be viewed and downloaded by others, associated with objects, and copied to an object.

Canceling a file checkout

If you accidentally check out a file, or realize that you do not want to save changes to a checked-out file, you can cancel the checkout process.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click **Files**.
4. From the listing pane, click the name of the file.
5. In the **Details** section of the navigation pane, click **Fields**.
6. From the detail pane, click **Actions** > **Cancel Check out for this File**.

Uploading a new version of a file

If you are not using the file Check In/Check Out feature, you can revise a file on your local system and upload a new version of that file. The uploaded file becomes the current version. The previous version is also available and can be viewed.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View of the object you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Attachments** section of the navigation pane, click **Files**.
4. Click the name of the file.
5. If the **Actions** menu is not displayed, click **Fields** in the **Details** section of the navigation pane.
The Details pane for the file is opened.
6. In the **Details** section of the navigation pane, click **Versions**.
7. From the detail pane, click **Actions > Upload New Version**.
8. On the upload page, click **Browse** and located the edited file.
The name of the new and previous version of the file must match.
9. Click **Save**.
The new version of the file is listed in the Versions pane.

Downloading files for edit

Before you can edit a file that is under revision control, first download the file to your local system. Then, open and edit the file.

About this task

If you are using File Check out, first check out the file.

Note: It is strongly recommended that users do not edit the same object instance simultaneously in two separate browser tabs or browser windows. Doing so might cause unexpected results.

Procedure

1. To locate the file to edit, complete one of the following steps:
 - From the menu bar, click **My OpenPages > Browse**. Expand the folder and locate the file.
 - Click **My OpenPages > Files**. For a Filtered List View page, select a filter to quickly locate the object. For a Folder View page, expand the folder hierarchy and locate the file.
2. Click the name of the file to download.
3. From the detail pane, click **View file** to open the **File Download** window.
4. Click **Save**.

Editing file descriptions

Use this procedure to change a file description.

Procedure

1. Click **My OpenPages > Files**.
2. Locate the file to modify and navigate to its Detail View. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.

3. Click **Edit**.
4. Edit the description and click **Save**.

External URL links

An external link is a URL that opens a browser window and displays the contents of that target destination. Whether you add a stand-alone external link or attach an external link directly to an object, a copy of that external link is stored in the file repository.

You can add an external link to a folder or attach a link to an object.

Adding an external link to a folder

From the Links Folder View page you can create a link to an external URL. For example, you can create a link to a document that is on your company website.

Procedure

1. From the menu bar, click **My OpenPages > Attachments > Links**. If necessary, click the **View** field until the Folder view is displayed.
2. Expand the folder hierarchy and navigate to the folder.
3. To add an external link in an existing folder, select the folder that will contain the new link.
4. To add an external link to a new folder, complete the following steps:
 - a) Select the folder in which you want to create the new folder.
 - b) Click **Add Folder**.
 - c) Type a name and description for the new folder and click **OK**.
 - d) Select the folder that you created.
5. Click **Add New** and select **Link**.
6. In the **Name** field, type a name for the child object. In the URL box, type a fully qualified URL internet address. For example, if you want to create a link to your company's annual report, you might enter `http://www.mycompany.com/annual-report.pdf`.
7. Click **Save**.

Results

The link is listed, including any comments or descriptive text, on the **Links Folder View** page under the selected folder.

Attaching an external link to an object

An external link is a URL that opens a browser window and displays the contents of that target destination. Whether you add a stand-alone external link or attach an external link directly to an object, a copy of that external link is stored in the IBM OpenPages with Watson file repository.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page of the parent object. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Attachments** section of the navigation pane, click **Links**.
4. Click **Actions > Add a new Link**.
5. In the **Add New Link** window, type a name for the link and a fully qualified internet address.
6. Complete all additional required fields.
7. Click **Save**.

The external link is listed, including any comments or descriptive text, in the **Links** pane of the selected object.

Adding URL links to object views

An external link is a URL that opens a browser window and displays the contents of that target destination. A copy of the external link is stored in the IBM OpenPages with Watson file repository.

Procedure

1. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
2. In the **Attachments** section of the navigation pane, click **Links**.
3. From the detail pane, click **Actions > Add a new Link**, and complete all required fields.
4. Click **Save**.

Copying file links

Document files that are uploaded and stored in the IBM OpenPages with Watson file repository have a link to the URL of the file. You can copy and paste the link into another application, such as email or Microsoft Word, or onto your desktop.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Attachments** section of the navigation pane, click **Files**.
4. From the list of links, click and hold the link that you want to copy.
5. Drag the link to the new location, for example, to your desktop or an e-mail.
6. If prompted to copy the link, click **Yes**.

Chapter 11. Working with signatures and locks

Signatures and locks

Signing an object indicates that the object meets your approval. It has no enforcement powers, and does not prevent the item from being modified after approval. A signed object is marked with a signature icon next to the name of the signer on the Signatures tab.

If signature locks are configured on your system, when you sign off on an object, the object and all its associated child objects are locked and cannot be modified until you either revoke your signature or an administrator unlocks the object. Only one active lock can be placed on an object. Multiple locks can be inherited from parent objects as those objects are locked.

Only one active lock can be placed on an object. Multiple locks can be inherited from parent objects.

An object that has a signature lock, has both a signature icon and a red lock icon displayed next to the object's name in a Folder View, Filtered List View, or Overview and on the object's Detail View page. If a child object inherits a signature lock from a parent object, a gray lock icon appears instead. Because a lock is replicated down the object hierarchy, an object can have multiple locks assigned to it (through inheritance), and cannot be modified until all of the locks are removed.

Because a lock is replicated down the object hierarchy, an object can have multiple locks assigned to it through inheritance. It cannot be modified until all locks are removed.

To add or revoke a signature, you must be a member of a group with signature privileges. Signatures (with or without locks) are added or revoked from the Detail View page of an object. To lock or unlock an object (without adding a signature), you must have the necessary permissions set on your account (see your system administrator for details). Objects are locked or unlocked from the Detail View page of an object.

Objects are locked or unlocked from the detail page of an object.

You cannot perform the following actions on a locked object:

- Move the object to a new location
- Edit any properties
- Rename the object
- Delete the object
- Associate other objects with the object

You can perform the following actions on a locked object:

- View the details of the object
- Associate the locked object with an unlocked object
- Copy the object to a new location (the newly created copy is unlocked)

Adding a signature

If signatures are configured and your user group is authorized for signature, you can add a signature to sign off on an object.

About this task

If signature locks are configured, when you sign off on an object, the object and all its associated child objects are locked and cannot be modified until you either revoke your signature or an administrator unlocks the object. When a parent object has a signature lock applied to it, only one active lock can be placed on an object. Multiple locks can be inherited from parent objects as those objects are locked.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click **Signatures**.
4. From the detail pane, click **Actions > Add a new Signature**.
5. On the Add page, enter a description and comment.
6. Click **Create**.

Revoking signatures

If this feature is configured, you can revoke a signature or sign off on a signature that you manually added. You can only revoke a signature that you created.

About this task

To unlock an object with a signature lock and retain the signature, you must have the necessary permissions. See your system administrator for assistance. All signature locks (including inherited locks) must be removed from an object before it can be edited. To remove an inherited lock, revoke the signature from the parent object.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click **Signatures**.
4. From the listing pane, click the name of the signature to revoke.
5. From the detail pane, click **Actions > Revoke**.
6. In the **Comment** field, enter a comment.
7. Click **Revoke**.

Viewing signatures

You can view a signature that is associated with an object.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click **Signatures**.
4. From the listing pane, click the name of the signature to view.
5. To view the audit trail for signatures, in the **Details** section of the navigation pane, click **Change History**.

Locking objects

When you add a lock to an object, a lock icon is displayed next to the name of the locked object. An inheritance lock icon is displayed next to the name of any associated child objects. You can lock only first-level objects.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Associations** section of the navigation pane, click the object type to lock.
4. If the fields are not displayed, click **Fields** from the **Details** section of the navigation pane.
5. From the detail pane, click **Actions > Lock this**.
6. To view lock details, in the **Details** section of the navigation pane, click **Locks**.

Unlocking objects

Use this procedure to unlock objects.

About this task

When you unlock an object, the following occurs:

- Any signature on an unlocked object remains in effect and is NOT revoked.
- The lock icon is removed from the object, and the inheritance lock icon is removed from any associated child objects.
- From a Grid View or Filtered List view, you can lock or unlock the top level object types. When you lock or unlock a top level object type, it adds or removes inherited locks.
- You cannot unlock direct locks from second or third level objects.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View or Grid View of the object type to unlock.

You can unlock the object using the following methods:

- To unlock the selected object, in the navigation pane under Details, click the Fields link if the fields for the selected object are not displayed.
 - To unlock an associated object (child or parent):
 - In the **Associations** section of the navigation pane, click the object type to unlock.
 - From the listing pane, click the name of the object you want to unlock.
3. From the detail pane of the associated object, click **Actions > Unlock this item**.
 4. To view lock details on the Detail View page, in the **Details** section of the navigation pane, click **Locks**.

Unlocking all objects

You can unlock all objects within a business entity or only the business entity.

About this task

Any signature on an unlocked object remains in effect and is NOT revoked. Before you unlock an attached file, check it in.

You can unlock objects in a Business Subentity even if its parent Business Entity is locked. Use the unlock all operation if the remove locks option was not selected after a finalized reporting period. You can also use unlock all for different Business Subentities, such as a multinational organization, that has different reporting period closure dates during the year.

Procedure

1. From the menu bar, click **Organization > Business Entities**. Click the name of the business entity to unlock.
2. To unlock all subentities, click **Actions > Unlock All**.
3. To unlock only the business entity, click **Actions > Unlock this Business Entity**.

Viewing locks

The Locks pane displays the locks placed on an object during a selected reporting period. By default, the date and time the lock was placed on the object, the name of the lock owner, and whether the lock was inherited is displayed. You must have application permissions to view locks.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the detail page of the object to view. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
3. In the **Details** section of the navigation pane, click **Locks**.

Chapter 12. Working with reports

Reports

IBM OpenPages with Watson comes with a variety of pre-defined informational and exception reports, such as graphical summary dashboard reports, specific task reports that are assigned to users, issues monitoring reports, and management reports. Some reports may also link to sub-reports, which contain more detailed information on a particular area. Reports can be generated on demand at any time.

Example of using an Operational Report - You want to find out what the loss event trends were for workplace safety in a particular month. You might select, for example, the *Loss Events Summary Report*. It displays a chart of the financial loss, non-financial loss, and loss event count for the selected month.

To narrow the scope of the data that is returned for workplace safety, you could select the Risk category called Employment Practices and Workplace Safety and a Causal Category of People.

Example of using a Financial Report - You are working on effective and ineffective financial controls and want to see all the effective and ineffective financial controls for a division of the company. You could select, for example, the *Financial Control Operating Effectiveness Report*. To narrow the scope of the control data that is returned to the division you want, select the name of the division on the report prompt page.

Depending on your configuration, you may also select reports either embedded or listed on the home page. Reports are categorized as follows:

- Interactive - reports that prompt you to select or enter values that filter the data in the report. For example, these reports may prompt you to select a Business Entity, reporting period, or start and end dates. The report then limits the scope of the returned data. Reports that prompt for a Business Entity return data for objects under that entity.
- Static - reports that are generated as soon as you click the name of the report.

You can access a list of available reports from the Reporting menu on the menu bar. Available reports are directly listed on the Reporting menu. Alternately, you can select the All Reports menu item to display the Reports page where reports are grouped by folder categories and new reports can be added (requires administrator privileges).

About reports

This topic provides links to information about reports.

- [“Reports” on page 131](#)
- [“Emailing a report” on page 132](#)
- [“Generating and viewing reports” on page 131](#)
- [“Viewing reports in a different format” on page 99](#)

Generating and viewing reports

You can generate an individual report from the **Reporting** menu.

Procedure

1. To run a report, from the menu bar, click **Reporting**.
2. Click the name of the report.
3. For interactive reports, complete all required fields and selections.
4. Click **Finish** to generate the report.

Emailing a report

If your system is configured, you can generate a report and send it by email.

Procedure

1. On the generated report, click the **Keep this version** link.
2. Click **Email Report**.
3. In the **Set the email options** window, type an email address in the To box.
4. To send the report to multiple addresses, separate each address with a semicolon (;).
5. Type a subject line and a message.
6. Select whether the report is sent as an attachment or as a link.
7. Click **OK**.

Viewing reports in a different format

If your system is configured to display reports in different formats, you can generate a report and then view or save it in another format. The standard format is HTML.

Procedure

1. On the icon bar of the generated report, click **Action**.
2. From the list, select a format.
3. Follow the screen prompts.

Chapter 13. Using OpenPages Platform objects

Platform objects

Platform objects are the fundamental objects that make up the core of OpenPages. They are part of every OpenPages system, regardless of the solutions that are configured.

Business Entities

Business entities are abstract representations of your business structure. A business entity can contain subentities (such as departments, business units, or geographic locations). The entity structure that you create depends on your business needs. For example, you might create a parent entity for your business headquarters and a subentity for each location or department. You might also want to represent both a legal entity structure and a business entity structure.

Business entities are also used to organize library data such as risk and control libraries, or regulatory content (for example, laws, regulations, and standards).

When you set up your business entity hierarchy, work with your IBM OpenPages consultant. The structure of your business entities impacts the type and quality of information that can be extracted from the application.

In IBM OpenPages Internal Audit Management Business Entities also model the Internal Audit organizational structure, which facilitates reporting and security for the Internal Audit team. The Internal Audit organizational structure is a top-level entity to minimize the chance of accidentally granting a business user access to Internal Audit information. The elements of the Audit Universe that are owned by an Internal Audit team are associated with the team Business Entity. Another top-level Business Entity structure can be created to organize confidential Audits, providing special security to these Audits. Business Entity can also be used to organize a Library of template audit content.

Risk Assessments

Risk assessments give you the ability to evaluate and report potential liabilities for a set of business entities or processes. A Risk Assessment object contains the names of the assessor and reviewer, the assessment time frames, and the status of the assessment. Use a Risk Assessment to manage the risk self-assessment process. Associate Risk objects with a Risk Assessment to create a link between the business entity and the Risks. For example, create a Risk Assessment to assess operational risks, such as external theft and fraud, internal fraud, physical property damage, or business disruption.

Risk Assessments Overview

This topic provides links to information about the Risks Assessments Overview page.

- [“About filters” on page 83](#)
- [“Adding an object instance with the Add New wizard ” on page 105](#)
- [“Associations between objects” on page 108](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Notifications” on page 73](#)
- [“Refreshing information on a page” on page 97](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)

Risk Assessment Evals

Risk Assessment Evaluation objects are similar to Risk Evaluation objects except that they are instantiated as children of Risk Assessments. They store risk assessment data.

Control Objectives

A Control Objective is an assessment object that defines the risk categories for a Process or Sub-Process.

Control Objectives define the COSO compliance categories that the Controls are intended to mitigate. Control Objectives can be classified into categories such as Compliance, Financial Reporting, Strategic, Operations, or Unknown.

After a Control Objective is identified, the Risks belonging to that Control Objective can then be defined. In most cases, each Control Objective has one Risk that is associated with it. However, it might have more than one Risk that is associated with it. For example, a financial services company employs traders that are aware of the required ethical standards. The HR department sets up a control objective called 'Personnel'. A risk that is associated with the Control Objective is, "Employees engage in business dealings that conflict with the company objectives for ethical and fair trading."

By default, an OpenPages Internal Audit Management Control Objective is disabled. This object is not often used, except to align with other solutions that might use it.

Processes

Processes represent the major end-to-end business activities within a business entity that are subject to risk. Processes reside in areas such as financial reporting, compliance, and information security. For example, Processes in the Accounts Receivable department such as order-to-cash could be improved with controls to protect against financial reporting risks such as fraudulent behavior or financial reporting inaccuracies.

In OpenPages Internal Audit Management, Processes are also used in scoping audits. Audits can copy Processes that are created by the business entity, or create their own Processes.

Processes Overview

This topic provides links to information about the Processes Overview page.

- [“About filters” on page 83](#)
- [“Adding an object instance with the Add New wizard ” on page 105](#)
- [“Associations between objects” on page 108](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Notifications” on page 73](#)
- [“Refreshing information on a page” on page 97](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)

Process Evals

Process Evaluation objects are children of Process objects and they are used to capture process measurement values for trending purposes.

When the reporting periods do not align with the evaluation cycles, you can use Process Eval objects to capture multiple evaluation cycles within a single reporting period.

Sub-Processes

A Sub-Process is a component of a Process. It is used to divide Processes into smaller units for assessment purposes. For example, an order-to-cash financial Process might be composed of several Sub-Processes such as accounts payable, purchasing, and general accounting. Any of these Sub-Processes might expose the Business Entity to risk and can be improved by using controls.

Controls

Controls are policies and procedures that make sure that risk mitigation responses are performed.

After you identify the risks that occur in your practices, establish controls, such as approvals, authorizations, and verifications. These controls remove, limit, or transfer these risks.

Controls provide either prevention or detection of risks. Controls are associated with tests that ensure that a control is effective. For example, the human resources department identifies a risk in the new hire process. The process does not comply with regulations and guidelines for diversity and discrimination. Define controls to mitigate this risk, such as, establish hiring policies and procedures, and conduct mandatory training for hiring managers.

In IBM OpenPages Internal Audit Management use Controls to create a detailed model of the Controls that exist or that you want to enforce on the activities that are audited. If shared with the Business, the Controls can be rated separately by Internal Audit and by the Business.

Compliance Plans and Compliance Themes

The Compliance Plan and Compliance Theme objects are used with IBM OpenPages Regulatory Compliance Management.

Compliance Plans allow for the creation of an overall plan to address regulatory requirements in a structured setting, or to structure a set of regulatory tasks. For example, a Compliance Plan might be created to track regulatory tasks, or to conduct compliance assessments against various regulatory requirements. One or multiple Compliance Themes can be grouped into an overall Compliance Plan for the organization.

Compliance Themes allow you to organize regulatory requirements into themes for assessment purposes. This approach enables you to assess compliance requirements beyond the typical business entity approach, by grouping regulatory requirements across themes that impact across the organization. Sample themes might include data privacy, governance, accountability, and so on. You can assess the impact of regulations not just within business entities, but across themes that touch on multiple areas of the organization.

You can deploy a Compliance Theme to multiple business entities. Or you can deploy multiple themes to a single business entity. The RCM Theme Deployer creates the structure for you, including the compliance plan, compliance theme, and the relevant requirement evaluation records beneath the theme, linked to the relevant Control objects.

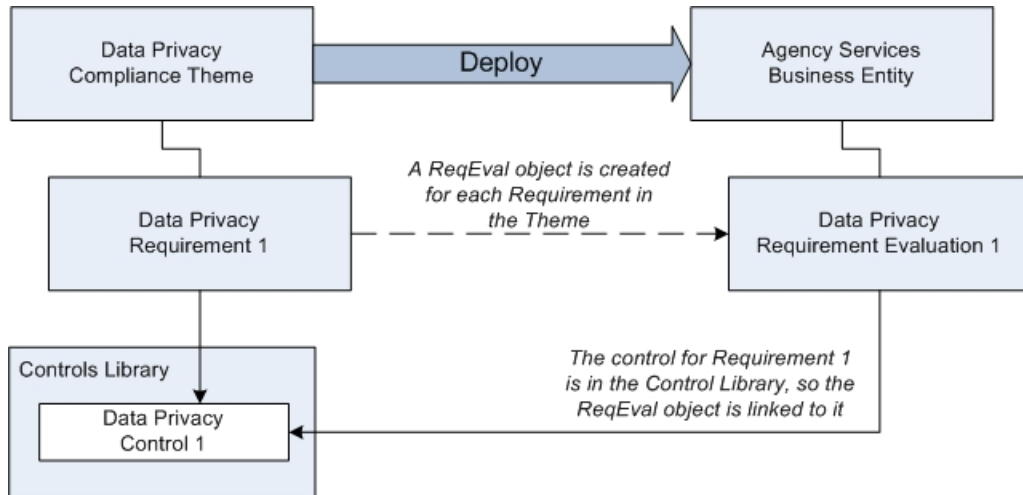
For example, suppose that you want to deploy the Data Privacy compliance theme to the Agency Services business entity. The Data Privacy compliance theme has 35 related requirements. Some of these requirements have controls associated with them. When you deploy the Data Privacy theme, a Requirement Evaluation object is created for the business entity for each of the 35 requirements of the theme. You now have the requirement evaluation objects that you need to assess how well the business entity is meeting the requirements.

You can choose how or if control objects are created or linked. You can choose to create or link controls, link controls, or you can choose not to handle control objects when you deploy a theme.

For example, suppose that you deploy the Data Privacy theme and you choose to create or link controls. The associations between controls and requirement evaluation objects are set up for you, based on the following steps:

- Does Agency Services already have an associated control that is relevant to the requirement? If so, create a link between the control and the requirement evaluation.
- If Agency Services does not have an associated control that is relevant, is there a control in the RCM Library that is relevant? If so, create a link between the Library control and the requirement evaluation.
- If Agency Services does not have an associated control that is relevant and no Library control objects are relevant, create a new control object and link it to the requirement evaluation.

In this example, Data Privacy Requirement 1 is linked to a control called Data Privacy Control 1. Agency Services does not yet have this control. Therefore, Data Privacy Requirement Evaluation 1 is linked to the control in the Controls Library.



Deploying multiple Compliance Themes to a business entity

You can deploy multiple compliance themes to a business entity.

Procedure

1. From the menu bar, click **Regulatory Compliance > Compliance Plans**.

Use the filters to find the plan that you want to use.

2. Click the Compliance Plan that has the Compliance Themes that you want to deploy.
3. Click **Launch** under **Compliance Plan Administration**.

The **Deploy Compliance Themes into Entity** window is displayed.

4. Select the compliance themes that you want to deploy. Click **Next**.
5. Select how to deploy the related Control objects.
6. Click **Next**.

7. Review the information on the **Preview** tab.

8. Click **Submit**.

The deployment process begins. the **Process History** page shows its progress. Click **Refresh** to update the page.

9. Close the **Process History** window.

Note: To see a list of all of the processes that you are running, click **My OpenPages > My Background Processes**

Deploying a Compliance Theme to multiple business entities

You can deploy a compliance theme to multiple business entities.

About this task

When you deploy a Compliance Theme to one or more business entities, the objects and associations that you need for requirement assessments are created for you. You can also choose to create and/or link to the controls that are associated with the requirements that are associated with the theme. You can also choose not to create or link controls.

Procedure

1. From the menu bar, click **Regulatory Compliance > Compliance Themes**.
Use the filters to find the theme that you want to deploy.
2. Click the Compliance Theme that you want to deploy.
3. Click **Launch** under **Compliance Theme Administration**.
The **Deploy Compliance Theme into Selected Entities** window is displayed.
4. Select the business entities that you want to deploy the Compliance Theme to. Click **Next**.
Note: Rich text fields are shown in plain text in the RCM Theme Deployer.
5. Select how to deploy the related Control objects.
 - **Create/Link:** If the Library Control is not already associated with the business entity and if there is no Control object below the business entity to map the Requirement Evaluation objects to, the RCM Theme Deployer creates a new Control object.
 - **Link:** If the business entity has a Control that is relevant, the RCM Theme Deployer creates a link between the Requirement Evaluation object and the Control that is in scope for the business entity.
 - **None:** No action. The RCM Theme Deployer does not create or link Control objects.
6. Click **Next**.
7. Review the information on the **Preview** tab.
8. Click **Submit**.
The deployment process begins. the **Process History** page shows its progress. Click **Refresh** to update the page.
9. Close the **Process History** window.
Note: To see a list of all of the processes that you are running, click **My OpenPages > My Background Processes**

Control Evals

Control Eval objects are similar to Risk Evaluation objects except that they are created as children of Controls. They store control assessment data. When report periods and control assessment evaluation cycles are not aligned, use Control Eval objects to capture multiple evaluation cycles within a single reporting period.

Risks

Risks are potential liabilities. Risks can be associated with business processes, business entities, or a compliance with a mandate. Each risk has controls that provide safeguards against the risk. The controls help lessen consequences that result from the risk. Use the Risk object to categorize risks; capture the frequency, rating, and severity of observed and computed risk data; and view reports to identify top risk items. For example, the Cash account has a process that is called Payroll. A potential risk that might occur in the payroll is a duplicate payroll disbursements or the creation of fictitious payroll disbursements. Identifying risks in processes is a key component of developing a financial controls documentation project.

In OpenPages Internal Audit Management, a Risk that is shared between an internal audit and the business can be rated separately.

Risk Evals

Risk Evaluation objects are children of Risk objects and they are used to capture risk measurement values for trending purposes. Often reporting periods do not line up with risk evaluation cycles and so Risk Eval objects can be used to capture multiple evaluation cycles within a single reporting period.

Test Plans and Test Results

Test Plans

A Test Plan is a container for tests and can be associated with parent Control objects and child objects, such as Test Results and Issues. Determine the operating effectiveness of a Control by conducting detailed tests and then documenting the results. Test Plans describe the mechanisms that determine if a Control is effective. For example, a sample Control is: "Human Resources authorizes changes in employee status." A test for this control might be: "Verify HR authorization stamp on new employee records." The test verifies that the new Control is implemented and in use.

The default OpenPages Internal Audit Management configuration uses the Workpaper object in place of the Test Plan and Test Result. The Audit object needs access to these objects because they are often used to document business testing.

Test Results

A Test Result is the information that is obtained from running a test plan.

The default OpenPages Internal Audit Management configuration uses the Workpaper object in place of the Test Plan and Test Result. The Audit object needs access to these objects because they are often used to document business testing.

Issue and Action Items

Although issues are generated in areas where internal controls are not properly implemented, use the Issue object to document a concern that is associated with any object type. For example, a Test is associated with a Control, but the Test failed the last time that it completed. This potential problem can be highlighted by capturing it in an Issue object.

An Issue is resolved through Action Items. You can use an Action Item or a series of related Action Items to form an Action Plan. Each Action Item is assigned to a user for resolution, and tracks progress. After all Action Items for an Issue are complete (when an assignee sets the value to 100%), close the Issue.

In OpenPages Internal Audit Management, Issues and Action Items can be used instead of, or with, Findings.

Adding comments to an Action Item

You can add comments to an Action Item, Issue Action Item, or Milestone Action Item from the Detail View page. After you save a comment, it cannot be edited or deleted.

Procedure

1. From the menu bar, select the object type.
2. Navigate to the Detail View page for the parent object that you are interested in. You can access the Detail View from a link in an email, a helper, a home page list, the Folder View, the Filtered List View, or a Grid View.
 - a) To add an Issue or Action Item, select the **Remediation** menu and choose **Issues** or **Action Items**.

- b) To add a Milestone Action item, select the **My OpenPages** menu and choose **Project, My Milestone Action Items**.
3. Click the name of the action item to edit.
4. To add a comment, complete the following steps:
 - a) In the **Details** section of the navigation pane, click **Fields**, if the fields for the selected object are not already displayed.
 - b) Click **Actions > Edit**.
 - c) Add a comment in the **Comment** field and click **Save**.
5. To view a chronology of comments, in the **Details** section of the navigation pane, click **Comments**.

Completing Milestone and Issue Action Items

You can select a percentage in the Percent Complete field of a Milestone Action Item or an Issue Action Item object to identify your progress or completion of the assigned action item. To show that you have completed an action item, set the percentage complete to 100%.

Procedure

1. From the menu bar, click **Remediation > Action Items**.
2. Navigate to the Detail View page of the action item that you are interested in.
3. Click **Actions > Edit This Action Item**.
4. In the **Percent Complete** field, type 100%.
5. Click **Save**.

Preferences and Preferences Groups

The Preference object is a child of a Business Entity or Preference Group, and includes variable values that can drive reports, workflows, and computed fields. It has entity-specific variable values that enable different behavior for the same workflows. For example, define variable values to determine the behavior for review and approval workflows such as the appropriate users for each level of review and approval, and the thresholds for determining how many levels of review and approval are required.

The Preference Group is used to group Preference objects together. Without this grouping object, each Preference object must be associated separately with each relevant Business Entities. The Preference Group helps minimize the associated maintenance.

In the default IBM OpenPages Internal Audit Management configuration, these objects are used to hold weights for Risk Factors used in Annual Assessment Risk Ranking. Since the weights and factors can be different for each type of audit, such as financial, operational, or strategic, create a separate Preference instance for each audit type. As a child of Business Entity, this approach provides the ability to have entity-specific variable values.

Milestones and Milestone Action Items

A Milestone represents a significant point in the development of your project. You can tie Milestones to specific dates, or use them to signify the completion of a portion of the entire project. Milestones can contain other Milestones or Milestone Action Items. You cannot associate a Milestone with other objects in the object hierarchy.

A Milestone Action Item is a specific objective that must be completed to reach a Milestone. In general, all Milestone Action Items that are associated with a Milestone must be completed to reach a Milestone. When you are assigned a Milestone Action Item object, it is displayed (if configured) in the My Milestone Action Items section of your My Work tab.

Adding milestones

Use this procedure to add a milestone.

Procedure

1. From the menu bar, click **Organization > Milestones**.
2. On the **Milestones** page, click **Grid Actions > Add New**.
3. On the **Adding Milestones** page, type a name for the new milestone. Complete the required fields.
4. Click **Create**.

My Milestone Action Items

The **My Milestone Action Items** page displays a list of all unfinished action items that are currently assigned to you. Each project action item identifies the starting date, due date, and completion percentage.

Procedure

1. From the menu bar, click **My OpenPages**.
2. Click **My Milestone Action Items**.
3. Click the name of a project action item.

Milestones Overview

This topic provides links to information about the Milestones Overview page.

- [“About filters” on page 83](#)
- [“Adding an object instance with the Add New wizard ” on page 105](#)
- [“Associations between objects” on page 108](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Notifications” on page 73](#)
- [“Refreshing information on a page” on page 97](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)

Completing Milestone and Issue Action Items

You can select a percentage in the Percent Complete field of a Milestone Action Item or an Issue Action Item object to identify your progress or completion of the assigned action item. To show that you have completed an action item, set the percentage complete to 100%.

Procedure

1. From the menu bar, click **Remediation > Action Items**.
2. Navigate to the Detail View page of the action item that you are interested in.
3. Click **Actions > Edit This Action Item**.
4. In the **Percent Complete** field, type 100%.
5. Click **Save**.

Questionnaires, sections, questions

This topic provides a description of questionnaires, sections, and questions.

Questionnaire, Section, and Question objects are used together to implement questionnaires. Questionnaires are created as templates in a library and gather information from respondents. Section objects are children of parent Questionnaire objects and organize sets of related questions. Question objects are children of Section objects and capture respondent data. Business administrators use the Questionnaire Set Up Activity View to configure questionnaire templates. Questionnaire templates are then copied to parent Business Entity, Process, Sub-Process, or Employee object types.

Overview of the questionnaire assessment process

Questionnaire assessments are based on the following objects:

- Assets
- Questionnaire templates
- Programs
- Questionnaire assessments

Assets are the existing objects that the questionnaire assessments assess and measure. They can be resources, processes, subprocesses, employees, vendors, or engagements. You use questionnaire templates to design and write the questions. You use programs to define, launch, and distribute questionnaire assessments to respondents. In the Task Focused UI, you can also create ad hoc questionnaire assessments, which are single questionnaire assessments that are independent of programs.

Questionnaire assessments move through a review process, which is managed behind the scenes either by GRC Workflow or the legacy lifecycle functionality. Regardless of the functionality that is used, a lifecycle must be assigned to programs and questionnaire assessments. A lifecycle can be two-stage, three-stage, or four-stage.

For more information about GRC Workflow, see the *IBM OpenPages with Watson Administrator's Guide*.

To set up and use questionnaire assessments:

1. Plan the questionnaire assessments and program you want to create. Decide what resources you want to measure, the lifecycle you want it to follow, and the program you want to use to start it.
2. Work with your administrator to determine what workflow is used to drive the review process. Review the workflow and ensure that you understand the stages in the review process.
3. Plan the questionnaire template's content (sections, subsections, and questions) and scoring. A questionnaire template can have up to 1000 questions. A subsection should not have more than 50 questions, including dependent questions. Questionnaire templates are rendered on the client, therefore, the client determines how quickly a questionnaire assessment is initially rendered. After it is rendered, it remains in cache and performance should be quick as respondents work through the sections and answer questions.
4. Create a questionnaire template object.
5. Launch the questionnaire template and add content to it.
6. If they do not exist, create the assets (resources, processes, subprocesses, employees, vendors, or engagements) that the questionnaire assessment is measuring. Identify the asset owners.
7. Create a program. Assign the questionnaire template, a lifecycle, and assets to it. Launch it. The system creates the questionnaire assessments and sends an email with a link to the respondents. The workflow (or lifecycle) on questionnaire assessments begins and the first stage is set to the information gathering stage.
8. Create ad hoc questionnaires (optional). For more information, see [“Creating an ad hoc questionnaire assessment” on page 155](#).

9. Respondents receive and answer questionnaire assessments. As they work, the system calculates their progress and compliance and risk scores. Reviewers can see this information and monitor their progress.
10. Respondents finish the answers and submit their questionnaire assessments. The questionnaire assessments move through the workflow (or lifecycle) until they are closed.
11. Run questionnaire reports to review scores, progress, and answers. Two questionnaire reports are available:
 - Program Report
 - Single Assessment Report

Questionnaire templates, resources, and programs must be in the current reporting period. The system issues a message if a respondent opens a questionnaire assessment that is assigned to a resource in a reporting period other than the current reporting period. It also issues a message if you launch a questionnaire template or program that is in a reporting period other than the current reporting period.

Questionnaire assessment functionality is available in both the Task Focused UI and the Standard UI. Changes made in one interface are immediately reflected in the other. You must use the Task Focused UI to use the GRC Workflow functionality and to create ad hoc questionnaire assessments.

Questionnaire template scores and scoring methods

The system calculates compliance score and risk score when a respondent completes a questionnaire assessment. How these scores are calculated depends on the scoring method, simple or weighted risk average, that you assign to a questionnaire template.

Use the simple method if the focus of the questionnaire template is at the question level. The question weight defines the importance of each question. To not apply weights, give all the sections, subsections, and questions the same weight, for example, 1.

Use the weighted average method if the focus of the questionnaire template is at the subsection level. Use this method if there are subsections that have a higher significance than other subsections. The difference between the two methods is that the simple method does not calculate a weighted average at the subsection level, which affects the overall results in the compliance and risk scores.

To plan the scoring for a questionnaire template:

- Decide what questionnaire scoring method to use: simple or weighted average.
- Decide what weight to assign to each section and subsection and be consistent.
- Decide what answer scores you want to apply to single and multiple choice questions. Use a higher answer score for better answers, for example, use 10 for the best answer. Keep the range as small as possible, for example, 1 - 10. Use a larger range only if a question has many answers, for example, more than 10.
- Consider how dynamic questions are scored. Only questions visible to the respondent are included in the scoring. Questions that are hidden from the respondent are excluded.
- Consider that long text and short text questions are excluded from scoring.

For information about the formulas used in scoring see [“Questionnaire template scoring formulas” on page 142](#).

Questionnaire template scoring formulas

When a respondent answers a questionnaire assessment, the system calculates and updates the compliance score and risk score every time it is saved. The system also calculates total score and max score but they are not displayed to the respondent. To calculate the scores, the system uses formulas that consider the questionnaire scoring method and values you provide on the questionnaire template.

You provide the following values on a questionnaire template:

Table 23. Questionnaire template weights and scores

Code	Name	Value
QW	Question weight	0 - 9999, 0 excludes question
AS	Answer score	-1 to 9999, -1 excludes answer
SW	Section weight	0 - 9999, 0 excludes section
SSW	Subsection weight	0 - 9999, 0 excludes subsection

The system uses the following formulas:

Table 24. Score formulas

Code	Name	Formula
QS	Question score	0 - 10, formula depends on whether a question is single or multi choice. ¹
WQS	Weighted question score	QS * QW
SSS	Subsection score for total score	Formula depends on the questionnaire scoring method. ²
MSSS	Subsection score for max score	Formula depends on the questionnaire scoring method. ³
SS	Section score	SS = SW * SUM (SSS)
TS	Total score	TS = Sum SS
MS	Max score	MS = Sum MSSS
CS	Compliance score	CS = [TS / MS] *100
RS	Risk score	RS = MS – TS

How the system calculates question scores¹

For single choice questions:

$$QS = [AS / MAX(AS)] * 10$$

For multi choice questions:

$$QS = [SUM(Selected AS) / SUM(All AS)] * 10$$

For short text and long text questions, no question score is calculated.

How the system calculates subsection scores for the total score²

If the questionnaire scoring method is simple:

$$SSS = SSW * SUM(WQS)$$

If the questionnaire scoring method is weighted average:

$$SSS = SSW * [SUM(WQS) / SUM(QW) * 10]$$

How the system calculates subsection scores for the max score³

If the questionnaire scoring method is simple:

$$MSSS = SSW * [SUM(QW*10)]$$

If the questionnaire scoring method is weighted average:

$$MSSS = SSW * 10$$

The 10 in the max score formulas is the maximum question score.

Questionnaire templates

Questionnaire templates are used in programs to launch questionnaire assessments. They contain questions that are organized in sections and subsections. Respondents answer the questions in questionnaire assessments.

Before you use questionnaire templates, see [“Overview of the questionnaire assessment process”](#) on page 141.

Defining a questionnaire template

Questionnaire templates contain the questions that respondents answer when they complete a questionnaire assessment.

Before you begin

- Create a questionnaire template object.
- Plan the questionnaire template content and decide what method to use for scoring. For information see [“Questionnaire template scores and scoring methods”](#) on page 142.

About this task

To define a questionnaire template, you launch it with **Assessments > Questionnaire templates**. The system opens the template in the author UI. It is similar to the questionnaire UI that users open to complete a questionnaire assessment.

- The section list shows the overall structure of the questionnaire template. It also displays how many questions are in each section.
- Your work is automatically saved. Click **Save Draft** to manually save at any time.
- Anyone who can access the questionnaire template can also work on it.
- You can change a questionnaire template until it is launched with a program and sent to respondents. After that point, the system locks it and only users with appropriate credentials can unlock it, edit the questionnaire template, and lock it again. The changes take effect immediately.

Procedure

1. Click **Assessments > Questionnaire Template**.

The system displays a list of questionnaire template objects.

2. Click **Launch** in the **Authoring UI** column of the questionnaire template you want to work on.

The system opens the questionnaire template in a new window and displays a launch page.

3. Click **Open questionnaire**.

The system displays a getting started message and prompts you to create your first section. The next time that you open the questionnaire assessment it opens beginning with the first question of the first section. You are using the author UI.

4. Create the sections and subsections. For information see [“Adding sections and subsections to a questionnaire template”](#) on page 145.
5. Write the questions. For information see [“Adding questions to a questionnaire template”](#) on page 146.
6. Click **Preview** to check your work and review how the questionnaire template appears when a respondent works on it. When you are finished previewing, click **Edit** to return to editing mode.
7. Review the questionnaire template. You can edit and delete sections, subsections, and questions. You can reorder the sections.
8. To stop working on a questionnaire template, close the browser window.
9. To resume working on a questionnaire template, launch the questionnaire template again. The system displays the questionnaire template beginning with the first question of the first section.

What to do next

The next step is to launch the questionnaire template with a program. For information see [“Launching a program”](#) on page 156.

Adding sections and subsections to a questionnaire template

Sections and subsections provide structure for a questionnaire template.

Before you begin

Create the questionnaire template and plan how the sections and subsections are organized and weighted for scoring. For information see [“Defining a questionnaire template”](#) on page 144.

About this task

Use this task to add, edit, and delete sections and subsections on a questionnaire template.

Procedure

1. Click **Assessments > Questionnaire Template**.
The system displays a list of questionnaire assessment objects.
2. Click **Launch** in the **Authoring UI** column of the questionnaire template you want to work on.
The system opens the questionnaire template in a new window and displays a launch page.
3. Click **Open questionnaire**.
4. Click the **+ Section** icon to add a section.
5. Enter a **Title**. This value is displayed in the questionnaire assessment.
6. Enter a **Description**. This value is displayed in the questionnaire assessment.
7. Enter a value 0 - 9999 in **Weight**. Enter 0 to exclude all the questions in the section from scoring. It is not displayed in the questionnaire assessment.
8. Enter a **Reference**. This value is not displayed in the questionnaire assessment.
9. Enter a **Rationale**. This value is not displayed in the questionnaire assessment.
10. Click **Add Section**. The system adds the section to the end of the template. You can now add subsections to it.
11. To add a subsection, highlight the section to which you want to add a subsection and click **+ Subsection**. After you add a subsection, you can shift it up or down in the section but you cannot move it to another section.
12. Complete all the fields for the subsection. They are the same as for a section.
13. Click **Add Subsection**. The system adds the subsection to the end of the section.
14. Click **Preview** to check your work and see how the questionnaire template looks when a respondent works on it. Verify the organization and completeness of the sections and subsections. Check for errors. When you are finished previewing, click **Edit** to return to editing mode.

15. Add more sections and subsections.
16. The status bar shows how many sections and questions are in the questionnaire template.
17. Click **Reorder** to change the order of sections or subsections within a section. You cannot move a subsection to another section. You cannot move a question to another subsection.
18. To edit a section or subsection, click **Edit Section** or **Edit Subsection** and enter the changes.
19. To delete a section, click **Delete Section**. When you delete a section, the questions and subsections in it are deleted.
20. To delete a subsection, click **Delete Subsection**. When you delete a subsection, the questions in it are deleted.
21. To stop working on the questionnaire template, close the browser.

What to do next

The next step is to add questions to the subsections. For information see [“Adding questions to a questionnaire template” on page 146](#).

Adding questions to a questionnaire template

Questions contain the information that you want respondents to answer or provide.

Before you begin

Add sections and subsections to the questionnaire template. For information, see [“Adding sections and subsections to a questionnaire template” on page 145](#).

Plan the content of a questionnaire template and follow these size guidelines:

- A questionnaire template should be limited to 1000 questions. If you are using the Oracle database, this is an unenforced requirement due to underlying Oracle platform limitations.
- A section can have up to 199 subsections and questions, including dependent questions.

About this task

Use this task to add, edit, and delete questions on a questionnaire template.

Procedure

1. Click **Assessments > Questionnaire Template**.
The system displays a list of questionnaire assessment objects.
2. Click **Launch** in the **Authoring UI** column of the questionnaire template you want to work on.
The system opens the questionnaire template in a new window and displays a launch page.
3. Click **Open questionnaire**.
4. Highlight the section and then the subsection to which you want to add a question. Click **Add Question**. You can add questions only to a subsection, not a section. After you add a question, you can shift it up or down in the subsection but you cannot move it to another subsection.
5. Enter a **Title**. This value is displayed in the questionnaire assessment.
6. Enter a **Description**. This value is displayed in the questionnaire assessment.
7. Enter a value 0 - 9999 in **Weight**. Enter 0 to exclude a question from scoring. It is not displayed in the questionnaire assessment.
8. Enter a **Reference**. This value is not displayed in the questionnaire assessment.
9. Enter a **Rationale**. This value is not displayed in the questionnaire assessment.
10. If the question is a dynamic question, set the values in **Show only if** and **Has been answered**.
A dynamic question is hidden or displayed depending on the respondent's answer to a previous question, called the control question. In **Show only if**, you select the control question that the dynamic question depends on. You can choose only from questions in the subsection you are in. They

must be single or multi choice questions. In **Has been answered**, you select the control question's answers that make the dynamic question display. You can choose one or multiple answers. In the questionnaire assessment, dynamic fields are displayed below their dependent questions with a slight indentation. Leave **Show only if** and **Has been answered** blank if the question is always displayed and not dependent on other questions.

11. Select a **Type**. Choose one of the following options:

- **Single Choice**

The respondent can choose only one answer. You write the answers.

- **Multi Choice**

The respondent can choose multiple answers. You write the answers.

- **Short Text**

The respondent can enter up to 200 characters of text. Short text questions have no answer score and are excluded from scoring.

- **Long Text**

The respondent can enter up to 1000 characters of text. Long text questions have no answer score and are excluded from scoring.

- **Table Answer**

The respondent can add up to 30 rows to the table and write up to 50 characters per cell. Table answer questions have no answer score and are excluded from scoring.

12. If you chose Single Choice or Multi Choice in **Type**, write the answers that respondents can choose from. Enter the answer text in **Choice**.

13. If you chose Single Choice or Multi Choice in **Type**, enter an answer score between -1 and 9999. Enter -1 for answers you want to exclude from scoring.

For example, the answer, Not-applicable, can be scored -1. Use a higher answer score for better answers, for example, use 10 for the best answer. Use a consistent range and keep it as small as possible, for example, 1 - 10. Use a larger range only if a question has many answers, for example, more than 10. When the score is calculated, question scores are normalized 0 - 10.

14. If you chose Table Answer in **Type**, enter the column header text in **Column**. Click **Add Column** to add more columns. A table answer can have up to 15 columns. If the question is required, the respondent must enter one row of information. Table answer questions can be dynamic questions but they cannot be control questions. For reporting purposes, table answers are persisted in CSV format with the pipe bar as a delimiter.

15. Select **Show Comment** to enable comments. All question types can have comments. If enabled, the respondent can optionally provide multiple comments. The default is selected.

16. Select **Show Attachment** to enable attachments. All question types can have attachments. If enabled, the respondent can optionally provide multiple attachments. The default is selected.

17. If comments are enabled, click the **Comments** icon to make a comment mandatory for an answer. If it is mandatory, the answer is marked as incomplete until the respondent adds a comment.

18. If attachments are enabled, click the **Attachments** icon to make an attachment mandatory for an answer. If it is mandatory, the answer is marked as incomplete and not scored until the respondent adds an attachment.

19. Click **Preview** to check your work and see how the questionnaire template looks when a respondent works on it. When you are finished previewing, click **Edit** to return to editing mode.

20. To edit a question, click **Edit Question** and enter the changes.

21. To delete a question, click **Delete Question**. To delete a control question, first delete the dynamic question or remove the dependencies.

22. To stop working on the questionnaire template, close the browser.

What to do next

Continue adding and editing questions until the questionnaire template is finished.

Review the questions:

- Verify the completeness of the questions and check for errors.
- Verify the answers and check for errors.
- Verify that comments and attachments are correctly marked as mandatory. In **Preview** mode, the system displays a message next to questions with mandatory comments or attachments.
- Check for duplicate questions.
- Check that question weights and answer scoring are correct and consistent.
- Review dynamic questions and verify that dependencies are working. To remove dependencies between questions, clear the dynamic question's values in **Show only if** and **Has been answered**.

Adding object variables to a questionnaire template

Object variables in a questionnaire template are rendered on questionnaire assessments as values from objects associated with the questionnaire assessment that respondent is answering.

You can add object variables in the following locations:

- Section descriptions
- Subsection descriptions
- Question text

The variables can insert the following information:

- The identifier, name, or description of the underlying asset on which the questionnaire assessment is based.
- The identifier, name, or description of the program from which the questionnaire assessment was launched.
- The identifier, name, or description of the questionnaire assessment that the respondent is answering.
- The identifier, name, or description of the questionnaire template from which the questionnaire assessment was created.

For example, the following text in a section description inserts the identifier of the questionnaire assessment, the name of the underlying asset it is related to, and the name of the program that generated it.

```
This questionnaire assessment, ${questionnaireassessment.id}, is related  
to the following asset: ${asset.name}.  
It is part of the ${program.name} program.
```

It is rendered in a questionnaire assessment as:

This questionnaire assessment, 2018-Assessment-7362810, is related to the asset: ResourceA. It is part of the 2018 Annual Risk Assessment Questionnaire program.

Where **2018-Assessment-7362810** is the identifier of the questionnaire assessment, **ResourceA** is the name of the underlying asset, and **2018 Annual Risk Assessment Questionnaire** is the name of the program.

After you enter the variables in the text, click **Preview** in the questionnaire template to test how the link is rendered. Create a test program and launch a questionnaire assessment to test that the variables are inserted correctly.

See [Table 25 on page 149](#) for a list of variables. Variables are not case sensitive.

Table 25. Allowed object variables in questionnaire templates

Object variable	Description
\${asset.id}	Inserts the identifier of the underlying asset
\${asset.name}	Inserts the asset name of the underlying asset
\${asset.description}	Inserts the asset description of the underlying asset
\${program.id}	Inserts the program identifier
\${program.name}	Inserts the program name
\${program.description}	Inserts the program description
\${questionnaireassessment.id}	Inserts the questionnaire assessment identifier
\${questionnaireassessment.name}	Inserts the questionnaire assessment name
\${questionnaireassessment.description}	Inserts the questionnaire assessment description
\${questionnairetemplate.id}	Inserts the questionnaire template identifier
\${questionnairetemplate.name}	Inserts the questionnaire template name
\${questionnairetemplate.description}	Inserts the questionnaire template description

You can also add links to questionnaire templates. For information, see [“Adding links to a questionnaire template”](#) on page 149.

Adding links to a questionnaire template

Links in a questionnaire template are rendered on questionnaire assessments as hyperlinks that a respondent can click to access a URL, an OpenPages object, for example, the underlying asset that a questionnaire assessment is based on, or a Cognos Analytics report.

You can add links in the following locations:

- Section descriptions
- Subsection descriptions
- Question text

There are three types of links:

- Fixed links to URLs
- Dynamic links to object views
- Links to Cognos reports

For example, the following text in a section description includes a dynamic link to an object view and a fixed link to a URL:

```
This questionnaire is related to the asset: ${Asset.link}.
For more information about resources, see [What is a resource?]
(https://www.ibm.com/support/knowledgecenter/en/SSFUEU_7.4.0/op_grc_user/
c_about_resource.html)
```

It is rendered in a questionnaire assessment as:

This questionnaire is related to the asset: ResourceA. For more information about resources, see What is a resource?

Where **ResourceA** is a link to an object and **What is a resource?** is a link to the IBM Documentation help topic about Resources.

After you enter the link in the text, click **Preview** in the questionnaire template to test how the link is rendered. Fixed links and links to Cognos Analytics reports are rendered in **Edit** and **Preview** mode.

Dynamic inks to objects are not rendered in **Edit** and **Preview** mode. Create a test program and launch a questionnaire assessment to test the links.

You can also add object variables to questionnaire templates. For information, see [“Adding object variables to a questionnaire template”](#) on page 148.

Fixed links in questionnaire templates

A fixed link renders as a hyperlink in a questionnaire assessment. When a respondent clicks the hyperlink, the URL opens in a new tab or window.

Syntax

```
[link_text](url)
```

Example

```
[What is a Control?](https://www.ibm.com/docs/en/opw/8.2.0?topic=objects-controls)
```

Renders as a hyperlink with the link text **What is a Control?** and opens IBM Documentation to the help topic about Controls.

Rules

The protocol can be http, https, or ftp. Do not use only www.

Dynamic links in questionnaire templates

A dynamic link renders in a questionnaire assessment as a link to an object associated with the questionnaire assessment that a respondent is answering.

A dynamic link contains a variable that inserts a link to the following objects:

- The underlying asset on which the questionnaire assessment is based.
- The program from which the questionnaire assessment was launched.
- The questionnaire template from which the questionnaire assessment was created.
- The questionnaire assessment that the respondent is answering.

Syntax

```
${variable}
```

Example

```
This questionnaire is based on the asset: ${Asset.link}
```

Renders as the following text, where **ResourceA** is a link to the object.

This questionnaire is based on the asset: ResourceA

Rules

See [Table 26 on page 150](#) for a list of variables.

Variables are not case sensitive.

Table 26. Allowed link variables in questionnaire templates	
Link variable	Description
\${asset.link}	Inserts a link to the underlying asset (asset name is the link title)
\${program.link}	Inserts a link to the program (program name is the link title)
\${questionnaireassessment.link}	Inserts a link to the questionnaire assessment (questionnaire assessment name is the link title)
\${questionnairetemplate.link}	Inserts a link to the questionnaire template (questionnaire template name is the link title)

Links to Cognos Analytics reports in questionnaire templates

A link to a Cognos report renders as a hyperlink in a questionnaire assessment. When a respondent clicks the hyperlink, the Cognos report opens in a new tab or window. Parameters can optionally be passed from the questionnaire assessment to the report.

Syntax

```
[link_text](report://folderName=folder name&reportName=  
report name&parameter1=  
${variable}&parameter2=value)
```

Example 1: no parameters

```
[KRI Dashboard](report://folderName=OpenPages Solutions V6/  
Indicator Reports/KRI Dashboard&reportName=KRI Dashboard)
```

Renders as a hyperlink with the link text **KRI Dashboard** and opens the KRI Dashboard report.

Example 2: fixed-value and variable parameters

```
[Program Report w/params](report://folderName=OpenPages Platform V6/Questionnaire  
Reports&reportName=  
Program Report&P_ReportType=Risk&P_Program Type=254&P_Program=${Program.id}&P_Assessment=  
${QuestionnaireAssessment.id})
```

Renders as a hyperlink with the link text **Program Report w/params**, passes fixed-value parameters (report type and program type) to the report, passes variable parameters (the questionnaire assessment ID and the program ID) to the report, and opens the report. The value of P_Program Type differs between OpenPages deployments.

Rules

Both *folderName* and *reportName* are required.

Note: If you do not know the *folderName* and *reportName*, you can look up the values by using the **Manage Pages and Templates** task in the Task Focused UI.

Do not provide the package name, OPENPAGES_REPORTS_V6, and leave *folderName* blank.

If you pass parameters from the questionnaire assessment to the report, the parameter names are determined by the Cognos report. The parameters can contain fixed-value parameters, for example, the report type or program type. The parameters can also be variables that pass the following information:

- The identifier, name, or description of the underlying asset on which the questionnaire assessment is based.
- The identifier, name, or description of the program from which the questionnaire assessment was launched.
- The identifier, name, or description of the questionnaire assessment that the respondent is answering.
- The identifier, name, or description of the questionnaire template from which the questionnaire assessment was created.

See [Table 25 on page 149](#) for a list of variables.

Separate multiple parameters with an ampersand (&).

Questionnaire assessments

Questionnaires assessments are a means of gathering information from business users in the organization. Respondents complete the questions and submit the finished questionnaire assessment.

Before you use questionnaire assessments, see [“Overview of the questionnaire assessment process”](#) on page 141.

Questionnaire assessments are created when a program is launched. Do not create them with Add New in **Assessments > Questionnaire Assessments** because they will have incomplete lifecycle information. For more information see [“Launching a program”](#) on page 156.

Completing a questionnaire assessment

As a respondent you can complete a questionnaire assessment that the enterprise risk team has sent you.

About this task

To complete a questionnaire assessment, you use the questionnaire UI.

Questions can be in the following formats:

- Single choice answer (you can choose one answer)
- Multiple choice answer (you can choose all answers that apply)
- Short text answer (you can write up to 200 characters)
- Long text answer (you can write up to 1000 characters)
- Table answer (you can add up to 30 rows and write up to 50 characters per cell)

Questions can be dynamic, meaning they are displayed or hidden based on your answer to a previous question. For example, if you answer a question with the answer YES, the questionnaire displays three more questions about that topic. But if you answer NO, the system hides the additional questions.

Your progress percentage, **Compliance Score**, and **Risk Score** are displayed on the Questionnaire Assessment Grid View (Task Focused UI) or the Questionnaire Assessment Filtered List View (Standard UI). These values are continually updated as you work on the questionnaire assessment. The compliance score is the normalized score result of all the questions you answered so far. A compliance score of 0 means non-compliance and 100 means full compliance. The risk score is the non-normalized score result. Risk score is user-defined and can be, for example, 0-100, where 0 means no risk and 100 means high risk, or 0-500, where 0 means no risk and 500 means high risk. The reviewer can also see this information.

Anyone who can access a questionnaire assessment can also work on it. More than one respondent can work on one questionnaire assessment.

In Detail View in the Standard UI, the fields on a questionnaire assessment are read-only. If you create an Activity View, define the fields as read-only.

Procedure

1. Open the email and click the URL. The system opens the questionnaire assessment in a new window and displays a launch page.
If email is not configured, click **Assessments > Questionnaire assessments**. The system displays a list of questionnaire assessments. Click **Launch** in the **Questionnaire UI** column of the questionnaire assessment you want to complete. The system opens the questionnaire assessment in a new window and displays a launch page.
2. Click **Open questionnaire**.
The system displays the questionnaire assessment beginning with the first question of the first section. You are using the questionnaire UI.
3. Begin answering questions:

- You can start in any section or subsection.
 - Work sequentially through questions in a subsection. Questions can be shown or hidden based on your answers.
 - You can change your answers as often as needed until you submit.
 - Your answers are automatically saved. Click **Save Draft** to manually save at any time.
 - You can stop and start again as often as needed.
 - You might be able to leave questions unanswered, it depends on how the questionnaire template was defined.
 - You can use the question filter in the title bar to control the questions that are displayed. You can choose: All questions, Completed questions, Incomplete questions, or Rejected questions.
 - Click **Reset** to discard an answer or text you entered and set the question back to its initial state.
 - Click **Details** to see who last answered a question and when.
4. If a question already has an answer, it was copied from the same question on a previous questionnaire assessment for the asset. You can retain the answer or change it. Click **Details** to display comments and attachments. You can retain, delete, or change them. The name of the source questionnaire assessment might also be displayed. Whether comments, attachments, and source information are displayed depends on settings when the program was launched.
 5. If comments are enabled for a question, click **Comments** to add additional information to an answer. All questions can have comments. A question can have multiple comments. A comment can be an optional or mandatory part of an answer. If it is mandatory, your answer is marked as incomplete until you add a comment. Maximum length is 252 characters. You can copy and paste text into a comment. If you copy the text from another source, it must be in one line without paragraph breaks. Comments cannot be deleted.
 6. If attachments are enabled for a question, click **Attachments** to add supporting documentation to your answer. All questions can have attachments. An attachment can be an optional or mandatory part of an answer. If it is mandatory, your answer is marked as incomplete and not scored until you add an attachment. You can add a description to an attachment; maximum length is 100 characters. A question can have up to 20 attachments. Attachments can be deleted.
 7. To stop working on a questionnaire, close the browser window.
 8. To resume working on a questionnaire, launch the questionnaire assessment again. The system displays the questionnaire assessment beginning with the first question of the first section.
 9. When you are finished answering questions, verify that you finished all the questions and that they are complete. You can still change any answers, if needed. Verify that you added comments and attachments to questions that require them. You can delete attachments and add new ones, if needed. Choose Incomplete questions in the question filter. If no questions are listed, you answered all the questions and the answers are complete.
 10. Click **Submit** or **Submit and Close**. The workflow (or lifecycle) determines which icon is displayed. The system displays a summary screen that lists the due date, percentage of completed questions, and number of rejected questions. You can add a comment.
 11. Click **Submit**. The system changes the stage to closed for a two-stage lifecycle or to review for a three-stage or four-stage lifecycle. You can still access it but you can no longer edit it.
 12. Close the browser window.

Results

After you submit a question assessment, what happens next is determined by its workflow (or lifecycle). The question assessment can either be closed or move through a review process. If it moves through a review process, a reviewer receives an email (if configured) and reviews it. If they reject it, it is returned to you and you receive an email. Look in the section list for messages about rejected answers. Open the section and find the rejected answers. The reviewer added comments or reasons that explain why your answer was rejected. Make the corrections and resubmit it.

For lifecycles, if it is assigned to a two-stage lifecycle, it is closed and, by default, no emails are sent. If it is assigned to a three-stage or four-stage lifecycle, a review process begins.

Reviewing a questionnaire assessment

You can review questionnaire assessments that people in your organization have completed. You can review a questionnaire assessment if it is at the review lifecycle stage.

About this task

When a questionnaire assessment is in the review lifecycle stage, Review Mode is displayed in the top-level section of the questionnaire UI. Only a reviewer can open it and review answers. They can approve a questionnaire assessment or reject it.

Procedure

1. Open the email and click the URL. The system opens the questionnaire assessment in a new window and displays a launch page.

If email is not configured, click **Assessments > Questionnaire assessments**. The system displays a list of questionnaire assessments. Click **Launch** in the **Questionnaire UI** column of the questionnaire assessment you want to review. The system opens the questionnaire assessment in a new window and displays a launch page.
2. Click **Review questionnaire**.

The system displays the questionnaire assessment beginning with the first question of the first section. You are using the questionnaire UI in reviewer mode.
3. Review the answers.
4. If all the answers are complete, within the questionnaire UI click **Action > Approve and Close** (three-stage lifecycle) or **Action > Submit for Approval** (four-stage lifecycle). If a GRC Workflow is driving the review process, the option names might be different.
5. If an answer is incorrect or incomplete, you can reject it:
 - a) Click **Reject Answer**.
 - b) Add a comment and click **Reject** in the dialog box.

In the section list, the system displays how many questions in the section are rejected. You can reject only individual questions not sections or subsections.
 - c) Review the remaining answers.
 - d) When you are finished, click **Action > Reject** in the title bar.

The questionnaire assessment goes back to the information gathering stage. It is sent back to the respondent. The respondent receives an email and launches the assessment, answers the rejected questions, and resubmits it. When it comes back to you, you receive an email, open it again, and follow the same process to review it. You can approve it or reject it again. On the second and subsequent reviews, you can provide a comment on answers you accept that you previously rejected.

Results

After you approve a questionnaire assessment, what happens next is determined by its workflow (or lifecycle).

For lifecycles, if it is assigned to a three-stage lifecycle, the system closes it. At that point Read Only is displayed in the top-level section. Both the respondent and the reviewer can view it but neither one can edit it.

If it belongs to a four-stage lifecycle, an approver receives an email and reviews it, following the same process as the reviewer and using the questionnaire UI in Review Mode. The approver can reject answers and send it back to you. Look in the section list for messages about rejected answers. Open the section

and find the rejected answers. The approver added comments or reasons that explain why an answer was rejected. Review the comments and resubmit it or reject it. If you reject it, it goes back to the respondent. When the approver clicks **Action > Approve**, the system closes the questionnaire assessment. At that point Read Only is displayed in the top-level section. You can view it but no longer edit it.

Emails are not sent if the assignee remains the same. By default, emails are not sent when questionnaire assessments are closed.

Creating an ad hoc questionnaire assessment

Use an ad hoc questionnaire assessment to create a single questionnaire assessment that is independent of a program.

About this task

The questionnaire assessment can be assigned to another user, not just the user who created it.

Procedure

1. In the Task Focused UI, open the asset for which you want to create a questionnaire assessment. For example, click **Assets > Resources**.
2. Expand the **Assessment, Issues and Vulnerabilities** section.
3. Click **New ad-hoc questionnaire assessment**. The button might have a different location and name in your system.
A view opens where you can create a new questionnaire assessment. The asset where you started is assigned to the questionnaire assessment.
4. Assign a lifecycle to the questionnaire assessment.
5. Add optional information.
6. Click **Save**.
A view opens where you can work with the questionnaire assessment.
7. Click **Select Questionnaire Template** and assign a template to the questionnaire assessment.
8. Click **Launch** to open the questionnaire assessment and begin completing it.
The workflow that the questionnaire assessment is assigned to starts.

Updating a questionnaire assessment's lifecycle assignee

You can update a questionnaire assessment's lifecycle assignee if it is empty or incorrect.

Before you begin

- Verify that the assets that are assigned to the questionnaire assessment have employee names or primary owners and that they are correct.

About this task

If a questionnaire assessment's lifecycle assignee is empty, the system cannot initiate the first lifecycle stage owner. If the lifecycle assignee is incorrect, the system cannot set the stage owner to the correct user.

Procedure

1. From the menu bar in the Standard UI, click **Assessments > Questionnaire Assessment**.
2. Open the questionnaire assessment in the Detail or Activity View.
3. If the fields are not displayed, in the **Details** section in the navigation pane, click the **Fields**.
4. In the Lifecycle Management fields set **Update Assignee** to **Yes**.

5. Click **Save**.

What to do next

You must relaunch the program that initially created the questionnaire assessment. For more information see [“Launching a program” on page 156](#).

Programs

You use programs to define and launch questionnaire assessments.

A program defines the people who are involved in an assessment, this includes the responsible manager, the reviewers, and the approvers. It also defines the lifecycle and the questionnaire template that the program uses. A program is based on an underlying asset that you want to assess. These assets can be processes, subprocesses, resources, employees, vendors, or engagements.

Programs that are based on employees create questionnaire assessments that are sent to the employees. Programs that are based on resources, processes, subprocesses, vendors, or engagements are based on selected objects and are sent to the objects' primary owner. If an employee has no employee name or an asset has no primary owner, there is no respondent for the questionnaire assessment and the lifecycle assignee is empty.

First, create a program object and assign the questionnaire template, a lifecycle, and assets to it. When you launch it, the questionnaire assessments' lifecycle stage is set to information gathering. A workflow starts if workflows are used to drive the review process. A questionnaire assessment moves from one stage to the next when a user submits, rejects, or approves it. The stage owner can come from the underlying asset or the program owner if it is the final stage. For more information see [“Lifecycles” on page 73](#).

You can review lifecycle information in a questionnaire assessment's Task View in the Task Focused UI. In the Standard UI, use the Detail and Activity View. For more information see [“Viewing lifecycle information” on page 100](#).

Users who launch programs must have read permissions for questionnaire assessment and questionnaire template objects. Set up permissions so that only program owners can delete questionnaire assessments.

Before you use programs, see [“Overview of the questionnaire assessment process” on page 141](#).

Launching a program

You launch a program to create questionnaire assessment instances.

Before you begin

- Create a program object.
- Verify that the questionnaire template, lifecycle, and assets that are assigned to the program are correct.
- Verify that the assets have employee names or primary owners.

About this task

When you launch a program the first time, the system creates questionnaire assessment instances. You can launch it again if new assets were added. When you launch a program a second time, the system creates only questionnaire assessments for the new assets. Existing, unchanged questionnaire assessments are not affected.

Procedure

1. Click **Assessments > Programs**.

The system displays a list of programs.

2. If **Program to copy answers from** is displayed, select the source program from which you want to copy answers (optional). For information, see [“Launching a program and copying answers” on page 158](#).
3. Click **Launch** in the **Launch Program** column.
The system displays a message with the number of questionnaire assessment instances that will be created.
4. Click **Launch**.

Results

The system:

- Creates one questionnaire assessment object per employee, resource, process, subprocess, vendor, or engagement in the program. It does this in a background process.
- Starts the workflow (or lifecycle) for the questionnaire assessments.
- Sends emails to the respondents.
- Locks the questionnaire template.

What to do next

You can click the Process History link to review the status of the program launch or any other background processes related to this object, such as child associations. Review the questionnaire assessments the program created. Verify that the objects have a lifecycle assignee and that the assets are correct. If there are errors, you must make the corrections and launch the program again. For more information see:

- [“Updating a questionnaire assessment's lifecycle assignee” on page 155](#)
- [“Updating and relaunching a program ” on page 157](#)

To delete questionnaire assessments that were created in error, you must dissociate the questionnaire assessment from the asset.

Updating and relaunching a program

You can update the assets that are assigned to a program and relaunch it if new assets were added after the initial launch.

About this task

You can relaunch a program if new assets were added after it was initially launched.

Procedure

1. Click **Assessments > Programs**.
2. In the Task Focused UI, open the program. In any section, click **Update** and change the assets that are assigned to the program. Launch the program again.
3. In the Standard UI, open the program in the Detail or Activity View. In the navigation pane under Associations, click the asset type: Employees, Processes, Resources, Sub-Processes, Vendors, or Engagements.

You can see what assets are currently assigned to the program.

- a) Click **Actions > Add a new <asset type>** and select a new asset.
- b) Click **Actions > Associate an existing <asset type>** to associate the program with an existing asset.
- c) Launch the program again.

What to do next

Verify that questionnaire assessments for the new assets were created. You can relaunch a program multiple times, if needed.

Launching a program and copying answers

When you launch a program, you can pre-fill questions on the questionnaire assessments with answers from a previous program. For example, this year you can send out questionnaire assessments that are the same or similar to ones you sent last year, and you can include last year's answers. The recipient receives questionnaire assessments where some or all of the questions have pre-filled answers, which the recipient can keep or change.

Before you begin

- Determine what questionnaire template to use. You can use the questionnaire template from the previous program or save it as a new template and make changes. The two programs do not have to use the same questionnaire template.
- Verify that the questionnaire template, lifecycle, and assets that are assigned to the program are correct.
- Verify that the assets have employee names or primary owners.
- Verify which program has answers that you want to copy.

About this task

To copy answers, the questions must retain their internal identifiers from one questionnaire template to another. You can make slight changes to questions in the new questionnaire template if the question remains essentially the same. You can add new questions and delete questions. Do not repurpose questions. Instead, delete the question and create a new question so that the system cannot copy an answer for it.

Procedure

1. Click **Assessments > Programs**.
The system displays a list of programs.
2. Click **Launch** in the **Launch Program** column.
The system displays a message with the number of questionnaire assessment instances that will be created.
3. Click **Launch**.
4. In **Program to copy answers from**, select the source program from which you want to copy answers. If it is not displayed, only one program exists. There is no program to copy answers from.
5. Click **Copy Comments** to copy comments from source questions to target questions.
6. Click **Copy Attachments** to copy attachments from source questions to target questions.
7. Click **Add "copied from" information comment** to add the name of the source program to the details in the new questions.
8. Click **Launch**.

Results

The system:

- Creates one questionnaire assessment object per employee, resource, process, subprocess, vendor, or engagement in the program. It does this in a background process. The questionnaire assessments contain the questions from the questionnaire template that is attached to the program.

- If the same asset exists in both the previous program and new program, answers are copied for questions that exist in both the previous questionnaire assessment and new questionnaire assessment.
- Copies comments for the copied answers if you clicked **Copy Comments**.
- Copies attachments for the copied answers if you clicked **Copy Attachments**.
- Adds the source program's name to the copied answers if you clicked **Add "copied from" information comment**.
- Starts the workflow (or lifecycle) for the questionnaire assessments.
- Sends emails to the respondents.
- Locks the questionnaire template.
- Leaves the source questionnaire assessment and program unchanged.

What to do next

Review the questionnaire assessments that the program created. Verify that the answers were copied correctly and that they are relevant to the question. Check for missing answers.

Responding to an approval app notification

When the lifecycle stage determines that action is needed by you, you receive an email with a link to the To Do item that needs your attention.

Before you begin

For the approval app to be available, it must be configured.

About this task

Upon email notification telling you what you are being asked to do, just click on the hyperlink in the email and you are brought to a page in the approval app that includes all the relevant information and provides you with an opportunity to take the requested action.

Here are a few things to keep in mind about the approval app:

- You can use this feature on tablets and mobile devices.
- Completed items are stored in the web browser where the action was taken. If you change web browsers or clear the browser cache, you don't see the completed items from the previous browser.
- You can have up to 50 completed items in the browser. Completed items are kept for 90 days from completion.
- You can hover, click, or tap on a field label to see guidance about how that field is used. If the guidance tooltip persists, simply click on the guidance tooltip then click elsewhere on the screen. (Tap if you are using a mobile device.)

For information about approval app installation and configuration, see [Installing and configuring the approval app](#).

Procedure

1. Open the email and click the hyperlink.

The To Do item opens, showing the due date, a description, and the action that you must take.

2. Click the > symbol.

The system displays the following sections. Click on a section header to expand or collapse that section.

- A Details section. Click this to see details about the To Do item in question.

- A **Related Content** section. Click this to see information about objects related to the To Do item to provide sufficient context for you to make your action decision.
- A **Recent Activity** section. Click this to see a timeline describing the actions taken so far about the To Do item in question.

You can return to your To Do list by clicking the logo.

Capital Modeling

Capital Modeling objects store operational risk capital modeling results that are derived using the advanced measurement approach (AMA).

Chapter 14. Using OpenPages Internal Audit Management objects

OpenPages Internal Audit Management (IAM)

IBM OpenPages Internal Audit Management (IAM) provides internal auditors with a uniquely configured view into organizational governance, risk, and compliance (GRC), affording audit the chance to supplement and coexist with broader risk and compliance management activities.

As with all solutions, IBM OpenPages Internal Audit Management is completely integrated with financial controls management, IT governance, policy management efforts and operational risk management programs. The internal audit team has the capability to work as a fully integrated partner to business stakeholders, completely independently, or anywhere in between, as determined by the specific needs of the audit department or a particular audit being undertaken.

Key features include:

- The capability to risk rank the audit universe, configured according to your audit methodology
 - Powerful support for your risk assessment methodology
 - Full reporting across the entire audit universe
- The ability to define, plan, execute and report on audits across your business
 - Track and manage audits, audit sections, workpapers, and audit resource requirements and allocations
 - Automate operations through fully configurable reporting
- The ability to provide independent assurance to the business or work as an integrated part of GRC efforts
 - Opine on management's GRC efforts independently
 - Control access to confidential audits, fields, and audit-only views

OpenPages Internal Audit Management objects

This topic provides information about the OpenPages Internal Audit Management objects.

Audits

An Audit represents each execution of an audit against an Auditable Entity. For example, if an Auditable Entity is audited every two years, a separate child Audit instance must be created for each two-year period, such as 2006 and 2008. An organization might audit various processes. For example, you might audit an entity, a specific regulatory requirement, or a data center physical security.

The Audit object is configured as a self-contained object type and a folder is automatically created for each Audit instance. With this configuration, you can copy template audits and audit components from a library to the audit hierarchy without object naming conflicts.

Planning and scheduling of the Audit resources is done at the Audit level.

High-level Audit progress can be tracked by monitoring the Status values and Date values on the Audit. Key audit milestones can be tracked by adding fields that represent completion dates for each of the key milestones to track.

Use the Audit object to manage the audit process across your enterprise. The Audit identifies a holding point to capture information such as scope, objectives, timing information, review, execution, and

approval roles. You can track a subset of audits that you are undertaking in a planning horizon, or all audits in the audit universe.

Auditable entities

An Auditable Entity object is a child of a Business Entity. An Internal Audit Business Entity hierarchy is established and all Auditable Entities are created as a child of the Internal Audit Business Entity object. Auditable Entities that are aligned with elements of the Business Entity Organizational Hierarchy are also associated to those Business Entities.

An Auditable Entity represents a single element of the Audit Universe; the collection of things in the business that might be audited. Most Auditable Entities represent business or legal entities, but they can also represent processes, long-running projects or initiatives, compliance programs, or shared IT Services.

Auditable Entities are risk ranked every year to determine the priority of performing an audit that year. A Weighted Risk Score is calculated but the score can be overridden.

Audit sections

Audit Sections can be used to represent the phases of the Audit, work programs within the Audit, or other components of the Audit at the level of granularity you want.

Organizations might have multiple standard components for each Audit. Template audits that include sections for each standard component can be created in a library. Planned and Actual Start and End Dates for these sections are used to report progress on key milestones in the audits.

Detailed Audit progress can be tracked by including an Audit Section for each milestone. Alternatively, some organizations might add fields on the Audit that represent completion dates for each of the key milestones they want to track.

Although Audit Sections can be used for planning and scheduling Audit resources, most organizations find this method to be too detailed.

Plans

A Plan object type facilitates audit resource scheduling and allocation at any level. For example, you can create a single Plan object for an entire audit, or you can create one Plan object per task for each auditor who is involved with the audit. Plan objects are used to determine the availability, skills, and experience required of the desired resource. OpenPages Audit Activity Views, reports, and so on, are aligned with Planning at the Audit level. Plans can instead be associated to Audit Sections, in which case these components would need to be modified.

Plan objects also drive time tracking - all time is tracked against Plans. A Timesheet object type is used to record weekly actual hours and expenses that are expended against a Plan object for an Audit. Because Timesheet objects are associated with Plans, it is easy to track deviations between planned and actual time and expenses.

You typically create or modify a Plan object by using the Add or Modify Plans helper, which you access from a link on the Audit detail page in the Standard UI. In the Task Focused UI, plans can be edited but not created by accessing the **Audit Management > Plans** menu item.

Workpapers

A Workpaper is any artifact or deliverable you want to track in the scope of an audit. It can represent an engagement letter, a testing matrix, interview notes, or anything else appropriate to the audit in question. The workpaper itself can be attributes that are stored on the Workpaper object, or it can be a Microsoft Word, Microsoft Excel, or other type of file that is attached to a Workpaper object. When Workpaper is used for test evidence, it documents both the test planning and the test results.

Create a Workpaper object from the detail page of an Audit Section. Workpaper objects can also be copied from a library, where they represent templates of different types of workpapers that are generated by an internal audit department.

Findings

Findings can be used to represent observations that are reportable to the business, to the Audit Committee, or both. Alternatively, Findings can be used to represent individual factual observations, while Issues are used to represent consolidated themes and systemic problems, which are then reported to the business, to the Audit Committee, or both.

A Finding represents anything that is uncovered in the course of an audit that needs to be accounted for and addressed by management. You can use a finding to track management's progress in addressing the underlying issue identified. The Issue object can be used in place of, or in conjunction with, the Finding object.

Auditors

Resource planning and allocating requires key information about each individual who might perform audit work. The Auditor object is used to create a pool of Auditors who can be assigned to Audits.

Each user who is assigned to audit work is represented as an Auditor instance. Auditors are then available for resource allocation. The Auditor object includes attributes to use to evaluate and select Auditors for audit engagements, such as specialties, languages, and certifications. Auditor objects are associated with the relevant component of the Internal Audit organizational hierarchy. As a best practice, match the Name on the Auditor object with the username.

Audit review comments

The Audit Review Comment object type is used to provide feedback during the review process for an Audit and its components. It is associated as a child to the instance of the Audit, Section, Workpaper, or Finding for which feedback is being provided.

Chapter 15. Using OpenPages IT Governance objects

OpenPages IT Governance (ITG)

IBM OpenPages IT Governance (ITG) is an enterprise IT Governance solution that aligns IT services, risks and policies with corporate business initiatives, strategy, and operational standards.

IBM OpenPages IT Governance allows you to manage internal IT control and risk according to the business processes they support. In addition, IBM OpenPages IT Governance unites multiple silos of IT risk and compliance to deliver improved visibility, better decision support, and ultimately enhanced corporate performance.

Key features include:

- IT Regulatory and Policy Compliance
- Risk and Control Assessments
- Control Testing and Issue Remediation
- IT Resource Management
- Incident tracking
- Vulnerability tracking and scoring
- Key Performance and Key Risk Indicators
- Reporting, monitoring and analytics

OpenPages IT Governance terms you should know

This topic provides terms to use in IBM OpenPages IT Governance.

Application

An object that defines a software program that is used to support an IT service.

Incident

An object that records an IT occurrence that has an actual or potentially adverse effect on your enterprise.

Infrastructure

An object that defines the physical equipment or physical location that is used to support an IT service.

Library

A holding area for the mandates that are relevant to your enterprise.

Mandate

(1) An obligation to which an enterprise must comply. A mandate can be a governmental regulation (local, federal, or international), a best practice standard established by a standards organization, or an internal company policy. (2) An object used to establish your enterprise's compliance management process for a specific regulation or policy, such as PCI.

Personnel

An object that identifies the type of human resource (DBA, system administrator, business team, etc.) that is required to support an IT service.

Resource

Personnel, infrastructure, or application that is used to support an IT service.

Sub-mandate

An object used to establish the compliance management process for a sub-section of a regulation or policy. Usually a child of a Mandate object.

OpenPages Internal IT Governance objects

This topic provides information about the OpenPages Internal IT Governance objects.

Mandates

Mandates represent external items with which organizations need to comply, such as laws, regulations, and standards. Content can be pulled from third-party providers, such as UCF, Ascent Reg Tech, or Wolters Kluwer. Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system.

Sub-Mandates

Sub-Mandates represent external (or internal) sub-items with which the organization needs to comply. Content can be pulled from third-party providers, including UCF, Ascent Reg Tech, Thomson Reuters, and Wolters Kluwer. Typically, Sub-Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system. Sub-Mandate is recursive, but Deloitte, UCF, Ascent Reg Tech, Thomson Reuters, and Wolters Kluwer content use exactly one level of Sub-Mandate. Sub-Mandates also support content for regulatory compliance. Sub-Mandates can be used to represent paragraphs that are derived from regulatory papers.

Requirements

A requirement represents a collection of controls with which an organization must comply. Generally, a requirement is not specific to a single mandate and can span multiple mandates. The Requirement object simplifies the management of controls.

For example:

- Which object types and actions are available on a page depends on your particular setup and permissions.
- To access the Requirements option on the Compliance menu and the My Requirements tab on your Home page, you must have the necessary permissions set on your account.

Typically, you create requirements as standalone objects from the **Requirement Folder View** page that you can later associate to other objects. Alternatively, you can also create a Requirement object from the detail page of a parent object (such as control objectives, controls, mandates, or sub-mandates).

From the detail page of a Requirement object, you can create, associate, or disassociate child objects (such as issues, signatures, files, or links), associate parent objects, view change history for and edit the property fields of a Requirement object.

You can access the **Requirements** menu item from the **Compliance** menu on the menu bar.

Control plans

Control Plan is a self-contained object type, which means that folders are created for each Control Plan. It groups multiple Baselines to represent elements in the operating environment that can be assessed for risk. It acts as a container for a collection of Baseline objects that together perform a function or comprise an IT service. For example, a Control Plan object might represent the servers, operating systems, applications, databases, support personnel, and facilities that provide the corporate email.

From the detail page of a Control Plan object, you can associate parent objects, attach files or links, view change history, and edit the Control Plan object property fields.

Baselines

A Baseline object type represents a template of library requirements. It is self-contained, which means folders are created for each Baseline. Baselines in the Library represent elements of the IT operating environment. They are linked to Requirements for that type of element. The Baseline object is copied

from the library to the business hierarchy, an association is made to a Requirement in the library, and Risk, Control, and Test object types are created as child objects. The Risk, Control, and Test objects are populated with data from the Requirement.

For example, a Baseline object can represent a collection of Requirement objects for a data center with Personally Identifiable Information (PII) and a Confidential Data classification. For each Requirement object, set up a best practice to define what to control (Risk object) and how to control it (Control object). You can also establish a practice for verifying the effectiveness of the Control (Test object).

Typically, Baseline objects are created in the library as a starting point. Baseline object content will later be modified to conform to a specific operating environment, and assessments will be performed against the actual operating environment for this content.

You add a Baseline object via the Add a Baseline link on a Control Plan's detail page. The Baseline object is copied from the library to the business hierarchy, an association is made to a Requirement in the library, and Risk, Control, and Test object types are created as child objects of the Baseline object. The Risk, Control, and Test objects are populated with appropriate data from the Requirement.

From the detail page of a Baseline object, you can associate parent objects, attach files or links, view change history, and edit the Baseline object property fields.

Resources and Resource Links

Resources

The Resource object type is used to represent categories of personnel, applications, infrastructure, processes, facilities, and functions.

Note: Which object types and actions are available on a page depends on your particular setup and permissions.

Although Resource objects can represent an individual IT asset (for example, a particular application server), they more often represent a group of assets, such as a pool of application servers used for a specific application.

Typically, Resource objects are created by the owning or responsible IT business entity, and then associated with the object they support such as Business Entities, Processes, and Baselines.

You can access the **Resources** menu item from the **Assets** menu on the menu bar.

Resource Links

Resource objects of the same type often need to be related to each other. You can use a Resource Link object type to link two Resource objects.

You can click the **Create Resource Link** on a Resource object detail page to create links to another Resource. Various filtering options allow you to select the Resource that you want to link to the Resource on the detail page. The Resource Link that is created is a child object of both of the linked Resources and is populated with the attributes of the parent objects.

Note that if the names or attributes of either parent Resource objects are changed after the Resource Link is created, the Resource Link name and its attributes will no longer correctly map to its parent Resources.

Users with administration permissions can access the **Resource Links** menu item from the **Administration > Object Menu** selection on the menu bar.

Incidents

An incident is an occurrence that has a potentially adverse effect on your enterprise. Create an Incident object to record information, such as the person responsible for investigating the incident and other related data. The Incident object is used with lifecycles to facilitate incident analysis. Categories that apply to incidents include Regulatory Compliance, Legal Compliance, Information Security, and IT.

Incidents are stored under the Business Entity or IT Resource where the event occurred and associated secondarily to an impacted Mandate or Policy.

KRIs and KRI values

KRIs (Key Risk Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KRI within the organization can have unique target and threshold limits. KRI values are used to record the actual value of an indicator at a specific point in time.

You create and associate a KRI from the detail page of a parent object type (for example, Risk, Control, Business Entity). From the detail page of a KRI object, you can associate one or more parent business entities, risks or controls, and create, copy, and/or associate one or more KRI values and issues.

Note: You can associate KRIs with controls. Some KRIs can function like control indicators by signaling that a control is not working properly. For example, you set up several security perimeter controls with an associated KRI. If your company experiences a significant number of security breaches, the associated KRI can indicate that your security perimeter controls are not effective.

KRI values are used to record the actual value of an indicator at a specific point in time.

You can access the KRI and KRI Values menu items from the **Indicators** menu on the menu bar.

KPIs and KPI values

KPIs (Key Performance Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KPI within the organization can have unique target and threshold limits. The KPI Value object type records the value of a KPI object at a specific point. Create a KPI object, and then periodically (daily, weekly, monthly) create a KPI Value object so you can detect trends.

A KPI object can be associated with one or more parent object types (such as, Business Entity, Control, Control Plans, Process, Sub-Process). Typically, you create and associate a KPI from the detail page of a parent object type.

Waivers

Waivers give you the ability to document, process and manage the lifecycle of exceptions to Corporate Policies, InfoSec Policies, IT Policies, or Regulatory Compliance Requirements. Waivers can be associated to Business Entities, Policies, Procedures, Requirements, Risks, Controls, Baselines, and Resources.

Some business examples of exceptions for which waivers may be requested include the following:

- Deviation from Policy (such as corporate, information security, and IT policies)
- Accepting Risk
- Authority to Operate (ATO)
- Interim ATO - allows a process to move forward prior to receiving certification (part of NIST guideline 800-37)

From the detail page of a Waiver object, you can associate parent objects, attach files or links, view change history, and edit the Waiver object property fields.

Policies

Policies represent internal guidelines that are adopted by the Board of Directors or senior governance body within an organization. The text of a Policy can either be stored in standardized fields on the object or as an attachment to the object. Policies typically have a distinct lifecycle from Draft to Published to Expired, as well as a review and approval process. Draft policies typically reside in the Organizational Business Hierarchy, while Published and Expired Policies typically reside in reference Library entities. Policies are also often mapped to applicable Mandates in the Library to which they relate.

Policy Overview

This topic provides information about the Policy Overview page.

- [“About filters” on page 83](#)
- [“Adding an object instance with the Add New wizard ” on page 105](#)
- [“Associations between objects” on page 108](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Notifications” on page 73](#)
- [“Refreshing information on a page” on page 97](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)

Procedures

Procedures represent the what, where, when, and how of how policies are implemented in an organization. The text of Procedures is typically stored in the fields on the object. Typically, Procedures are represented as children of a Policy and reside in the same entity structure as its parent Policy.

Vulnerabilities

Vulnerabilities give you the ability to track and assess security weaknesses. You assign scores to Vulnerabilities using the Vulnerabilities Common Vulnerability Scoring System (CVSS v2). The parent object for a Vulnerability can be a Control Plan, Incident, Resource, or Risk. Typically, you import Vulnerabilities from an IT security solution.

From the detail page of a Vulnerability object, you can create, associate, or disassociate child objects (such as issues, signatures, files, or links), associate parent objects, view change history, and edit the property fields of a Vulnerability object.

Chapter 16. Using Operational Risk Management objects

OpenPages Operational Risk Management

IBM OpenPages Operational Risk Management combines document and process management with a monitoring and decision support system that enables organizations to analyze, manage, and mitigate risk in a simple and efficient manner.

IBM OpenPages Operational Risk Management helps automate the process of measuring and monitoring operational risk. It combines all risk data, including risk and control self assessments, loss events, scenario analysis, external losses, and key risk indicators (KRI), into a single integrated solution.

IBM OpenPages Operational Risk Management includes the following key features:

- Loss Events, which include the following activities:
 - Tracking, assessing, and managing both internal and external events that could result in operational loss.
 - Managing multiple impact events and recoveries that are associated with operational losses.
- Risk and Control Self Assessments (RCSA), which include the following activities:
 - Identification, measurement, and mitigation of risks.
 - Testing and documentation of internal controls.
- Key Risk Indicators (KRIs) and Key Performance Indicators (KPIs), which can track performance metrics to potentially show the presence or state of a risk condition or trend.
- Scenario Analysis, which is an assessment technique that is used to identify and measure specific kinds of risks, in particular, low frequency, high-severity events.
- External Loss Events provide the ability to import loss data from IBM FIRST Risk Case Studies, ORX, and ORIC loss databases into OpenPages Operational Risk Management for scenario analysis, benchmarking, and reports generation. You can also export loss data to analytic tools or capital allocation applications.
- Issue Management and Remediation (IMR), which includes the following activities:
 - Issue Creation and Assignment
 - Action Creation and Assignment
 - Remediation Performance
 - Issue closedown
 - Reporting
- Reporting, monitoring, and analytics.

OpenPages Operational Risk Management objects

This topic provides information about the OpenPages Operational Risk Management objects.

KRIs and KRI values

KRIs (Key Risk Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KRI within the organization can have

unique target and threshold limits. KRI values are used to record the actual value of an indicator at a specific point in time.

You create and associate a KRI from the detail page of a parent object type (for example, Risk, Control, Business Entity). From the detail page of a KRI object, you can associate one or more parent business entities, risks or controls, and create, copy, and/or associate one or more KRI values and issues.

Note: You can associate KRIs with controls. Some KRIs can function like control indicators by signaling that a control is not working properly. For example, you set up several security perimeter controls with an associated KRI. If your company experiences a significant number of security breaches, the associated KRI can indicate that your security perimeter controls are not effective.

KRI values are used to record the actual value of an indicator at a specific point in time.

You can access the KRI and KRI Values menu items from the **Indicators** menu on the menu bar.

KPIs and KPI values

KPIs (Key Performance Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KPI within the organization can have unique target and threshold limits. The KPI Value object type records the value of a KPI object at a specific point. Create a KPI object, and then periodically (daily, weekly, monthly) create a KPI Value object so you can detect trends.

A KPI object can be associated with one or more parent object types (such as, Business Entity, Control, Control Plans, Process, Sub-Process). Typically, you create and associate a KPI from the detail page of a parent object type.

Loss events

Loss Events are used to track operational losses that occur in any part of an organization. Loss Events are typically stored under the Business Entity where the loss occurred. The Loss Event objects are used to track, assess, and manage the related internal loss data. You can add multiple impacts and recoveries for each Loss Event by using the Loss Impact and Loss Recovery objects. Loss Event, Loss Impact, and Loss Recovery objects can also be created in IBM OpenPages Loss Event Entry.

Your organization might call loss events "operational events", "risk events", or "incidents."

Loss Events Overview

This topic provides information about the Loss Events Overview page.

- [“About filters” on page 83](#)
- [“Adding an object instance with the Add New wizard” on page 105](#)
- [“Associations between objects” on page 108](#)
- [“Navigating to an object's Detail View page” on page 96](#)
- [“Notifications” on page 73](#)
- [“Refreshing information on a page” on page 97](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)

Loss impacts

A loss impact is a financial and non-financial consequence that results from a loss event. Loss Impacts track different types of impacts that are triggered by a Loss Event, such as legal liability, asset loss and damage, or business interruption. Multiple Loss Impacts can be associated with each Loss Event.

Loss recoveries

Loss Recovery objects are used to track the processes that are associated with recouping damages that result from Loss Events.

Scenario analysis

Scenario Analysis (SA) is an assessment technique that is used to identify and measure the potential occurrence of operational risk events. Unlike traditional operational risk assessments, it is a forward looking “what if” analysis.

Scenario Analysis is designed to derive reasoned assessments of the likelihood and impact of plausible operational losses from business and risk management experts. It is often used to identify and measure events with low frequency but high severity losses, for example, natural disasters, terrorism, and rogue traders. Along with its qualitative elements, it is often used as a direct input into a firm’s operational risk capital estimate. You can use the Scenario Analysis process in OpenPages to construct Scenario Analyses and collect supporting qualitative and quantitative data. Scenario Analyses are typically created for Business Entities and assigned a Risk Category. You can also associate supporting ORM data, for example, risk assessments, relevant loss events, ORIC losses, ORX losses, and risks. Within each Scenario Analysis, you can record a range of frequency and severity estimates in "buckets" along with supporting information for the assessment. After the Scenario Analysis is complete, you can run the Scenario Analysis Completion Helper to finalize the assessment and create the Scenario Analysis Result object.

Scenario results

Scenario Result objects are children of Scenario Analysis objects and they are used to capture the results of Scenario Analysis workshops for comparison and trending purposes.

FIRST losses

FIRST Loss objects can be imported from the FIRST external loss database, for use with scenario analysis, benchmarking, and reports generation, and to export loss data to analytic tools or capital allocation applications. FIRST Loss objects are often organized by loss categories, such as product lines or event types. For example, use a Business Entity to create a hierarchy for FIRST loss data. Name the root object "FIRST-data", and create category folders under the root. Link external losses to it.

Typically, you create a FIRST Loss object from a parent Business Entity that resides in a library structure. The FIRST Loss object is a child of the library Business Entity and can then be associated to Scenario Analysis and other Business Entity object types.

From the detail page of an FIRST Loss object, you can associate parent objects, attach files or links, view change history, and edit the FIRST Loss object property fields.

ORIC losses

ORIC Loss objects can be imported from the ORIC external loss database, for use with scenario analysis, benchmarking, and reports generation, and to export loss data to analytic tools or capital allocation applications.

ORIC Loss objects are typically organized by loss categories (such as by product lines or event types) into a non-business library structure. For example, you could use a Business Entity object type to create a hierarchy for ORIC loss data, name the root object ORIC data, and create category folders under the root and link external losses to it.

Typically, you create an ORIC Loss object from a parent Business Entity that resides in a library structure. The ORIC Loss object is a child of the library Business Entity and can then be associated to Scenario Analysis and other Business Entity object types.

From the detail page of an ORIC Loss object, you can associate parent objects, attach files or links, view change history, and edit the ORIC Loss object property fields.

You can access the **ORIC Losses** menu item from the **Events** menu on the menu bar.

ORX losses

ORX Loss objects can be imported from the ORX external loss database, for use with scenario analysis, benchmarking, and reports generation, and to export loss data to analytic tools or capital allocation applications. You can import external ORX loss data into OpenPages Operational Risk Management for use with scenario analysis and capital modeling.

ORX Loss objects are typically organized by loss categories (such as by product lines or event types) into a non-business library structure. For example, you could use a Business Entity object type to create a hierarchy for ORX loss data, name the root object ORX data, and create category folders under the root and link external losses to it.

Typically, you create an ORX Loss object from a parent Business Entity that resides in a library structure. The ORX Loss object is a child of the library Business Entity and can then be associated to Scenario Analysis and other Business Entity object types.

From the detail page of an ORX Loss object, you can associate parent and child objects, attach files or links, view change history, and edit the ORX Loss object property fields.

You can access the **ORX Losses** menu item from the **Events** menu on the menu bar.

Cost centers

Cost Center objects are used to group loss events under a business entity. In many cases, firms want to track where loss events occur at a fine granularity, such as cost center level, but do not want to represent all of the organizational layers as business entities.

Typically, you create a Cost Center object from the detail page of a parent Business Entity. You can then associate child Loss Event objects to a parent Cost Center object.

From the detail page of a Cost Center object, you can create, associate, or disassociate objects, attach files or links, view change history and edit the property fields of the Cost Center object.

You can access the **Cost Centers** menu item from the **Organizations** menu on the menu bar.

Chapter 17. Using OpenPages Policy Management objects

OpenPages Policy Management

IBM OpenPages Policy Management (PCM) is an enterprise compliance management software solution that reduces the cost, complexity, and cumbersome nature of compliance with multiple regulatory mandates and corporate policies.

IBM OpenPages Policy Management allows companies to manage and monitor compliance activities through a full set of integrated functionality including:

- Regulatory Libraries and Change Management
- Risk and Control Assessments
- Policy Management, including Policy Creation, Review & Approval and Policy Awareness
- Control Testing and Issue Remediation
- Regulator Interaction Management
- Incident Tracking
- Key Performance Indicators
- Reporting, monitoring, and analytics

PCM supports three approaches to initially load policy data and establish how it is organized and viewed in the Policy objects:

Datacentric

Policy attributes are stored as metadata in the Policy object. Policy and Procedure content is created, stored, edited, and reviewed in Policy Viewers. Red-lined track changes within draft iterations are not supported.

Docucentric

Policy attributes are stored as metadata in the Policy object. Policy and Procedure content is created outside of OpenPages with Watson and the entire document is attached to the Policy Object. Policy and Procedure content is never imported nor stored in OpenPages with Watson.

Hybrid

Policy attributes are stored as metadata in the Policy object. Policy and Procedure content is created and edited in Microsoft Word documents then imported and stored in OpenPages with Watson. The Track Changes functionality available in Microsoft Word is used for tracking red-line changes within draft iterations.

After the policy data is loaded, a pre-built workflow allows organizations to advance a Policy object through a policy review and approval process. A Policy progresses through each stage based on the values of the approval and publication status.

IBM OpenPages Policy Management terms you should know

This topic provides terms you should know to use IBM OpenPages Policy Management.

Sub-mandate

An object used to establish the compliance management process for a sub-section of a regulation or policy. Usually a child of a Mandate object.

Library

A business entity that contains the text of the regulations that are relevant to your enterprise. Within the business entity, each regulation is represented by a mandate.

Mandate

(1) An obligation to which an enterprise must comply. A mandate can be a governmental regulation (local, federal, or international), a best practice standard established by a standards organization, or an internal company policy. (2) An object used to establish your enterprise's compliance management process for a specific regulation or policy, such as HIPAA or GLBA.

OpenPages Policy Management objects

This topic provides information about the IBM OpenPages Policy Management objects.

Regulation applicabilities

The Regulation Applicability object resides in the organizational business hierarchy. It assesses and tracks the regulatory impact of a Mandate in the library on a Business Entity.

Mandates

Mandates represent external items with which organizations need to comply, such as laws, regulations, and standards. Content can be pulled from third-party providers, such as UCF, Ascent Reg Tech, or Wolters Kluwer. Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system.

Sub-Mandate

Sub-Mandates represent external or internal sub-items with which the organization needs to comply.

Out of the box the configuration directly supports content provided by Deloitte and UCF, and the configuration can be adapted to support content from other vendors. Typically, Sub-Mandates are represented in a Library Business Entity structure, and are not replicated throughout the system. Sub-Mandate is recursive, but Deloitte and UCF content use exactly one level of Sub-Mandate.

Requirements

Requirement object types represent the normalized "things you need to accomplish" to comply with all of their associated Sub-Mandate objects.

Requirement objects accomplish two primary purposes: they translate the often difficult and wordy legal jargon of Mandates/Sub-Mandates into plain English, and they use the commonality across multiple Sub-Mandates. For example, there can be many Sub-Mandates across numerous Mandates that require the use of strong passwords. A single Requirement object can document the details for strong passwords. By complying with this single Requirement, IT can satisfy many Mandates and/ or Sub-Mandates. Default configuration directly supports content provided by Deloitte and UCF, and can be adapted to support content from other vendors. Typically, Requirement objects are represented in a library Business Entity structure, and are not replicated throughout the system.

KRIs and KRI values

KRIs (Key Risk Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KRI within the organization can have unique target and threshold limits. KRI values are used to record the actual value of an indicator at a specific point in time.

You create and associate a KRI from the detail page of a parent object type (for example, Risk, Control, Business Entity). From the detail page of a KRI object, you can associate one or more parent business entities, risks or controls, and create, copy, and/or associate one or more KRI values and issues.

Note: You can associate KRIs with controls. Some KRIs can function like control indicators by signaling that a control is not working properly. For example, you set up several security perimeter controls with an associated KRI. If your company experiences a significant number of security breaches, the associated KRI can indicate that your security perimeter controls are not effective.

KRI values are used to record the actual value of an indicator at a specific point in time.

You can access the KRI and KRI Values menu items from the **Indicators** menu on the menu bar.

Incidents

An incident is an occurrence that has a potentially adverse effect on your enterprise. Create an Incident object to record information, such as the person responsible for investigating the incident and other related data. The Incident object is used with lifecycles to facilitate incident analysis. Categories that apply to incidents include Regulatory Compliance, Legal Compliance, Information Security, and IT. Incidents are stored under the Business Entity or IT Resource where the event occurred and associated secondarily to an impacted Mandate or Policy.

Waivers

Waivers give you the ability to document, process and manage the lifecycle of exceptions to Corporate Policies, InfoSec Policies, IT Policies, or Regulatory Compliance Requirements. Waivers can be associated to Business Entities, Policies, Procedures, Requirements, Risks, Controls, Baselines, and Resources.

Some business examples of exceptions for which waivers may be requested include the following:

- Deviation from Policy (such as corporate, information security, and IT policies)
- Accepting Risk
- Authority to Operate (ATO)
- Interim ATO - allows a process to move forward prior to receiving certification (part of NIST guideline 800-37)

From the detail page of a Waiver object, you can associate parent objects, attach files or links, view change history, and edit the Waiver object property fields.

KPIs and KPI values

KPIs (Key Performance Indicators) are components of the risk monitoring process and are used to provide leading or lagging indicators for potential risk conditions. Each instance of a KPI within the organization can have unique target and threshold limits. The KPI Value object type records the value of a KPI object at a specific point. Create a KPI object, and then periodically (daily, weekly, monthly) create a KPI Value object so you can detect trends.

A KPI object can be associated with one or more parent object types (such as, Business Entity, Control, Control Plans, Process, Sub-Process). Typically, you create and associate a KPI from the detail page of a parent object type.

Policies

Policies represent internal guidelines that are adopted by the Board of Directors or senior governance body within an organization. The text of a Policy can either be stored in standardized fields on the object or as an attachment to the object. Policies typically have a distinct lifecycle from Draft to Published to Expired, as well as a review and approval process. Draft policies typically reside in the Organizational Business Hierarchy, while Published and Expired Policies typically reside in reference Library entities. Policies are also often mapped to applicable Mandates in the Library to which they relate.

Policy Overview

This topic provides information about the Policy Overview page.

- [“About filters” on page 83](#)
- [“Adding an object instance with the Add New wizard ” on page 105](#)
- [“Associations between objects” on page 108](#)
- [“Navigating to an object's Detail View page” on page 96](#)

- [“Notifications” on page 73](#)
- [“Refreshing information on a page” on page 97](#)
- [“Viewing data for a reporting period” on page 100](#)
- [“View pages” on page 93](#)

Policy review comment

Policy Review Comments support and facilitate the review and approval process of Policies and Procedures by Subject Matter Experts and Compliance Personnel.

Procedures

Procedures represent the what, where, when, and how of how policies are implemented in an organization. The text of Procedures is typically stored in the fields on the object. Typically, Procedures are represented as children of a Policy and reside in the same entity structure as its parent Policy.

Campaigns

The Campaign object is part of the Policy Awareness capability and is used to manage the project management aspects of an awareness campaign. It is also used to define the requirements and criteria that identify which employees need to read and attest to each Policy. Campaigns are typically created in the Published Policy Hierarchy.

Employees

The Employee object is part of the Policy Awareness Capability. It is used to capture information about individual employees such as the name, title, email, region, department, or status. Information from the employee profile is then matched against the Attestation Requirements that are defined on a Campaign to determine which Employees need to attest to each Policy. Employee data is typically derived from an HR system export, loaded via Online FastMap, and resides in the reference Employee Business Entity. It is a best practice that the Employee Name field matches the user's username.

Attestations

The Attestation object, part of the Policy Awareness capability, is used to capture an employee affirmation that they have read and understood a policy. An Attestation's primary parent is the Employee record and the secondary parent is the associated Campaign.

Regulators

The Regulator object is part of the Regulator Interaction Management capability and provides the ability for organizations to create a single inventory of all Regulators with which they interact. Regulators are typically created in a reference Library Business Entity. The object is a child of Business Entity and can be associated to Mandates and Regulator Interactions.

Regulator Interactions, RI categories, RI requests

Regulator interactions

The Regulator Interaction object is part of the Regulator Interaction Management capability. The Regulator Interaction object provides the ability to manage the interactions, communication, internal work, review, and approvals that are associated with external regulators such as inquiries, submissions, filings, exams, and meetings. For complex interactions such as exams, you can use the RI Component and RI Sub-Component objects to break the interaction into smaller components or track follow-up inquiries from the regulator. Regulator Interaction can be mapped to the following parent objects: Regulator, Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These parent associations enable a user to link objects that might be at issue in the Regulator Interaction and to identify users who

are relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks that are related to the management of and response to the regulator interaction might be assigned to users through Regulatory Task child objects.

RI categories

The RI Component object (formerly labeled RI Category) is part of the Regulator Interaction Management capability and is used as the middle tier of the three-tier object model (Regulator Interaction, RI Component, and RI Sub-Component). The object is used to break down a complex Regulator Interaction into smaller, more manageable records or to link a follow-up inquiry from a regulator to the parent Regulator Interaction object. Additionally, RI Component can be mapped to the following parent objects: Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These associations enable a user to link objects that might be at issue and to identify users relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks related to the management of and response to the regulator interaction can be assigned to users through Regulatory Task child object.

RI requests

The RI Sub-Component object (formerly labeled RI Request) is part of the Regulator Interaction Management capability and is used as the last tier of the three-tier object model (Regulator Interaction, RI Component, and RI Sub-Component). The object is used to break down a Regulator Interaction and RI Component into smaller, more manageable records. Additionally, RI Sub-Component can be mapped to the following parent objects: Mandate, Sub-Mandate, Requirement, Policy, Procedure, and Control. These associations enable a user to link objects that might be at issue and to identify users relevant to those objects and who might need to be consulted when responding to the regulator. Individual tasks related to the management of and response to the regulator interaction can be assigned to users through Regulatory Task child objects.

Regulatory changes and regulatory tasks

Regulatory changes

The Regulatory Change object is part of the Regulatory Change Management capability. It supports the ability to track regulatory changes, assess the impact of a change on the organization, communicate the change internally to the appropriate people, and drive internal processes in response to the change.

Regulatory tasks

The Regulatory Task object is used to assign tasks to OpenPages users when the task is related to one of the following parent objects: Project, Policy, Regulatory Change, Regulator Interaction, RI Component, or RI Sub-Component. A Regulatory Task can also be associated to a Business Entity.

Chapter 18. Using OpenPages Financial Controls Management objects

IBM OpenPages Financial Controls Management

IBM OpenPages Financial Controls Management reduces the time and resource costs associated with ongoing compliance for financial reporting regulations.

IBM OpenPages Financial Controls Management combines powerful document and process management with rich interactive reporting capabilities in a flexible, adaptable easy-to-use environment, enabling CEOs, CFOs, managers, independent auditors and audit committees to perform all the necessary activities for complying with financial reporting regulations in a simple and efficient manner.

IBM OpenPages Financial Controls Management allows users to easily see the status of their financial controls documentation project, and provides a secure repository for the storage of their internal controls documentation.

Key features include:

- Financial Controls Management Repository, which logically presents processes, risks and controls in many-to-many and shared relationships at multiple levels, and enables file attachment capability and action plans for processes, risks, controls and tests at all levels.
- Flexible automation, which provides notification and completion of financial controls management activities, such as design review, operating review and certification.
- Reporting, monitoring and analytics.

OpenPages Financial Controls Management objects

This topic provides information about the OpenPages Financial Controls Management objects.

Sub-Accounts

A Sub-Account represents a smaller, more targeted line item that is part of a larger parent Account (or of another Sub-Account). Each Sub-Account object can be associated with parent Account or Sub-Account objects.

Assertions

The Assertion object is used to link a control directly to the account (or sub-account) it affects and to document which assertions it covers for the particular account or sub-account.

A common practice is to store the type of assertion that the control is covering as a data field on the Assertion object. Create an Assertion object from the detail page of a parent Account, Sub-Account, or Control object type.

Which object types and actions are available on a page depends on your setup and permissions.

Accounts

Accounts correspond to one or more line items on a financial report. Each account is affected by recurring Processes. These Processes can introduce Risks that must be documented during the financial controls documentation project. An account is identified as significant based on factors such as size, complexity of the processes that operate on the account, or if the account is associated with new product lines within the business. The risks that might materialize and have material effect on the account are identified by consideration of the processes that operate on the account.

Chapter 19. Using OpenPages Regulatory Compliance Management objects

OpenPages Regulatory Compliance Management

IBM OpenPages Regulatory Compliance Management supports organizations in breaking down regulations into a catalog of requirements, evaluating its impact to the business, and creating actionable tasks.

As a solution it allows firms to:

- Maintain a repository of regulations and requirements that they must comply with
- Identify and create a catalog of requirements that fulfill the regulations
- Map regulatory requirements to their internal control framework
- Create groupings of requirements into Compliance Themes
- Conduct assessments of regulatory requirements under Compliance Plans
- Ingest, direct, and respond to regulatory events supplied by third-party data providers
- Record, organize, and respond to regulator interactions, including regulatory inquiries and examinations

You can use the RCM Theme Deployer to create the theme structure for business entities. For more information, see [“Compliance Plans and Compliance Themes” on page 135](#).

OpenPages Regulatory Compliance Management objects

This topic provides information about the IBM OpenPages Regulatory Compliance Management objects.

Compliance Plan

Compliance Plans allow for the creation of an overall plan to address regulatory requirements in a structured setting, or to structure a set of regulatory tasks. For example, a Compliance Plan might be created to track regulatory tasks, or to conduct compliance assessments against various regulatory requirements. One or multiple Compliance Themes can be grouped into an overall Compliance Plan for the organization.

Compliance Theme

Compliance Themes allow users to organize regulatory requirements into themes for assessment purposes. This allows for assessing compliance requirements beyond the typical business entity approach, by grouping regulatory requirements across themes that impact across the organization. Sample themes can include data privacy, governance, accountability, etc. This allows users to assess the impact of regulations not just within business entities, but across themes that touch on multiple areas of the organization.

Project

A project is designed to organize regulatory tasks into an overall compliance project. For example, there may be regulatory changes that need to be addressed in the compliance framework; users can create a project to identify and assign tasks.

Regulatory Initiative

The Regulatory Initiative object is a child of the Business Entity and captures descriptive information about regulations that impact an organization. Regulatory Initiatives represent a broader grouping of

regulations. For example, Anti-Money Laundering could be a Regulatory Initiative that includes several different money laundering regulations that organizations must comply with.

Requirement Evaluation

Once users have mapped internal controls to requirements derived from regulations, users can conduct an evaluation of how well they are operating vis-à-vis the identified requirement. Users can evaluate the operating effectiveness and design effectiveness of controls in within the scope of a compliance theme.

Requirement Evaluation Value

Requirement Evaluation Values are used to record the actual value of requirement at a given point in time within the scope of a Requirement Evaluation.

TRRI Regulatory Event

The TRRI Regulatory Event object enables the direct ingestion of regulatory event feeds from Thomson Reuters into IBM OpenPages Regulatory Compliance Management.

TRRI Regulatory Event

The TRRI Regulatory Event Series object is a collection of TRRI Regulatory Events that have been assigned the same Series ID within the TRRI feed. The grouping of TRRI Regulatory Events within the TRRI Regulatory Event Series allows changes to be tracked from proposed to final stage in the regulatory change evolution.

Chapter 20. OpenPages Model Risk Governance objects

This topic provides information about the OpenPages Model Risk Governance objects.

OpenPages Model Risk Governance

IBM OpenPages Model Risk Governance (MRG) supports organizations in organizing and centralizing their Model Inventory.

As a solution IBM OpenPages Model Risk Governance provides a configurable and customizable platform, allowing firms to:

- Organize, document, and maintain an enterprise-wide inventory of models and their usages
- Document and track issues that are associated with models in a central location
- Record Model Change management governance activities
- Schedule, track, and manage Model Reviews and Validations
- Conduct periodic model attestations and model risk assessments
- Assign appropriate roles and responsibilities for model ownership and model risk management
- Monitor performance and status of their Model Risk Management program
- View the relationships between their Model Inventory and the relevant aspects of their Policy and Compliance obligations

IBM Watson OpenScale Integration

IBM OpenPages Model Risk Governance (MRG) includes an out-of-the-box integration with IBM Watson OpenScale.

IBM Watson OpenScale is a tool that monitors and measures outcomes from AI Models across their lifecycle and performs ongoing validations of AI Models. Organizations can include AI models in their Model Inventory and send the results of the performance monitoring directly to OpenPages.

Show me how

This video provides an overview of how OpenPages is integrated with IBM Watson OpenScale:

<https://youtu.be/JOGffAHGreQ>

Fields

The following fields are used in the integration with IBM Watson OpenScale:

- MRG-Model field group
 - Machine Learning Model
 - Monitored with Watson OpenScale
- MRG-Metric-Shared field group
 - Metric Type
 - OpenScale Category
 - OpenScale Description
 - OpenScale Metric
 - OpenScale Metric Value

Sample workflow

The OpenScale Update Metric Last Value Info workflow is used in the integration with IBM Watson OpenScale.

Public Filter

A public filter for the Model object is used by IBM Watson OpenScale to locate Models in OpenPages that have the Monitored with Watson OpenScale field set to Yes.

User profiles

MRG profiles included the fields that support the integration.

OpenPages Model Risk Governance objects

This topic provides information about the IBM OpenPages Model Risk Governance objects.

Change Request

The Change Request object is a child of the Model and Usage objects and allows for the creation and tracking of governance activities that are related to changes in Models and their deployments. The object captures data such as Change Type, Change Description and Status as well as allowing for the recording of the key Approval and governance steps in the change request lifecycle.

Committee

The Committee object is a child of the Business Entity and allows an organization to represent governance groups/committees. These can then be aligned to Models and can also be a parent of the Employee object. It can store information such as the Terms of Reference for a committee, frequency of meetings, and detail of the Chairperson.

Metric

The Metric object records the definition of a performance measurement that the organization chooses to track. A user sets the Metric Type, Yellow, and Red Thresholds and other collection information. A Metric is a child of Usage and Model objects.

Metric Value

The Metric Value object records the result of the metric performance measurement. It is designed to behave in a way to allow the organization to store time series results of measurement.

Model

The Model object provides representation of the Models within an organization. At a theoretical level a model as a quantitative method, system or approach that applies statistical, economic, financial or mathematical theories, techniques and assumptions to process input data into quantitative estimates. Within the Model object, key model information can be represented, including: Model Description, Model Ownership, Model Status, Development lifecycle dates, Model Type and Category, and Model Risk Assessment data. A Model object is a child of a Business Entity and parent of Usage objects.

Model Attestation

Model Attestation allows an organization to request a regular sign off or *attestation* of a Model. The MRG administrator periodically creates a set of blank Model Attestations, which are assigned to the respective Model Owners. Each Model Owner answers a set of questions about the Model and submits their Model Attestation.

Model Input

If an organization wants to adopt a more granular approach to model documentation, the Model Input object provides the ability to record the inputs. Fields include Input Owner, Type, Status, and Description. A Model Input object can also be the child of a Model Output object, which allows for the creation of Model chains at a detail level if the Model Link approach is not granular enough.

Model Link

If an organization wants to adopt a less granular approach to Model documentation, use Model Link, which is a broad-type association that does not provide explicit details of the feed from one model to another. It acts as a child of multiple models to allow for the generation of Model chains.

Model Output

If an organization wants to adopt a more granular approach to Model documentation, the Model Output object provides the ability to record the Outputs of the Model. The intended purpose is to record the Description and Overview of the Output from a governance point of view and not to record the Model Result.

Model Scorecard

Model risk assessments are performed during the development and documentation phase of a Model. They are also typically performed periodically after a Model is in production. The Model Scorecard object is used to conduct this risk assessment. The user answers a number of questions about the Model. Model Scorecard triggers calculate a risk score and determine the Model tier.

Register

The Register object is a child of Entity and a parent of the Model object. The usage of the Register object is optional. Its primary purpose is to act as a library of Models during development.

Review

The Review object is used to record the scheduling and outcomes of any Model Review activity. It is the child of both the Usage and Model objects. The object is intended to capture the outcomes of Reviews whether they are pre-implementation, post-implementation, and performed by second or third line of defense.

Usage

The Usage object is a child of Model. It is used as a key element of recording the deployment of one or more models.

Chapter 21. Using OpenPages Third Party Risk Management objects

OpenPages Third Party Risk Management

IBM OpenPages Third Party Risk Management supports organizations in organizing and centralizing information about their vendors.

As a solution it provides a configurable and customizable platform, allowing firms to:

- Create, maintain, and document all vendors and engagements
- Classify or "tier" vendors as low, medium, or high criticality
- Use standard risk assessments to identify and mitigate risk in a specific way for individual vendors
- Leverage the questionnaire assessment capability to conduct vendor or engagement tiering using information that you gather with risk or compliance questionnaire assessments

In previous releases, IBM OpenPages Third Party Risk Management was named Vendor Risk Management. The original name and the acronym, VRM, still exist in internal names for profiles and role templates.

OpenPages Third Party Risk Management Solution objects

This topic provides information about the IBM OpenPages Third Party Risk Management objects.

Vendor

A Vendor represents a third-party company from which a firm procures goods or services. Vendors can have two types of child objects: Engagements and Contracts. Vendors can be subject to questionnaire assessments, risk assessments, or tiering. You can summarize and analyze risk associated with different Vendors. You can add a parent association to the process or sub-process that a Vendor supports.

Engagement

Engagement objects are child objects of Vendor objects. An Engagement represents a single service that is provided by a Vendor. You use them to differentiate between various services and agreements you have with a Vendor. Engagements are optional. They can be subject to questionnaire assessments, risk assessments, or tiering. You can summarize and analyze risk that is associated with different Engagements. You can add a parent association to the process or sub-process that an Engagement supports.

Contract

Contract objects are child objects of Vendor or Engagement objects. A Contract represents a business or legal agreement between a Business Entity and a Vendor or Engagement. A Contract contains additional, supporting information, for example, the timeframe of the contract or monetary information. Contracts are optional.

Chapter 22. Using OpenPages Business Continuity Management objects

OpenPages Business Continuity Management

IBM OpenPages Business Continuity Management (BCM) is used by an organization, or group, to maintain or resume a predetermined level of operations during or after a disruptive event. All risks that can potentially impact the business during or following an event are identified.

Using BCM, organizations can build a framework for identifying critical assets and processes and creating company-wide business continuity plans.

BCM helps organizations to:

- Centralize business continuity data
- Perform business impact analyses to determine criticality of people, processes, and assets
- Develop business continuity plans, including, but not limited to, preparedness for disaster recovery, communication plans, equipment checklists, emergency readiness, employee logistics, and vendor checklists
- Identify relevant plans and stakeholders by using trigger events
- Run workflows to automate critical processes
- Test the effectiveness of your business continuity plan and identify and mitigate key risks
- Visualize key planning and management activities with a user-friendly dashboard

BCM has built-in calculations to help organizations determine the criticality of processes to their business and generate impact tiers with acceptable thresholds. Pre-built workflows allow organizations to draft, review, approve, and publish plans with triggers for expiry and archival. These plans can be mapped to the client's business impact analyses, policies, procedures, processes, locations, events, issues, and tests.

Show me how: BCM Overview

This video provides an overview of BCM.

<https://youtu.be/3EeMaF0ehiA>

Show me how: BCM Dashboard

This video provides an overview of the dashboard that is available for users who are assigned to the Business Continuity Management profile.

<https://youtu.be/Ce1ql-hTIpK>

Show me how: Business Continuity Plan object

This video provides an overview of the Business Continuity Plan object and how it is used in BCM.

<https://youtu.be/fb6dF9EjX3k>

Show me how: Business Impact Analysis object

This video provides an overview of the Business Impact Analysis object and how it is used in BCM.

<https://youtu.be/X636XWXIpGg>

Show me how: Business Continuity Test Plan object

This video provides an overview of the Business Continuity Test Plan object and how it is used in BCM.

<https://youtu.be/A0WgGVd3mds>

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Glossary

In this glossary, you can find terms and definitions for IBM OpenPages with Watson

access control list (ACL)

A concept in computer security used to determine the permissions (Read, Write, Delete, and Associate) a user or group can have on the folder structure of an object type (such as, an Entity, Risk, or Test). ACLs provide a means to control who has access to what and with which permissions. ACLs can be assigned to groups and users via a role template.

Action menu

The menu that is displayed in views. Your permissions determine which menus and items are available.

Actor ACLs

These are a set of administrator access rights (Manage, Lock, Unlock, Reset Passwords, Assign Roles, Browse) defined on users and groups. These access rights control the operations an administrator can perform on a particular user or group.

administrator

A user that is granted special permission to manage a Business Entity, including the assignment of Roles to users and groups.

application permissions

A list of permissions that allow groups and users to access certain activities, including administration, within the application (such as the ability to view, lock, or unlock objects, or create and delete reporting periods).

associations

Relationships that exist among objects, or between objects and attached files. Example: A sub-entity may be directly associated with a process or business function.

audit universe

The aggregate of all areas within an organization that can be audited.

business unit

One or more Entities, Processes, or Sub-Processes.

CSV

Comma separated values. A type of file that uses a comma-delimited format.

group

A generic term that encompasses both organizational and security domain groups.

listing pane

The pane on an object's Detail View page that is displayed when you click the name of an associated object type. It lists all the names of objects for that type that are associated with the current object, and has an Actions Menu for adding new objects, or associating and copying existing objects of the same type.

object

Any item that contains or receives information, such as Business Entities, Processes, Risks, Controls, Issues, Tests and so forth. In a security context, an object is the piece of data to which access control is applied (such as, Business Entity, Process, Sub Process, Risk Assessment). Also called "resource".

object type

A category or type of object, such as a Risks, Controls, Issues and so forth. In a hierarchy of objects, each object type has a set of allowed relationships with other object types.

organizational group

A group that is created by an administrator to organize users within an organization. Organizational groups are typically associated with security domain groups and other organizational groups.

pane

A section or component of an object view. For example, a Detail View page typically consists of several panes, such as a Details pane, Context pane, Associations pane, Listing pane, and an Attachments pane.

resource

See "object".

Resource ACLs

These are a set of access rights (Read, Write, Delete and Associate) defined on the parent folder of an object. These access rights control the operations a user can perform on the folder and any objects under that folder.

role

An instance of a role template that is applied to a set of Users/Groups for a specific security context. Roles are granted to Users/Groups which allows them access to objects with certain permissions. Some examples of roles are: Process Owner, Control Owner, and Tester.

Role template

A security object that you can use to define all aspects of application security for various groups and users within a business unit. It contains access control definitions on folder structures for object types and application permissions. Role templates generally reflect the usual or expected function that a user or group plays within an organization. Some examples of Role templates that can be defined are Process Owner, Control Owner, and Tester. The template can then be applied to different Users/Groups for a specific security context.

security context point

A point defined in the OpenPages security model that you can use to assign roles to users and groups for controlling access and application permissions to objects under that security point.

security domain group

A group that is automatically created by the system when a business entity or subentity is created. Business entity security domain groups are located under the top level (root) **Security Domains** folder in the  > **Users and Security** > **Domains & Groups** task.

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