
BIC Process Control

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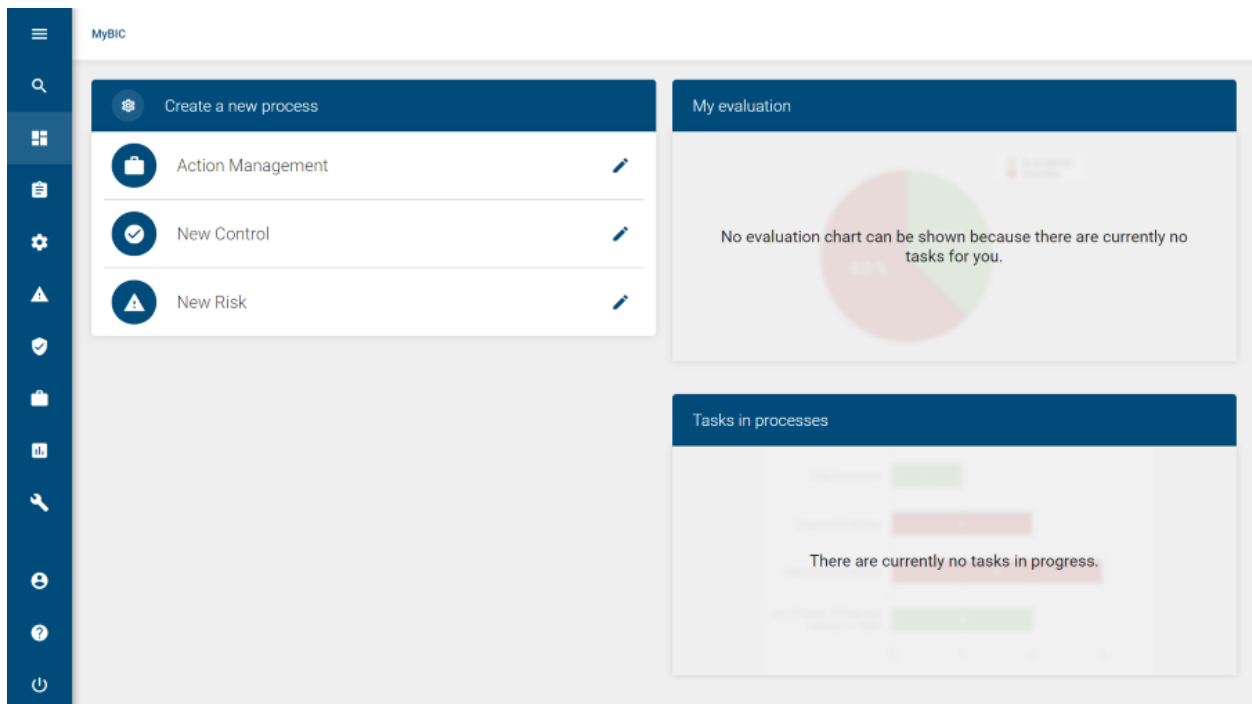
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1.1 The BIC Process Control Interface

Once you login inside the application, the system automatically navigates to your *MyBIC* area as the welcome screen:



The **BIC Process Control interface** can be divided into four main views:

- Side Navigation Bar
- Center Page

- Header Navigation Bar
- Options menus*

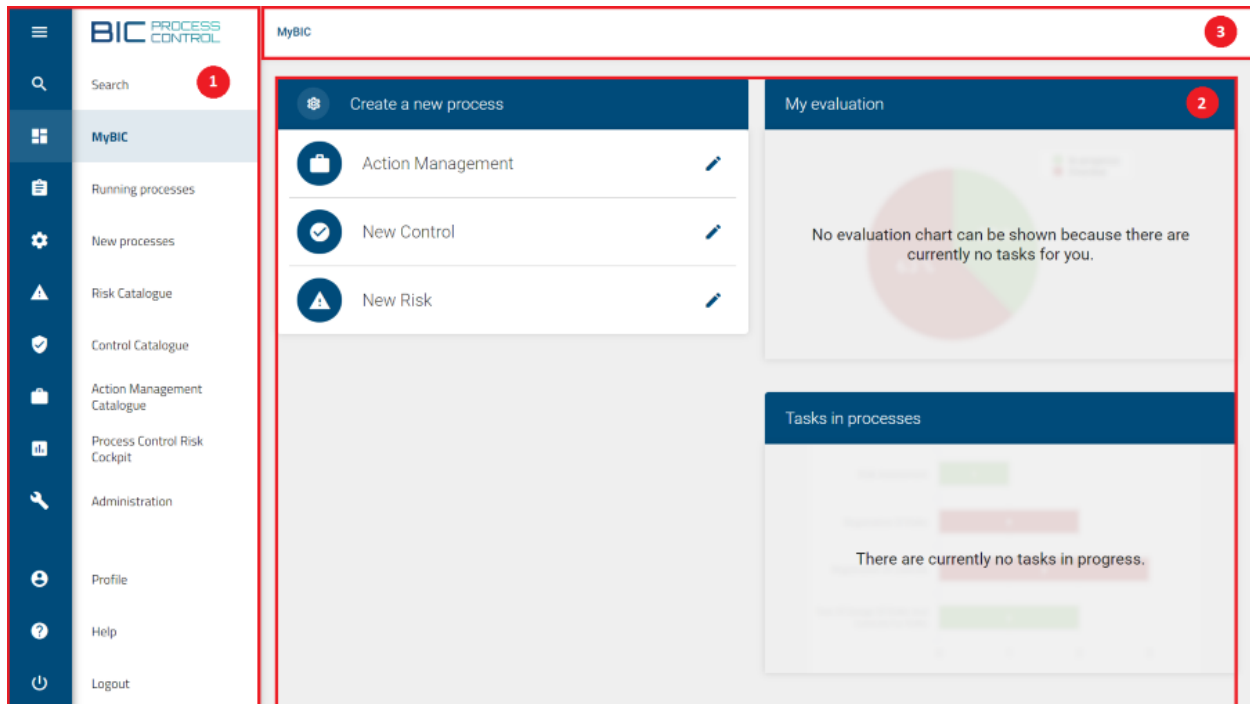


Figure: Here you can see the interface of BIC Process Control divided into Side Navigation Bar (1), Center Page (2) and Header Navigation Bar (3).

Side Navigation Bar: On the left side of the screen you can find a navigation bar that contains all of the areas that are available to your user role.

Some of these areas may be hidden depending on your role, because each one has *different authorizations*.

Note: For example, *Administrator* is the only user role able to visualize the *Administration* area.

Above these areas you can find the current logo of the application. You can always return to your welcome screen by clicking on it.



Find out how to insert a new logo *on this section* inside the *Administration* chapter.

Center Page: The center page will show the content of the different views.

Once again, the content that can be visualized depends on your user role.

Note: For example: as a *PARTICIPANT*, inside the Risk Catalogue you only visualize those risks where you participate directly or that are associated with controls on which you participate directly, as a single user or as a member of

a user group. But as an *ANALYST* you have access to all the existing risks.

Header Navigation Bar: The upper area of BIC Process Control displays the following functionalities:

- *Search*: From here, you can begin searching for tasks in processes.
- *Hide sidebar* option: It is a clickable button that lets you hide the Side Navigation Bar in order to expand the content of the center page.
- *Breadcrumbs*: Used to display the section or area inside the application where the user currently is.

Depending on the view that is displayed on the center page, the corresponding breadcrumb entry can contain additional information related to the view that is shown in the center page. For example: the number of tasks that are shown in the *MyBIC* view.

Options menus: Options menus offer additional options that are available in the context of the view that is currently shown in the center page. Not all views have the Options bar.

You can hide them by clicking on the blue arrow icon, in order to expand the content of the center page.

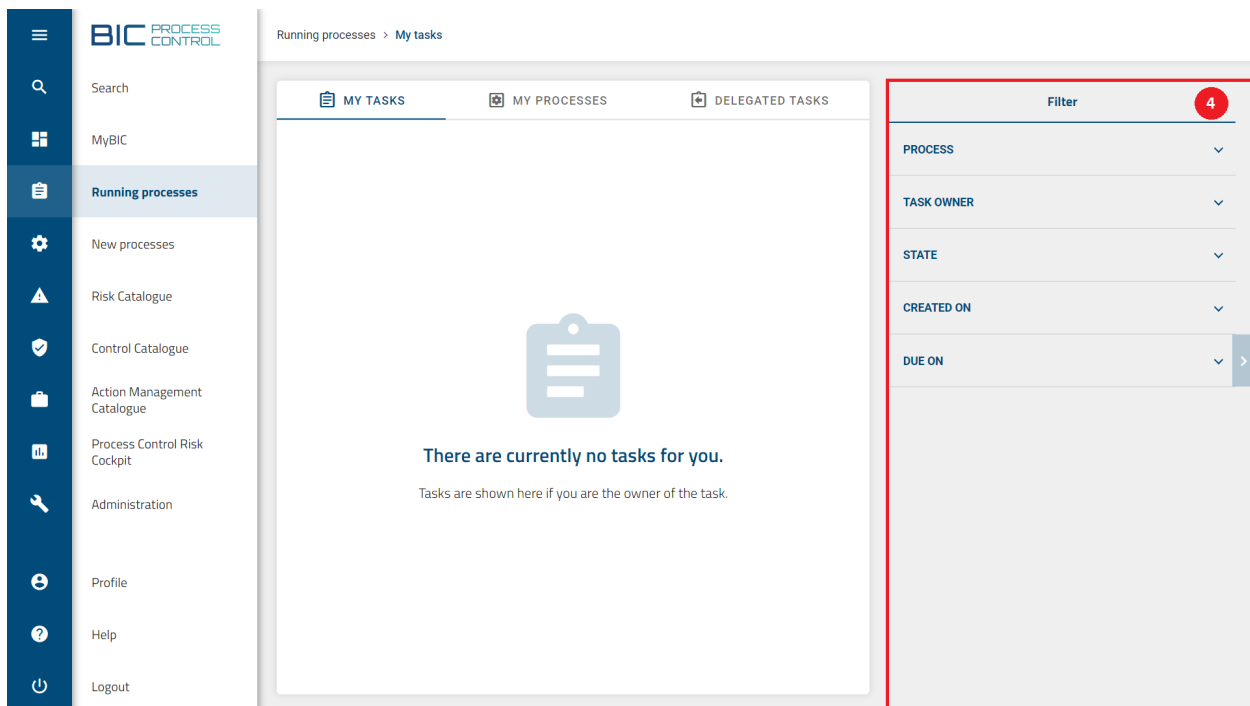
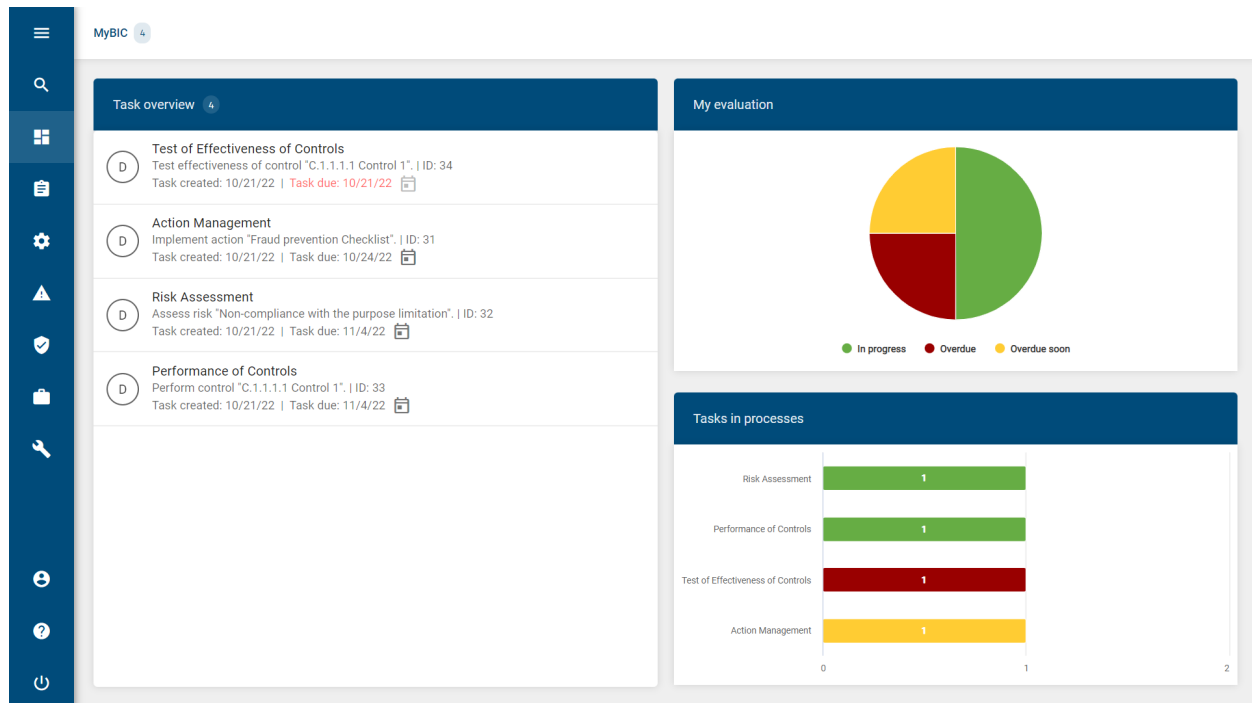


Figure: Here you can see the fourth view of the BIC Process Control interface: Options menu (4).

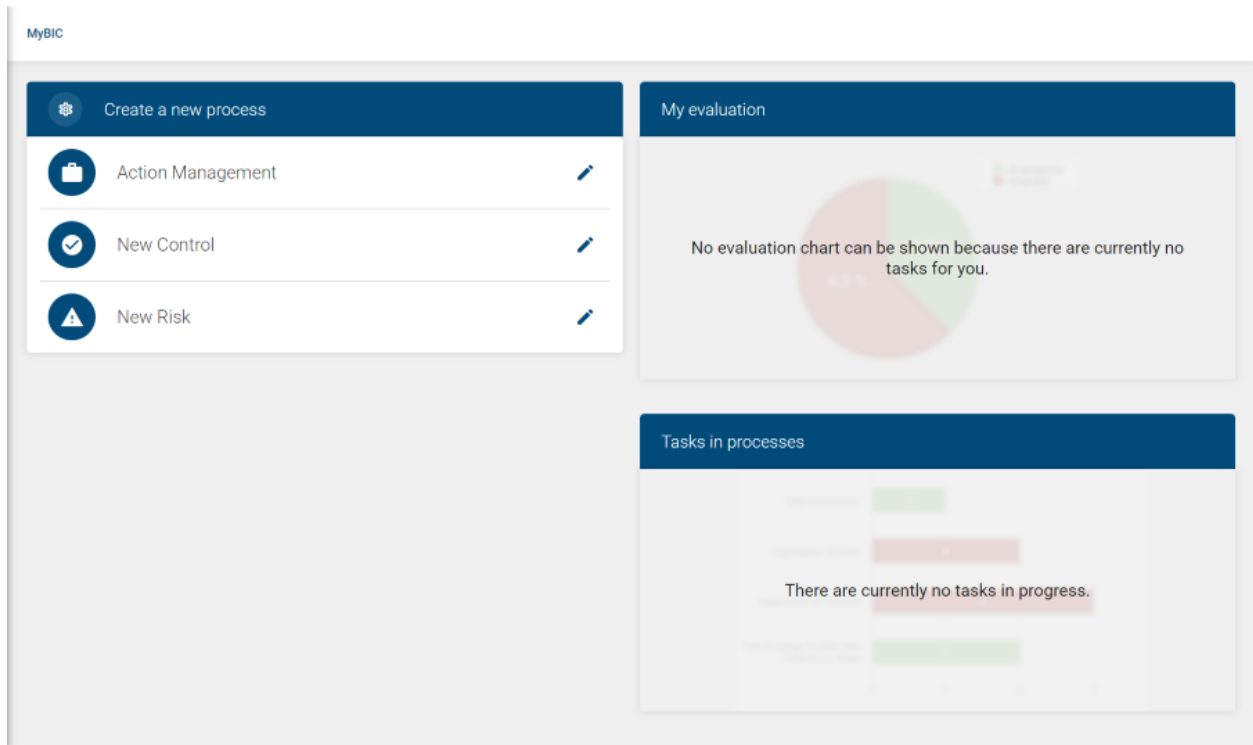
1.1.1 MyBIC

On the *MyBIC* area you can find on the left side a section called **Task overview**. On the right side, you can find two sections: **My evaluation** and **Tasks in processes**.



- **Task overview:** The *Task overview* section shows the tasks assigned to you. From here you can directly open, edit and submit them.
- **My evaluation:** The *My evaluation* section contains a chart with your tasks accumulated by status (In Progress, Overdue, Overdue soon).
- **Tasks in processes:** The *Task in processes* section shows your tasks in progress classified by type.

If you do not have any assigned tasks yet, instead you are able to visualize the **Create a new process** option for starting a new process.



Note: For more information on how to start new processes, see the [New processes](#) section.

1.1.2 Running processes

In the *Running processes* area you will find your tasks, the processes in which you are involved with your own tasks and tasks that you have delegated to another user.

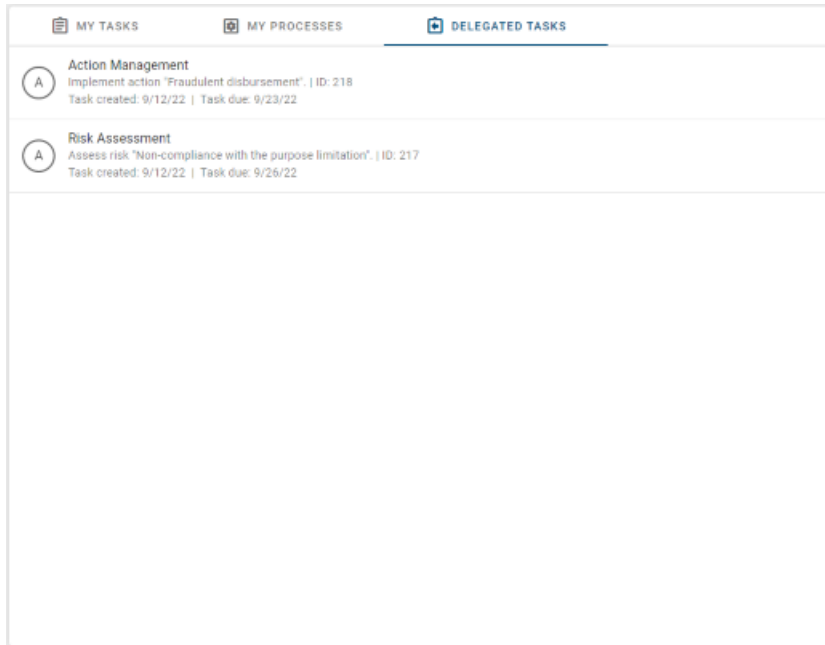
- **My tasks:** The *My tasks* view shows all tasks that are directly assigned to you, and all tasks of the user groups you belong to.

MY TASKS	MY PROCESSES	DELEGATED TASKS
<div><div>A</div><div>Action Management</div><div>Define action for risk "R2.2.5 Risk 13" ID: 214</div><div>Task created: 9/12/22</div></div>		
<div><div>A</div><div>Action Management</div><div>Implement action "Fraudulent disbursement". ID: 218</div><div>Task created: 9/12/22 Task due: 9/23/22</div></div>		
<div><div>A</div><div>Risk Assessment</div><div>Assess risk "Non-compliance with the purpose limitation". ID: 217</div><div>Task created: 9/12/22 Task due: 9/26/22</div></div>		

- **My processes:** The *My processes* view shows all active processes in which you are involved, with your own tasks. You can use this view to keep track of who has completed tasks in these processes and who still has tasks to do.

MY TASKS	MY PROCESSES	DELEGATED TASKS
<div><div>A</div><div>Action Management</div><div>Implement action "Fraudulent disbursement". ID: 218</div><div>Task created: 9/12/22 Task due: 9/23/22</div></div>		
<div><div>A</div><div>Risk Assessment</div><div>Assess risk "Non-compliance with the purpose limitation". ID: 217</div><div>Task created: 9/12/22 Task due: 9/26/22</div></div>		

- **Delegated tasks:** The *Delegated tasks* view shows all tasks that you have delegated to other people and are not completed yet.

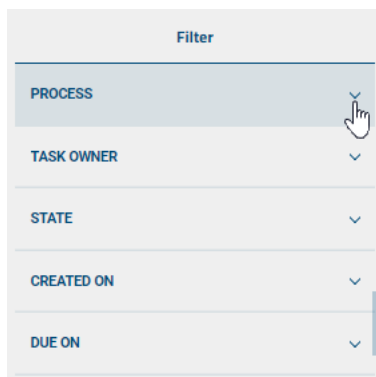


Hint: You can find out more about handling tasks in the [Tasks](#) section.

Filter menu

On the right side of this area you can find the *Filter* menu. This option lets you filter your tasks in processes by using facets.

The available filter categories are: *PROCESS*, *TASK OWNER*, *STATE*, *CREATED ON* and *DUE ON*.



Expand a facet in order to see all available facet values, which are dynamically loaded. You can set more than one facet value simultaneously.

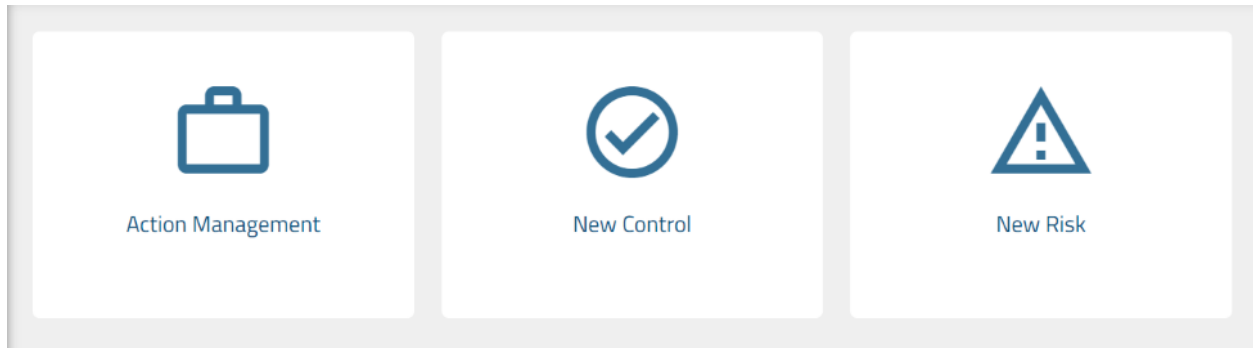
The *Filter* option will only show the *State* for active tasks: *Pending* and *Overdue*.

The same applies to date-pickers fields: only those for still active tasks (*CREATED ON* and *DUE ON*) are shown here.

Note: Further information about searching and filtering tasks can be found [here](#).

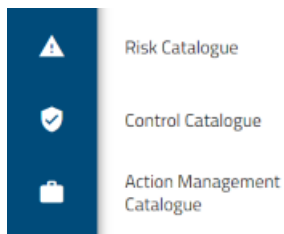
1.1.3 New processes

In the *New processes* area you can start new task-based processes. Depending on the processes for which *Administrators* have given you authorization, these are: *Action Management*, *New Control* and *New Risk*.



1.1.4 Catalogues

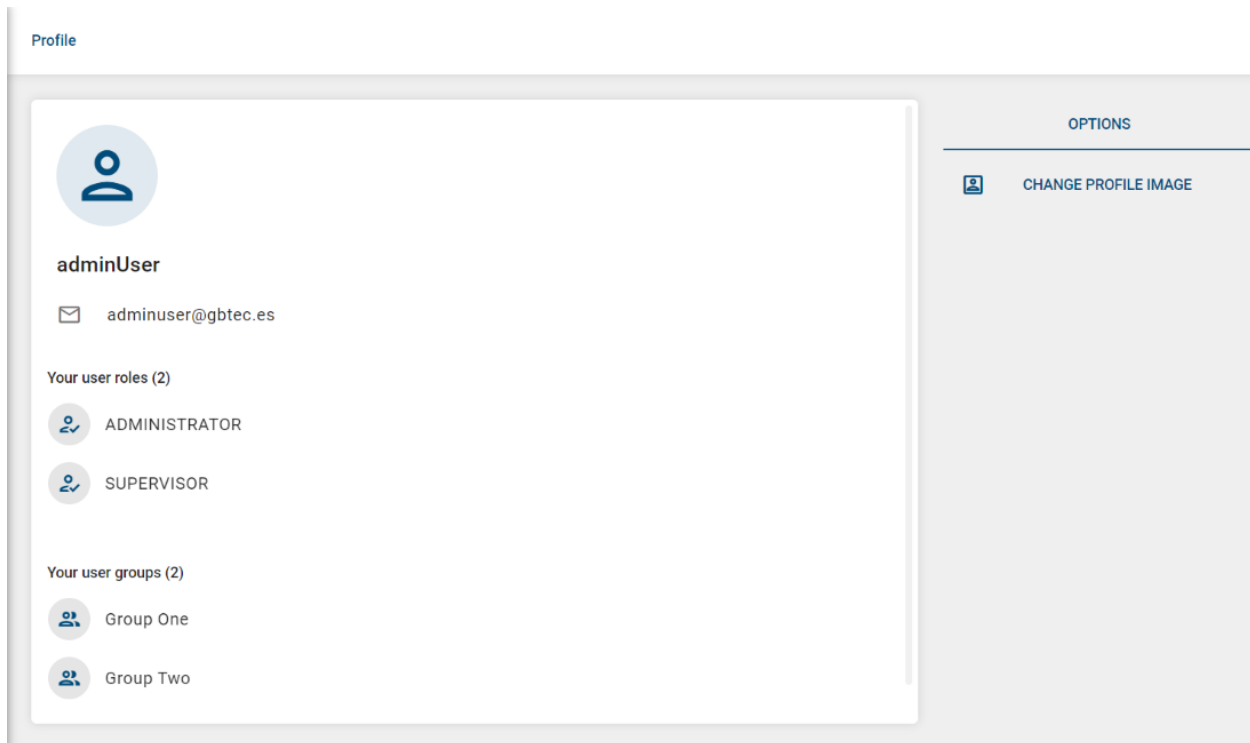
The Side Navigation Bar allows direct access to the catalogues.



- **Risk Catalogue:** The *Risk Catalogue* view displays, based on your user role, the risks and related details you have access to.
- **Control Catalogue:** The *Control Catalogue* view displays, based on your user role, the controls and related details you have access to.
- **Action Management Catalogue:** The *Action Management Catalogue* shows a list of active or finished Action Managements.

1.1.5 Profile

In the *Profile* section you will find your user data, e.g. which user roles are assigned to your account and in which user groups you are a member.



1.2 First steps


1.2.1 How do I create a risk?

Select the *New Risk* view in the *New processes* area. The system shows you a form with the necessary fields for entering a new risk: make sure you fill those that are labelled as mandatory fields (* symbol). The meaning of the

fields are explained in the section *Terms used in risk management*. With , the risk is added to the risk catalogue.


1.2.2 How do I create a control?

Select the *New Control* view in the *New processes* area. The system shows you a form with the necessary fields for entering a new control: make sure you fill those that are labelled as mandatory fields (* symbol). The meaning of the fields are explained in the section *Terms of integrated control systems*. You must assign the control to an existing risk.

With , the control is added to the control catalogue.

1.2.3 How do I create an action?

Select the *Action Management* view in the *New processes* area. The system shows you a form with the necessary fields for entering a new action: make sure you fill those that are labelled as mandatory fields (* symbol). The meaning of the

fields are explained in the section *Controlling integrated control systems*. With , the user selected as responsible is given the task of implementing the action.

Note: You can always return to your welcome screen **by clicking on the logo** at the top left of the screen.

1.2.4 Which user roles are available and which permissions do they have?

In general, there are four different available user roles inside the system: *PARTICIPANT*, *ANALYST*, *SUPERVISOR* and *ADMINISTRATOR*.

Each one of the main four user roles has different authorizations that build on each other.

Participant: Users with this role can access all of the areas inside the application, except for the *Administration* panel. Participants are able to start new processes, submit and delegate assigned tasks, and visualize risks and controls where they participate directly or as a member of a user group.

Analyst: Users with this role have limited access inside the application. Analysts are not able to start new processes, but they can submit and delegate assigned tasks. They can visualize catalogues in full detail.

Supervisor: Similar to the Participants, users with this role can access all of the areas inside the application, except for the *Administration* panel. They are able to start new processes, submit and delegate assigned tasks, and in addition they can also visualize catalogues in full detail.

Administrator: Users with this role hold all the rights that other user roles have. In addition, they have special rights by being able to access the *Administration* area.

Accessible areas/rights	Administrator	Supervisor	Analyst	Participant
MyBIC	✓	✓	✓	✓
Search	✓	✓	✓ *	✓ *
Running processes	✓	✓		✓
New processes	✓	✓		✓
Risk Catalogue	✓	✓	✓	✓ *
Control Catalogue	✓	✓	✓	✓ *
Action Management Catalogue	✓	✓	✓	✓ *
Administration	✓			
Profile	✓	✓	✓	✓
Help	✓	✓	✓	✓

Note: A wildcard “*” next to the checkbox means the user role has a limited access to the corresponding area.

Basics of risks management and integrated control systems

2.1 Terms of risks management

Risk Identification: Risk identification includes everything that leads you to recording a risk for assessment and further control. You have the following options:

- **Process *New Risk*:** This allows you to record the risk in one step. Then, it appears immediately in the risk catalogue and is highlighted as a still *Not approved* risk. For a new risk, the name of the risk and the *Risk Owner* must be specified so that a risk assessment is possible. All other input fields depend on the settings of your system.
- **Process *Registration Of Risks*:** If you want new risks to be confirmed by those responsible before they appear in the risk catalogue, multi-level recording and approval is available. The new risk must be approved by the *Risk Owner* in first place, and later by the *Risk Category Responsible* (another overriding role, e.g. a central risk manager). Both roles can also reject the risk or send it back to the previous process if the information is incomplete or incorrect.
- **Transfer of risks from diagrams in BIC Process Design:** When diagrams are published in BIC Process Design, risks can be transferred automatically by using the *Publish* feature.

Risk Control: Risk management includes all activities to reduce the probability and impact of the risks. Considering these fields, the software automatically calculates the *Risk Rating*.

- If a risk is accepted, activities only follow when the risk has actually occurred.
- When a risk is transferred, another organization (e.g. an insurance company) takes over the impact. This results in, at least, one activity to agree on a contract to take over the *Risk Impact*. The *Action Management* process is available for planning and tracking this activity.
- If avoided, the risk effects on your own company should be avoided entirely (not only reduced). Since business activities involve risks, the corresponding business activities must be abandoned to avoid them.
- If there is a reduction, you have to plan and implement activities that have a favorable effect on the probability or on the impact. The *Action Management* process is available for a one-time activity. In general, however, regular activities are necessary for permanent reduction and controls are available for this.

Risk Assessment: It includes the assessment of the risk *Probability* and *Impact*, as well as the decision of which response should be taken (acceptance, transfer, avoidance, mitigation) by the *Risk Owner*. A higher-level role can be included to check the risk assessment, e.g. a central risk manager, as a *Risk Category Responsible*.

Test of Completeness: The *Risk Owner* should regularly review whether the risk is fully managed through appropriate activities. If you want to reduce a risk, the *Risk Owner* should assess whether the likelihood of occurrence and the extent of the risk are sufficiently reduced by the assigned controls, or whether there are gaps that have not yet been completely covered by controls or actions.

Action Management: If risks do occur, activities to limit and regulate the impact become necessary. The *Action Management* process is available for planning and tracking this type of activities.

Hint: It is possible to manage who is allowed to start a specific type of process. See [Processes administration](#).

2.2 Terms of integrated control systems

Control Identification: Control identification includes everything that means that you need to record a control to mitigate a certain risk. You have the following options:

- **Process *New Control*:** This allows you to record the control in one step. Then, it appears immediately in the control catalogue and is highlighted as a still *Not approved* control. For a new control, the name of the control, the assigned risk and the *Control Owner* must be specified so that an inspection is possible. All other input fields depend on the settings of your system.
- **Process *Registration Of Controls*:** If you want new controls to be confirmed by those responsible before they appear in the control catalogue, multi-level recording and approval is available. The control must be approved by the *Control Owner* in first place, and later by the *Risk Owner* of the assigned risk. Both roles can also reject the control or send it back to the previous process if the information is incomplete or incorrect.
- **Transfer of controls from diagrams in BIC Process Design:** When diagrams are published in BIC Process Design, controls that are already assigned to risks can be transferred automatically by using the *Publish* feature.

Test of Design: The *Control Owner* must regularly check whether the control activity and execution intervals are suitable to adequately reduce the risk. If the *Control Owner* does not consider the control to be appropriate, the *Action Management* process is started in order to plan and track the activities to restore adequacy.

Test of Effectiveness of Controls: The *Control Tester* must regularly check whether the control is actually and effectively carried out. If the *Control Tester* does not consider the control to be appropriate, the *Action Management* process is started in order to plan and track the activities to restore effectiveness.

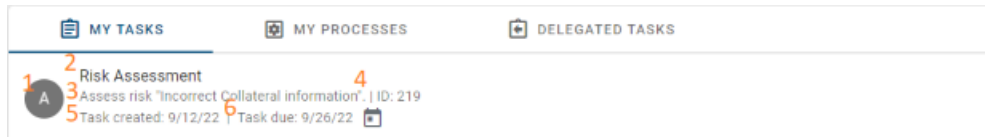
Performance of Controls: You can document the performance of the activity described as a control in the system with the process *Performance of Controls*. The process is started regularly for controls with defined execution intervals. For controls without an execution interval, you can start the process in the control catalogue. The process is always assigned to the person who is entered as the *Execution of Control*. If deviations are discovered during the control process, the *Action management* process is started in order to plan and track the reaction to those deviations.



Action Management: The control system consists of planning and monitoring the processing of all processes. Planning is carried out by setting dates and execution intervals for all processes. The software takes over the start of the processes, as well as the monitoring of the deadlines for these processes, so you can fully focus on further developing the control system and correcting deviations.

Hint: It is possible to manage who is allowed to start a specific type of process. See [Processes administration](#).

3.1 Task lists

In the *Running processes* area, tasks can be found in the *My tasks*, *My processes* and *Delegated tasks* as lists, as well as using the *Search* option. These lists contain the following information for each task:




- 1. Chip:** The user chip shows who is assigned to a specific task. Depending on the appearance of the user chip, the user can distinguish if a task is assigned to a user  or to a user group . If you hover the mouse over the chip then the user name is shown.
- 2. Task type:** The task type determines the sequence of tasks in a process workflow (e.g. Risk Assessment, Action Management, Test of Completeness...).
- 3. Description:** The description conveys what needs to be done in this task.
- 4. ID:** One unique identifier is assigned to each task.
- 5. Task created:** This date indicates when the task was created.
- 6. Task due:** This date indicates when the task must be completed. From the day after, the task is shown as *Overdue*. A few days before this date, the task will be shown as *Overdue soon*. The exact number of days depends on the settings of your system: the default number is three days. If the task is assigned to yourself, you can bring the date forward to be reminded earlier. If you have brought the date forward, you can set it back to a later date, but never later than the original due date.

You can open tasks by clicking on them, to see what information they currently have. If the task is active and assigned to yourself, you can also edit and complete the task directly from this area.

Hint: A task belongs to a given process instance. Process instances can be created:

- Manually by the user.
 - Automatically by the system on a scheduler based approach.
 - Automatically by the system as a result of a previous process instance.
-

3.2 Task actions

You can perform the following actions hovering the task and clicking on the *Actions menu* button ( three dots on the right side) of each task:

Audit trail: *Audit trail* shows you the description and the executing user of all completed, delegated and still open tasks in a process.

Delegate task: You can delegate a task that is assigned to you to another user. Then, this user is able to edit and complete the task without restrictions. Keep in mind that once you delegate a task, you are not able to take it back to yourself. If you want to consult another user but without delegating the task, you can use the *Send message* function. Users with the *Supervisor* or *Administrator* role can also delegate tasks that are not directly assigned to them.

Send message: You can send a link to the tasks to another user, to notify or to consult him/her. Every user role is able to open the link to the task in a read-only mode. Only the user that is assigned to the task is able to change content or to submit the task.

Cancel process: As a *Supervisor* or *Administrator* you are able to cancel the whole process. When you select this option, you must give a reason for cancellation. Users with different roles (like *Participant* or *Analyst*) are not able to visualize this option.

Note: Further information about cancelling processes can be found [here](#).

Comments: Users can add comments to tasks, and also view the comments added by other users.

Attachments: Users can add attachments to processes, and also view the attachments added by other users.

3.2.1 How can I cancel a process?

Every task belongs to a process instance. For example, the task *Assess risk* belongs to the process **Risk Assessment**.

Depending on the user role, it is possible to cancel a process:

- As a *Participant* or *Analyst* the option *Cancel process* is not available.
- As a *Supervisor* or *Administrator* you are able to cancel processes at any time: click on the *Actions menu* button of a particular task and select the *Cancel process* option.

If a user chooses the *Cancel process* option, it is mandatory to define a reason for cancellation. After confirming this action, the process instance will be cancelled and each participant will be informed by email.

Also, all active tasks of the cancelled process instance will disappear from the corresponding task views (*My tasks*, *My processes* and *Delegated tasks*).

You can still find finished tasks of a cancelled process using the [Search](#) option:

- All former finished tasks of the cancelled process instance are still available as *Done* tasks.
- The last active task is shown as a *Done* task after the cancellation.

Warning: You cannot restart cancelled processes.

If the process was started by the scheduler based on the given interval, it is not possible to restart a process instance for that old interval period again.

For example, if there is a risk that has *Annually as Interval for Risk Assessment* and was started by the scheduler on 02.05.2019, after the creation of the **Risk Assessment**, the *Next Risk Assessment* is set to 02.05.2020 inside the *Risk Catalogue* in order to prepare it for the next iteration. If now someone cancels this process instance that represents the **Risk Assessment** for the risk in the year 2019, there is no way to restart an instance that counts for that period. The only way would be to start manually a **Risk Assessment** and describe in the comment that it is a replacement for the year 2019.

3.3 Group tasks

A task can be assigned to a single user or a single user group. If a task is assigned to a user group, it means that all group members have this task listed in the *My tasks* view and are informed by email. But finally, only one user will do the task on behalf of the group.

When a user decides to take care of a task and opens a group task by clicking on it, the user is officially claiming it. Therefore, the user becomes the only assignee for that specific task and the task disappears from the *My tasks* list for all other group members.

Hint: Trace data in the *Audit trail* will reflect the user who has performed the task, not the group.

As the process instance forwards, all group members become potential assignees and users can individually claim assigned tasks again.

Note: If a user is added to the user group after creating a group task, the user will have access to the task as long as it was not claimed yet by another member of the group.

3.3.1 Can I delegate a group task?

You can delegate a group task to a different user or user group, independent if the group task is already claimed or not. In any case, after the delegation, the group task will disappear from the former assignees and will appear on the *My tasks* views for the new assignees.

Note: Further information about delegating a task can be found [here](#).

3.4 Task notifications

In BIC Process Control there exists a notifications system with which users can be informed about events related to tasks they are involved in, as single users or as members of a group.

These notifications are automatically sent by the system via email, and can be classified into two main categories according to their frequency: **daily notifications** and **instant notifications**.

Also, each notification has a different *Subject* line and body so users can easily distinguish them.

3.4.1 Daily notifications

As a daily notification, a user will receive one single email containing all events which happened since his last notification. The following types of events will be collected inside the daily notification:

- New assigned tasks.
- Overdue soon tasks that are not finished yet.
- Overdue tasks that are not finished yet.

For each type of event there is a different section in the email showing the corresponding tasks sorted by:

1. Due date of the task.
2. Process type.

The following picture shows the daily email sent to a user with only one new assigned task since the last notification. Therefore, the sections **Overdue soon tasks (sort by due date)** and **Overdue tasks (sort by due date)** are not displayed as part of the email notification.

Dear user,

below you can find the list of task related events that happened since your last notification:

New assigned tasks (sort by due date):

- 03/25/2021 - Test of Completeness - [Test the completeness of coverage of the risk "Risk Example" by controls.](#)

Thank you

PS: If you feel you are not the correct recipient, please contact bicsupport@gbtec.de

3.4.2 Instant notifications

In comparison with the daily notification, for each of the following events an individual email notification will be generated:

- After commenting a task.
- After cancelling a process.

In addition to these two notification types, the system will also send an email notification for a delegated task. But this will only happen when the delegated task has its due date today or counts already as overdue.

Event type	Recipient	Additional details
"A task has been delegated."	New assignee.	The notification contains the reason for delegation.
"A process has been commented."	Involved user/s or groups*.	
"A process has been cancelled."	Involved user/s or groups*.	The notification contains the reason for cancellation.

* Users who already finished a task inside the process and the current task owner.

3.5 How can I export my tasks?

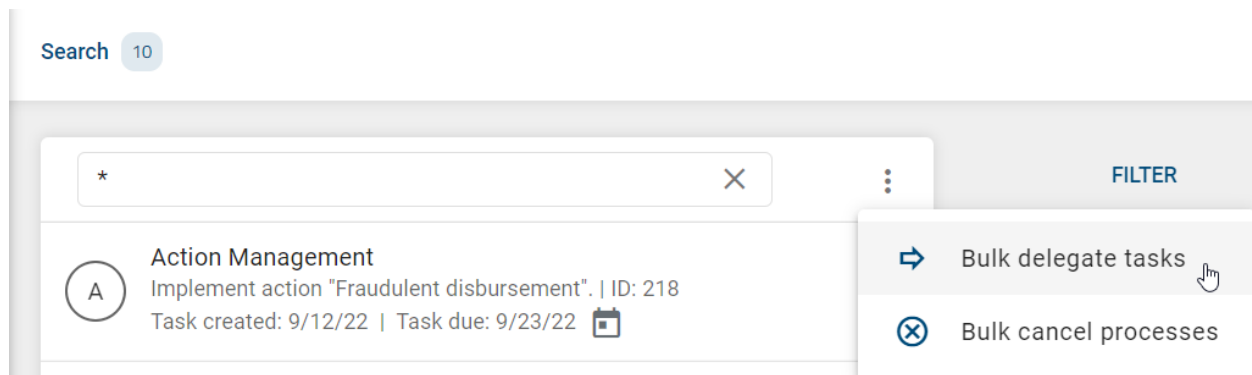
On the right side of the *Running processes* view there is the *Options* menu bar, which provides an export option in the form of a downloadable .XLSX file.



By clicking on *EXPORT* you download your tasks that are visible to you. (Based on the view, your user role and active filters)

3.6 How can I do a bulk delegation of tasks?

As an Administrator you can execute a bulk task delegation inside the **Search** view. Once a search term is entered and a result is shown, the system will offer a kebab menu on the right side of the area containing the search input field.



You can adjust the shown tasks by using the filter facets. For example show only tasks of a specific process and assigned to a specific task owner.


If the option *Bulk delegate tasks* is selected, similar to a single task delegation, a new task owner (user or user group) must be selected and a reason for the delegation must be entered. In difference to a single task delegation, the bulk operation needs an additional confirmation interaction. This is necessary in order to prevent an accidental trigger of this action.

Bulk delegation of tasks

Are you sure you want to do a bulk delegation of all selected pending tasks? Please choose the user or user group to which you want to delegate the selected tasks.

Delegate to *

Comment *

 Important hint

You are going to do a bulk delegation of tasks that are currently pending. Please enter "yes" to confirm this bulk operation.

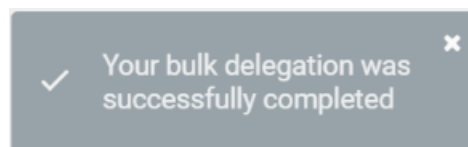
Enter "yes" to confirm

CANCEL

DELEGATE TASKS

Once the confirmation is made and the *DELEGATE TASKS* button is triggered, the system will automatically delegate all active tasks that are currently visible in the same way as they would be delegated individually. The currently visible tasks are defined based on the search term and selected filter facets. *Finished* and *Canceled* tasks will be ignored.

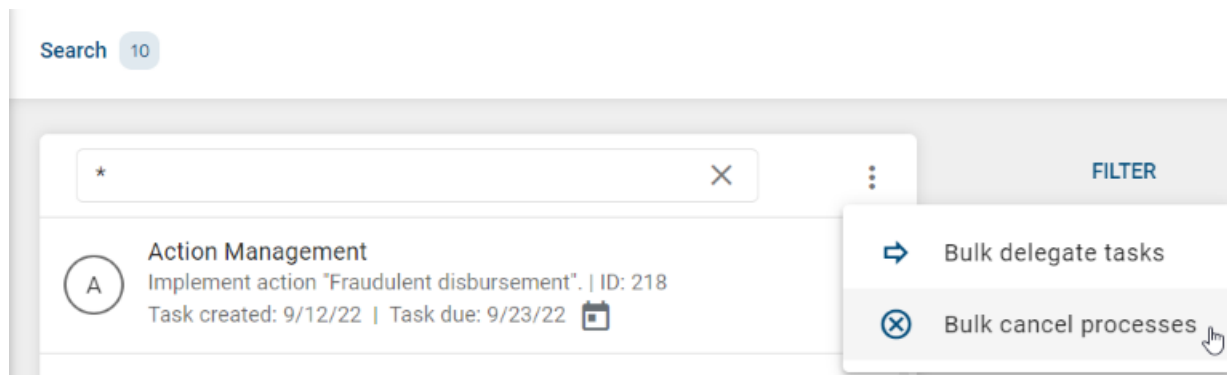
The execution of the bulk operation and their end is indicated by a message on the lower right corner of the screen.



Hint: After the end of the bulk operation, the system may take a bit to update the task cards with the new task owner. This depends on the number of affected tasks. Refreshing the view by pressing F5 on your keyboard will show you the changes.

3.7 How can I do a bulk cancellation of processes?

As an Administrator you can execute a bulk process cancellation inside the **Search** view. Once a search term is entered and a result is shown, the system will offer a kebab menu on the right side of the area containing the search input field.



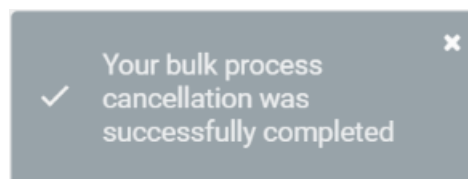
You can adjust the shown tasks by using the filter facets. For example show only tasks of a specific Process and assigned to a specific task owner.

If the option *Bulk cancel processes* is selected, similar to a single process cancellation, a reason for the cancellation must be entered. In difference to a single process cancellation, the bulk operation needs an additional confirmation interaction. This is necessary in order to prevent an accidental trigger of this action.

 The dialog is titled 'Bulk process cancellation'. It contains the text: 'Are you sure you want to cancel all selected active processes? Please give reasons for the cancellation.' Below this is a text input field labeled 'Comment *'. An 'Important hint' box with an orange background contains the text: 'You are going to a bulk cancellation of processes that are currently pending. Please enter "yes" to confirm this bulk operation.' Below the hint is a text input field with the placeholder 'Enter "yes" to confirm'. At the bottom of the dialog are two buttons: 'KEEP PROCESSES' and 'CANCEL PROCESSES'.

Once the confirmation is made and the *CANCEL PROCESSES* button is triggered, the system will automatically cancel all processes for all active tasks that are currently visible in the same way as they would be cancelled individually. The currently visible tasks are defined based on the search term and selected filter facets. *Finished* and *Canceled* tasks will be ignored.


The execution of the bulk operation and their end is indicated by a message on the lower right corner of the screen.



Hint: After the end of the bulk operation, the system may take a bit to update the task cards. This depends on the number of affected tasks. Refreshing the view by pressing F5 on your keyboard will show you the changes.

4.1 New Risk

4.1.1 Who is involved inside this process?

Despite all the other risk related processes, the *New Risk* process does not involve specific roles like the *Risk Owner*. Everyone who can see the tile *New Risk* inside the *New processes* view is able to register a new risk into the Risk Catalogue. Every risk created that way, will be shown as “Not approved” .

4.1.2 Which tasks are part of this process?

In the *New Risk* process, only the initial entry form needs to be completed. After submitting the form, the new risk is listed directly inside the Risk Catalogue.

The entry form contains some mandatory fields, so that the most important information about the risk is entered directly. Among other things, the *Risk Owner* and the *Risk Category Responsible* are recorded. An initial qualitative risk assessment specifying the *Impact* and *Probability* is also requested. The actual *Risk Rating* is determined automatically.

Note: [Here](#) you can see how the system calculates the corresponding rating according to certain business rules.

4.1.3 When and how is the Action Management process triggered?

After submitting the New Risk form, depending on the user inputs the system may start an Action Management.

The Action Management process is triggered when:

- The *Next Risk Assessment* selected date is later than 30 days from the current date.

The Action Management process starts by informing that “The date for next risk assessment is too late”, so it requires the *Risk Owner* to take appropriate actions that will be reviewed again by higher-level roles.

Regardless of when and how the Action Management was triggered, the first task of this new process also contains a link to the corresponding risk and four fields whose content is predefined by business logic rules.

The entries below are the fields of the Action Management process that are prefilled with specific data:

Action Management field	How is it prefilled?
Responsible for Implementation	Risk Owner
Authority in Case of Escalation	Risk Category Responsible
Due date	Today + 30 days
Review due	Today + 45 days

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.

4.2 Risk Assessment

4.2.1 Who is involved inside this process?

The users involved through this process are the *Risk Owner* and the *Risk Category Responsible*, considering this second one as a higher-level role that will review the values and dates previously selected by the first one. Both fields can be assigned to the same user or user group, but they can also be assigned to different users or user groups.

Here you can see how group tasks are handled.


4.2.2 Which tasks are part of this process?

This process consists of up two different tasks:

- The primary **Assess risk** task
- The secondary **Review assessment** task, which will be triggered based on predefined business rules

After the process is manually or automatically launched, the first task requires the *Risk Owner* to assess the corresponding risk:

- If the *Risk Owner* just confirms the risk as it is again, the process is finished right after submitting the form.
- If there are changes (different *Risk Rating* or *Risk Response* values, or risk rated as **Obsolete**) and there is an assigned *Risk Category Responsible*, the process moves to the second task in order to perform a **re-assessment**.

Note: After the end of a process where the risk is rated as *Obsolete*, the  icon will be displayed next to it.

During the **re-assessment** task, the assigned user has to define the *Result of Re-assessment* by choosing between two different options:

- **I confirm the risk assessment:** the values of the assessed risk are updated in the catalogue and can be visualized as part of the risk details view.
- **I reject the risk assessment for correction by the risk responsible:** the values of the assessed risk are rejected and the process returns to the first task, which requires the *Risk Owner* to perform a new evaluation of the risk. Once this form is submitted, the **Review assessment** task is required again.

Hint: After updating the corresponding risk inside the Risk Catalogue, the system will also update it inside BIC Process Design if the risk was formerly imported by using the *connector*.

4.2.3 How is the risk rating calculated?

Once the *Impact* and *Probability* values are selected by the involved users, the system calculates the resulting *Risk Rating* by following certain business rules configured through a DMN (Decision Model and Notation) table.

Below you can find the **default** definition of the DMN table:

Probability	Impact	Risk Rating
Very low	Very low, Low	Very low
Very low	Medium	Low
Very low	High	Medium
Low	Very low	Very low
Low	Low	Low
Low	Medium	Low
Low	High	Medium
Medium	Very low, Low	Low
Medium	Medium	Medium
Medium	High	High
High	Very low, Low	Medium
High	Medium, High	High

The **Risk Assessment** process also offers fields to maintain the Risk Assessment from an operational risk management perspective:

- *Impact (EUR)*
- *Probability (%)*
- *Risk Expectation (EUR)*.

These fields are optional and the field **Risk Expectation (EUR)** will be automatically calculated based on the inputs of the other two fields.

4.2.4 When and how is the Action Management process triggered?

After finishing the Risk Assessment process, depending on the user inputs the system may start an Action Management.

The Action Management process is triggered when:

- The *Risk Rating* value is changed (increased or decreased).
- The *Risk Response* value is changed.
- The risk is rated as **Obsolete**.

The Action Management process starts by requiring the *Risk Owner* to take appropriate actions that will be reviewed again by higher-level roles.

Regardless of when and how the Action Management was triggered, the first task of this new process also contains a link to the corresponding risk and four fields whose content is predefined by business logic rules.

The entries below are the fields of the Action Management process that are prefilled with specific data:

Action Management field	How is it prefilled?
Responsible for Implementation	Risk Owner
Reviewer	Risk Category Responsible
Due date	See table below
Review due	See table below

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.

The following table shows how the Due date and the Review due date are calculated:

Rule for calculation	Due date	Review due
When Risk Rating is increased from Very low, Low or Medium to a higher value	Today + 30 days	Today + 45 days
When Risk Rating is decreased from High, Medium or Low to a lower value	Today + 90 days	Today + 105 days
When Risk Response is changed to <i>Acceptance</i>	Today + 90 days	Not maintained
When Risk Response is changed to <i>Transfer</i> , <i>Avoidance</i> or <i>Mitigation</i>	Today + 30 days	Today + 45 days
When the risk is rated as <i>Obsolete</i>	Today + 30 days	Today + 45 days

Note: The first rule that matches will define the values for Due date and Review due for the Action Management process.

4.2.5 How is the “Next Risk Assessment” date calculated?

When a process is started automatically, BIC Process Control calculates the *Next Risk Assessment* based on the *Interval for Risk Assessment*. In this case, the corresponding risk is updated with the new *Next Risk Assessment* date. This will lead to a new risk version inside the *History* section.

When a process is manually started from the *Risk Catalogue*, it is counted as an additional instance on top of the automatically generated one.

4.3 Test of Completeness

4.3.1 Who is involved inside this process?

The user involved through this process is the *Risk Owner*. This field can be assigned to a single user or to a user group.

4.3.2 Which tasks are part of this process?

This process consists of the task **Test the completeness of coverage of the risk by controls**.

After the process is manually or automatically launched, the related task requires the *Risk Owner* to test if the risk is completely covered with controls.

In order to verify that, the *Result of Test of Completeness* field offers two possible options: **Controls are complete** or **Controls are insufficient**.

If the *Risk Owner* selects **Controls are complete** and the *Risk Response* is not **Mitigation**, the process is finished right after submitting the form.

Hint: After updating the corresponding risk inside the Risk Catalogue, the system will also update it inside BIC Process Design if the risk was formerly imported by using the *connector*.

4.3.3 When and how is the Action Management process triggered?

After finishing the Test of Completeness process, depending on the user selection the system may start an Action Management.

The Action Management process is triggered when:

- The *Result of Test of Completeness* is **Controls are complete** and the *Risk Response* is **Mitigation**.
- The *Result of Test of Completeness* is **Controls are insufficient**.

The Action Management process starts by requiring the *Risk Owner* to take appropriate actions that will be reviewed by higher-level roles.

Regardless of when and how the Action Management was triggered, the first task of this new process contains a link to the corresponding risk and five fields whose content is predefined by business logic rules.

The following table shows how these rules are applied to the Action Management process:

Action Management field	How is it prefilled?
Responsible for Implementation	Risk Owner
Reviewer	Risk Category Responsible
Authority in Case of Escalation	Risk Category Responsible
Due date	Today + 30 days
Review due	Today + 45 days

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.


4.3.4 How is the “Next Test of Completeness” date calculated?

When a process is started automatically, BIC Process Control calculates the *Next Test of Completeness* based on the *Interval for Test of Completeness*. In this case, the corresponding risk is updated with the new *Next Test of Completeness* date. This will lead to a new risk version inside the “History” section.

When a process is manually started from the *Risk Catalogue*, it is counted as an additional instance on top of the automatically generated one.

4.4 New Control

4.4.1 Who is involved inside this process?

Despite all the other control related processes, the *New Control* process does not involve specific roles like the *Control Owner*. Everyone who can see the tile *New Control* inside the *New processes* view is able to register a new control into the Control Catalogue. Every control created that way, will be shown as “Not approved” .

4.4.2 Which tasks are part of this process?

In the *New Control* process, only the initial entry form needs to be completed. After submitting the form, the new control is listed directly inside the Control Catalogue.

The entry form contains some mandatory fields, so that the most important information about the control is entered directly. Among other things, the *Control Owner* and the *Control Tester* are recorded. Information on the *Effect of Control*, the *Type of Performance* and the *Execution interval* is also requested.

In order to complete the recording of the control, the new control must be assigned to a risk.

4.4.3 When and how is the Action Management process triggered?

After finishing the *New Control* process, depending on the user inputs the system may start an *Action Management*.

The *Action Management* process is triggered when:

- The *Next Test of Design* selected date is later than 30 days from the current date.

The *Action Management* process starts by informing that “The date for next test of design is too late”, so it requires the *Control Owner* to take appropriate actions that will be reviewed again by higher-level roles.

Regardless of when and how the *Action Management* was triggered, the first task of this new process also contains a link to the corresponding control and four fields whose content is predefined by business logic rules.

The entries below are the fields of the *Action Management* process that are prefilled with specific data:

Action Management field	How is it prefilled?
Responsible for Implementation	Control Owner
Authority in Case of Escalation	Risk Owner (of the associated risk)
Due date	Today + 30 days
Review due	Today + 45 days

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.

4.5 Test of Design

4.5.1 Who is involved inside this process?

The user responsible of this process is the *Control Owner*. This field can be assigned to a single user or to a user group during the creation of a new control.

4.5.2 Which tasks are part of this process?


This process consists of the task **Test design of control**.

After the process is manually or automatically launched, the related task requires the *Control Owner* to test the design of the selected control.

In order to verify that, the *Result of Test of Design* field offers two possible options: **Inappropriate design of control** or **Appropriate design of control**.

By selecting **Appropriate design of control**, the process is finished right after submitting the form and the control details are properly updated.

Below this field, there is a checkbox that can be used in order to *Rate control as obsolete*.

Note: After the end of a process where the control is rated as *Obsolete*, the  icon will be displayed next to it.

If this checkbox is selected, only the field *Comment on Result of Test of Design* is mandatory. By unselecting it the original mandatory fields are mandatory again.

Hint: After updating the corresponding control inside the Control Catalogue, the system will also update it inside BIC Process Design if the control was formerly imported by using the *connector*.

4.5.3 When and how is the Action Management process triggered?

After finishing the Test of Design process, depending on the user selection the system may start an Action Management.

The Action Management process is triggered when:

- The *Result of Test of Design* is **Inappropriate design of control**.
- The control is rated as **Obsolete**. Also, in this particular case it is not needed to select the result of the test, and the system will not require a higher-level role to review this new rating.

The Action Management process starts by requiring the *Control Owner* to take actions for appropriate design of the control that will be reviewed by higher-level roles.

Regardless of when and how the Action Management was triggered, the first task of this new process contains a link to the corresponding risk and five predefined fields.

The following table shows how these rules are applied to the Action Management process:

Action Management field	How is it prefilled?
Responsible for Implementation	Control Owner
Reviewer	Risk Owner
Authority in Case of Escalation	Risk Owner
Due date	Today + 30 days
Review due	Today + 45 days

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.

4.5.4 How is the “Next Test of Design” date calculated?

When a process is started automatically, BIC Process Control calculates the *Next Test of Design* based on the *Interval for Test of Design*. In this case, the corresponding control is updated with the new *Next Test of Design* date. This will lead to a new control version inside the *History* section.

When a process is manually started from the *Control Catalogue*, it is counted as an additional instance on top of the automatically generated one.

4.6 Test of Effectiveness of Controls

4.6.1 Who is involved inside this process?

The user responsible of this process is the *Control Tester*. This field can be assigned to a single user or to a user group during the creation of a new control.

4.6.2 Which tasks are part of this process?

This process consists of the task **Test effectiveness of control**.

After the test is manually or automatically launched, the related task requires the *Control Tester* to test the effectiveness of the corresponding control.

In order to verify that, the *Result of Test of Effectiveness* field offers three possible values: **Control is not effective**, **Control is partly effective** or **Control is effective**.

When selecting **Control is effective**, the process is finished right after submitting the form and the control details are updated.

Hint: After updating the corresponding control inside the Control Catalogue, the system will also update it inside BIC Process Design if the control was formerly imported by using the *connector*.

4.6.3 When and how is the Action Management process triggered?

After finishing the Test of Effectiveness of Controls process, depending on the user selection the system may start an Action Management.

The Action Management process is triggered when:

- The *Result of Test of Effectiveness* is **Control is not effective** or **Control is partly effective**.

The Action Management process starts by requiring the *Control Owner* to take appropriate actions for the effectiveness of the control, that will be reviewed by higher-level roles.

Regardless of when and how the Action Management was triggered, the first task of this new process contains a link to the corresponding risk and five predefined fields.

The following table shows how these rules are applied to the Action Management process:

Action Management field	How is it prefilled?
Responsible for Implementation	Control Owner
Reviewer	Control Tester
Authority in Case of Escalation	Risk Owner
Due date	<ul style="list-style-type: none"> • If Control is partly effective: Today + 90 days • If Control is not effective: Today + 30 days
Review due	<ul style="list-style-type: none"> • If Control is partly effective: Today + 105 days • If Control is not effective: Today + 45 days

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.

4.6.4 How is the “Next Test of Effectiveness” date calculated?

When a process is started automatically, BIC Process Control calculates the *Next Test of Effectiveness* based on the *Interval for Test of Effectiveness*. In this case, the corresponding control is updated with the new *Next Test of Effectiveness* date. This will lead to a new control version inside the *History* section.

When a process is manually started from the *Control Catalogue*, it is counted as an additional instance on top of the automatically generated one.

4.7 Performance of Controls

4.7.1 Who is involved inside this process?

The user responsible of this process is the *Execution of Control*. This field can be assigned to a single user or to a user group during the creation of a new control.

4.7.2 Which tasks are part of this process?

This process consists of the task **Perform control**.

After the process is manually or automatically launched, the related task requires the *Execution of Control* to test the performance of the corresponding control.

In order to verify that, the *Result of Performance of Control* field offers three possible options: **Ok**, **Minor deviations** or **Major deviations**.

By selecting **Ok**, the process is finished right after submitting the form and the control details are properly updated.

Hint: After updating the corresponding control inside the Control Catalogue, the system will also update it inside BIC Process Design if the control was formerly imported by using the *connector*.

4.7.3 When and how is the Action Management process triggered?

After finishing the Performance of Controls process, depending on the user selection the system may start an Action Management.

The Action Management process is triggered when:

- The *Result of Performance of Control* is **Minor deviations** or **Major deviations**.

The Action Management process starts by requiring the *Control Owner* to take appropriate actions against deviations in the performance of the corresponding control, that will be reviewed by higher-level roles.

Regardless of when and how the Action Management was triggered, the first task of this new process contains a link to the corresponding risk and five predefined fields.

Action Management field	How is it prefilled?
Responsible for Implementation	Control Owner
Reviewer	Control Tester
Authority in Case of Escalation	Risk Owner
Due date	<ul style="list-style-type: none">• If Minor deviations: Today + 90 days• If Major deviations: Today + 30 days
Review due	<ul style="list-style-type: none">• If Minor deviations: Today + 105 days• If Major deviations: Today + 45 days

Even if the above list of fields contains predefined content, their values can be adopted inside the *Define action* task.

4.7.4 How is the “Next Performance of Control” date calculated?

When a process is started automatically, BIC Process Control calculates the *Next Performance of Control* based on the *Execution Interval*. In this case, the corresponding control is updated with the new *Next Performance of Control* date. This will lead to a new control version inside the *History* section.

When a process is manually started from the *Control Catalogue*, it is counted as an additional instance on top of the automatically generated one.

4.8 Action Management

4.8.1 Who is involved inside this process?

The roles involved through this process are: *Responsible for Implementation*, *Reviewer* and *Authority in Case of Escalation*.

These roles can be assigned to the same single user or user group, but also to different users or user groups.

The user or user group assigned as *Reviewer* or *Authority in Case of Escalation* must be different to the *Responsible for Implementation*.

4.8.2 Which tasks are part of this process?

Three tasks are part of this process:

- **Define action**
- **Implement action**
- **Review implementation of action**

In addition to these three tasks, there is a **Manage escalation of action** task available, which will be triggered under specific circumstances.

The **Define action** task, as the first one of this process, must indicate the name of the **Corrective Action** and also its **Priority** (Low, Medium, High) and **Type**. The *Responsibilities* section inside this form indicates which users or user groups will be assigned as *Responsible for Implementation*, *Reviewer* and *Authority in Case of Escalation*. Regarding the dates, **Due date** and **Review due** fields are also part of this form.

The content and values for these fields must be completely entered by the user if the process was launched manually. If it was launched automatically, data inside some of them will be directly predefined by the system according certain rules.

Hint: You can find out more about this topic [here](#).

The second task of this process is **Implement action**, which is assigned to the user previously selected as *Responsible for Implementation*.

During this task, the responsible user is required to select the current *Status of Implementation*. This field contains five possible values: Pending, Implemented, Duplicate, Invalid, and Obsolete. Also, the form requires a comment regarding the selected status.

Once this second task is submitted, the third task of the process is **Review implementation of action**, which is assigned to the *Reviewer*.

In the corresponding form, the *Reviewer* needs to decide the *Measure approval*. There are two possible results:

- **Approve implementation.** This way, the process is finished right after submitting the form.
- **Reject implementation.** This way, the process returns to the second task, which requires the *Responsible for Implementation* to perform again the implementation of the action.

The last task of this process is **Manage escalation of action**, which is assigned to the user or user group selected as *Authority in Case of Escalation*.

This task is automatically triggered when the **Due date** for implementation or the **Review due** date is reached.

4.8.3 When and how can the Action Management process be launched?

This process can be launched *manually* or *automatically*.

The process is started manually when:

- The user creates a new **Action Management** process from the *New processes* section.
- The user starts a new **Action Management** process from the context menu of already existing risks or controls inside the catalogues.

Hint: It is possible to manage who is allowed to start a specific type of process. See *Processes administration*.

The process may be started automatically as a result of the following processes:

- *Risk Assessment*
- *Test of Completeness*
- *Test of Design*
- *Test of Effectiveness of Controls*
- *Performance of Controls*

When the process is started automatically, certain fields of the first *Define action* task will be already filled with predefined data: *Responsible for Implementation*, *Reviewer*, *Authority in Case of Escalation*, *Due date* and *Review due*.

Depending on the process which started the Action Management, the values for these fields can vary. For further details, please check the corresponding question **When and how is the Action Management process triggered?** for each process.

4.8.4 When and how a *Manage escalation* task is triggered?

A *Manage escalation* task is triggered when:

- an *Implement action* task is active and the defined due date for implementation has passed.
- an *Review action* task is active and the defined due date for the review has passed.

In both cases the escalation task will be assigned to the user / user group which is defined as *Responsible in case of escalation*.

4.8.5 What happens after finishing a *Manage escalation* task?

When a manage escalation task is finished, the next step inside the Action Management process depends on the input that was made during the escalation task.

One of the following steps can happen next:

- **When there is no *Implementation status* set AND the *Due date* for implement the action is set to the future.**
 - Then the process will create a *Implement action* task.
- **When the field *Measure approval* is still empty, a *Reviewer* is defined AND review due date is in the future.**
 - Then the process will create a *Review action* task.
- In all other cases the Action Management process is finished.

5.1 Overview

Considering the different *user roles* , in the *Risk Catalogue* you can find:

- *Table view* of the risks you have access to and the essential information for each one.
- *Dashboard view* of your risks for each facet that is available.
- *Heatmap* that shows you the distribution of risks based on *Probability* per *Impact*.

All three views offer different perspectives for further analysis of your risks.

You can also find on the right side of the catalogue a menu bar with two available tabs: *Filter* and *Options* . *Options* offers you the possibility to *EXPORT* the complete *Risk Catalogue* and download the *RISK CONTROL MATRIX*.

5.1.1 How the role of a user changes the risks I can see?

The *Risk Catalogue* shows you risks based on your assigned role.

As a	You can see risks
<ul style="list-style-type: none"> <i>PARTICIPANT</i> 	<ul style="list-style-type: none"> When you are assigned as <i>Risk Owner</i>. When you are assigned as <i>Risk Category Responsible</i>. When a user group which you belong to is assigned as <i>Risk Owner</i> or <i>Risk Category Responsible</i>. When in an associated control you are assigned as <i>Control Owner</i>, <i>Control Tester</i> or <i>Execution of Control</i>. When in an associated control a user group which you belong to is assigned as <i>Control Owner</i>, <i>Control Tester</i> or <i>Execution of Control</i>.
<ul style="list-style-type: none"> <i>ANALYST</i> <i>SUPERVISOR</i> <i>ADMINISTRATOR</i> 	<ul style="list-style-type: none"> All risks

5.1.2 How can I access the Risk Catalogue?

Click on *Risk Catalogue* inside the *Side Navigation Bar*.

The screenshot shows the BIC Process Control Risk Catalogue interface. The left sidebar contains the navigation menu with 'Risk Catalogue' highlighted. The main content area displays a table of risks. The table has columns: Last Change, Name, Description, Category, and Control. The table lists 10 risks, all with a 'Procc' status. The right sidebar shows filter options for various risk attributes.

Last Change	Name	Description	Category	Control
6/13/22	R2.2.5 Risk 13			Procc
6/13/22	R2.2.1 Risk 9			Procc
6/13/22	R2.2.8 Risk 16			Procc
6/13/22	R1.1.2 Risk 2			Procc
6/13/22	R2.1.4 Risk 8			Procc
6/13/22	R2.2.7 Risk 15			Procc
6/13/22	R1.1.1 Risk 1			Procc
6/13/22	R2.1.3 Risk 7			Procc
6/13/22	R1.2.2 Risk 4			Procc

Items per page: 10 | 1 - 10 / 19



















Filter options:

- NAME
- STATE
- RISK CATEGORY
- SOURCE
- RISK RESPONSE
- RISK RATING
- IMPACT
- PROBABILITY
- RISK OWNER
- RISK CATEGORY RESPONSIBLE
- NEXT RISK ASSESSMENT


5.2 Table view

The *Table* shows you recorded risks you have access to and the essential information for each one.


Risk Catalogue










TABLE								HEATMAP		DASHBOARD	
Last Change	Name	Description	Category	Context	Responsible	Probability	Trend	FILTER		OPTIONS	
	9/14/22	R2.2.8 Risk 16		Other	(A)		n/a	⋮	NAME	▼	
	9/14/22	R2.2.7 Risk 15		Other	(A)		n/a	⋮	STATE	▼	
	9/14/22	R2.2.5 Risk 13		Other	(A)		n/a	⋮	RISK CATEGORY	▼	
	9/14/22	R2.2.1 Risk 9		Other	(A)		n/a	⋮	SOURCE	▼	
	9/14/22	R2.1.4 Risk 8	Information security	Other	(A)		n/a	⋮	RISK RESPONSE	▼	
	9/14/22	R2.1.3 Risk 7		Other	(A)		n/a	⋮	RISK RATING	▼	
	9/14/22	R1.2.2 Risk 4		Other	(A)		n/a	⋮	IMPACT	▼	
	9/14/22	R1.1.2 Risk 2		Other	(A)		n/a	⋮	PROBABILITY	▼	
	9/14/22	R1.1.1 Risk 1	Financial	Other	(A)		n/a	⋮	RISK OWNER	▼	
								NEXT RISK ASSESSMENT		▼	
								INTERVAL FOR RISK ASSESSMENT		▼	

Items per page: 10 1 - 9 / 9

If a risk is not approved yet, you will see a green exclamation mark  on the left side: this means the *Risk Assessment* is still pending.

Hint: You can find more about how to add risks into the catalogue [here](#).

From the context menu of each risk (three dots on the right side ) you are able to:

	Details
	Show controls
	Show Action Managements
	Pending tasks
	History
	Risk Assessment
	Test of Completeness
	New Control
	Action Management

- See the full risk *Details*.
- *Show controls* assigned to a risk.
- See the *Action Managements* of a given risk.
- See the *Pending tasks* of a given risk.

- See previous information and assessments of a risk in the *History* section, and track back every entry in the history of the corresponding risk.
- Start the following processes *Risk Assessment*, *Test of Completeness*, *New Control* and *Action Management* for a risk.
- When using the process *New Control*, the new created control will be associated directly to the selected risk.

5.2.1 How can I distinguish if a risk is active or obsolete?

You can easily do this by using the “STATE” option, available on top of the *Filter* menu (right side of the screen).




This option has two possible values that can be selected:


- **Active:** By selecting this value, you will visualize only those risks which are currently active. Therefore you can start new processes related to these risks.

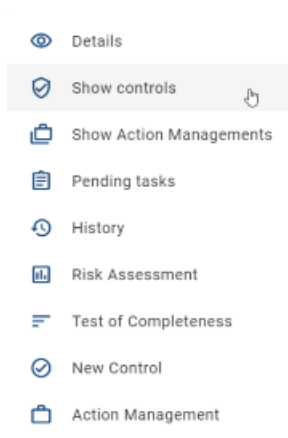
Active risks will be displayed with the  icon or with no icon at all to their left.

- **Obsolete:** By selecting this value, you will visualize only those risks which have been rated as Obsolete. A risk can be rated as obsolete during the *Risk Assessment* process or through the connector. In detail, when a diagram gets depublished, all risks of this diagram will be obsolete. The same goes for a risk that is removed from a diagram.

Obsolete risks will be displayed with the  icon to their left and it is not possible to start new processes for them.

5.2.2 How can I know if a risk has associated controls?

Inside the context menu button , you can access *Show controls*.






By clicking on it, you can access a list of all controls associated with each risk.

Control Catalogue for Risk Fraudulent disbursement 1

TABLE

DASHBOARD

Last Change	Name	Execution	Rhythm	Effect	Responsible	
	9/13/22	Plausibility check	Partly Automated Control	Weekly	Preventive	 

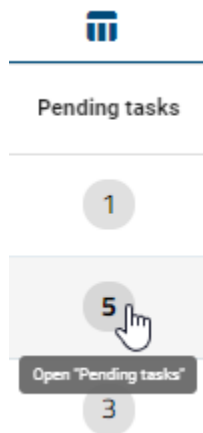
Items per page 10 1 - 1 / 1

Note: A risk can be associated with multiple controls. Each linked *control* can be assigned to a different user responsible.

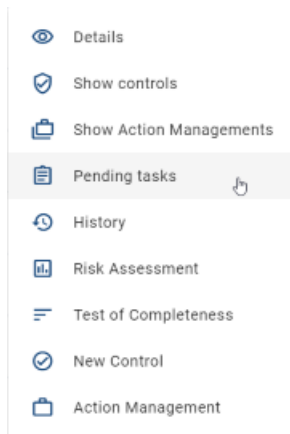
5.2.3 How can I access the pending tasks for a given risk?

There are two ways to access the list of pending tasks for a given risk:

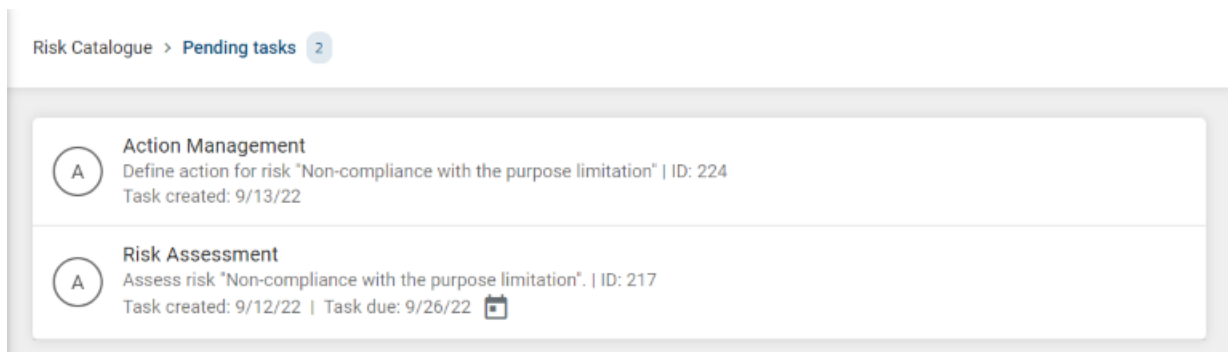
- Clicking on the numerical chips.



- Using the context menu option *Pending tasks*.




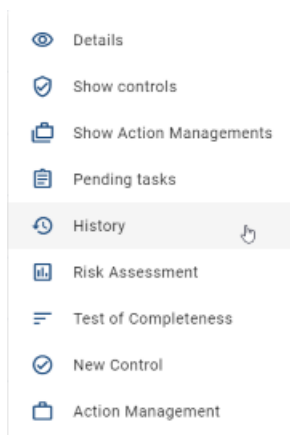
As a result, you will see the list of pending tasks.



Note: Inside this section you must take into account the different user role restrictions, and also that **Done** tasks will not be shown as part of the list.

5.2.4 How can I access the History of a risk?

You can access the *History* inside the context menu button .



You can track back every entry in the history of a risk and find information related to previous assessments performed.



Risk Catalogue > History 2

Last Change	Name	Description	Category	Context	Responsible	Probability
9/13/22, 12:34 PM	Non-compliance with the purpose limit...			Other	A	●
9/12/22, 1:51 PM	Non-compliance with the purpose limita...			Other	A	●

Items per page 10 1 - 2 / 2 < >

5.2.5 How can I export a risk to a PDF file?


To export a risk to a PDF file, follow these steps:

1. Open the details view of the risk (by clicking on the entry or using the context menu).
2. On the right side of the details view, you will find a button . This button provides access to the *Options* side menu.
3. Click *Export PDF*  *Export PDF* to download the PDF file.
4. Once the download is complete, open the file to visualize its content.

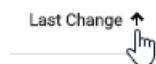
The PDF includes all the information present in the details view. If a process was involved to create this version of the risk, then the PDF file also contains the audit trail of that process.

Note: In order to create PDF files of historical versions, switch to the *History* view of the risk. Then open the details of the desired version and follow Steps 2 to 4.

5.2.6 How can I sort entries in the Table view?

You have the option to sort catalogue entries by column headers. When holding the mouse pointer over a specific column header, if the column is sortable, a clickable icon with the shape of an arrow appears .

By clicking on the arrow, the selected column is sorted. Depending on the data type, columns can be sorted alphabetically (A to Z) or by date (oldest/earliest dates).



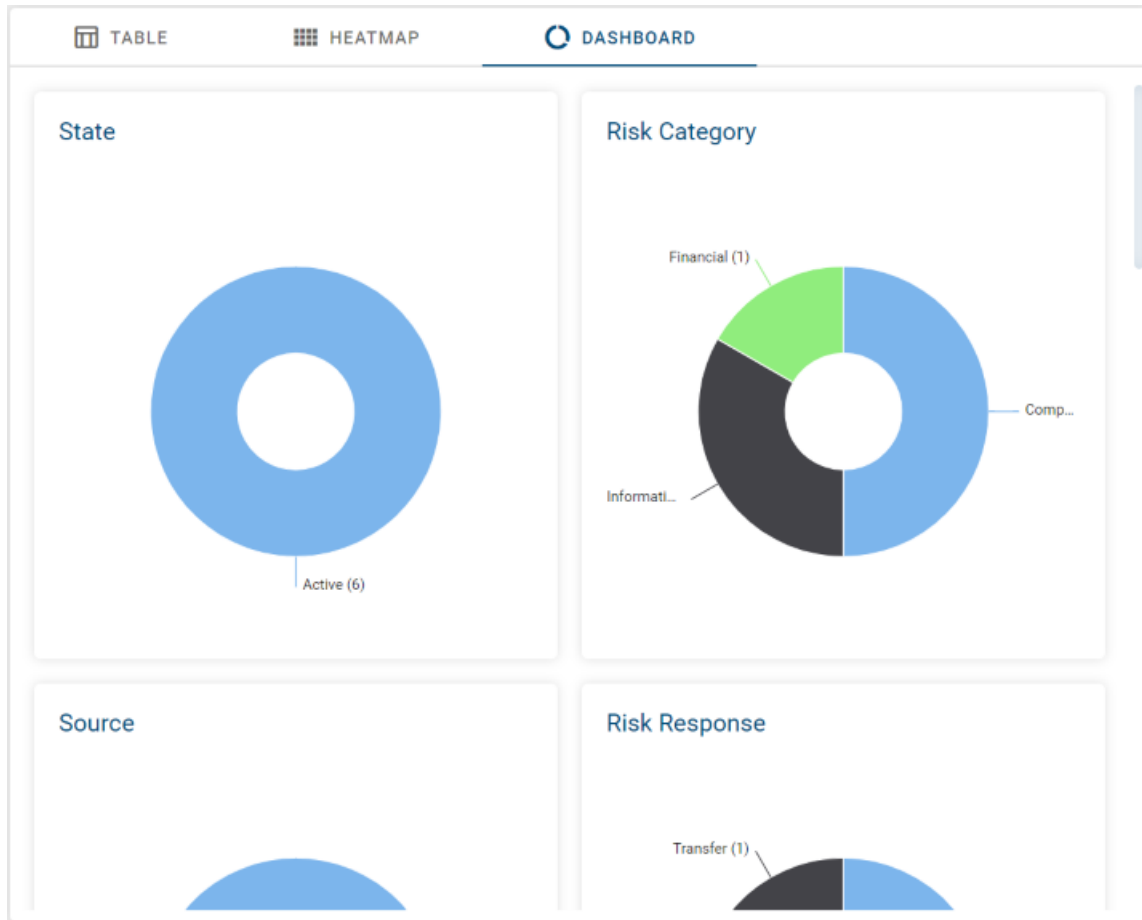
The sorting order can be inverted by clicking again on the arrow.



The direction of the arrow points upwards or downwards in relation to the current sorting order. The last selected column is marked with a static arrow.

5.3 Dashboard view

The *Dashboard* view offers a chart for each facet that is available and shown as a multi-value selection facet.



5.3.1 How are the charts sorted inside the Dashboard view?

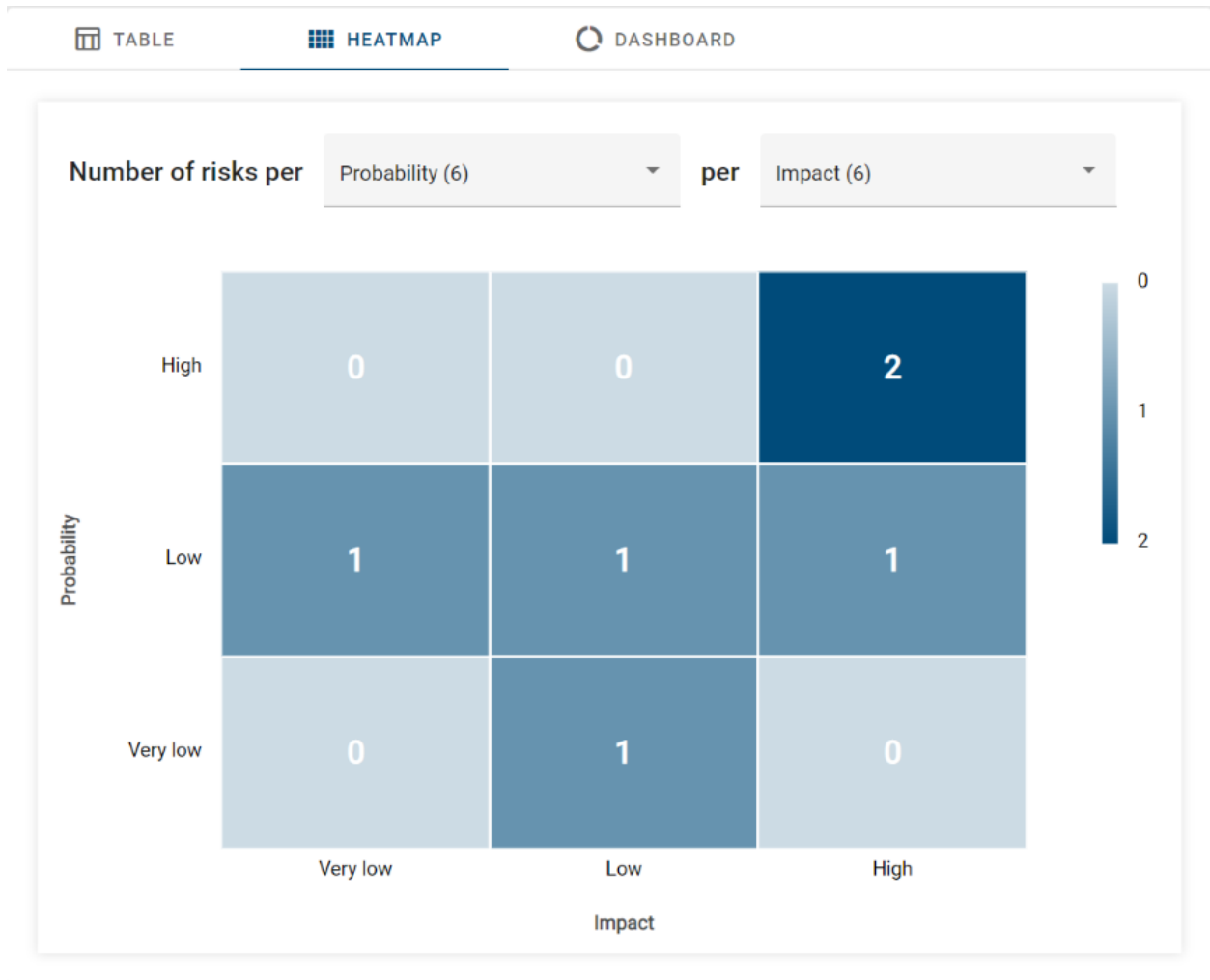
The charts are sorted following the same order as the facets available in the *Filter* menu.

5.3.2 Based on which data the charts are calculated?

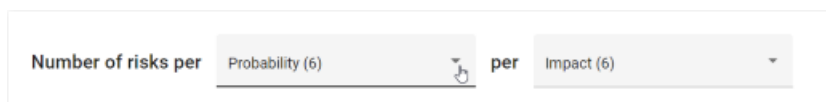
The data is based on the risks that you can see according to your *role* and on the active *filter* facets.

5.4 Heatmap

The *Heatmap* shows you an analysis of risks based on two different risk properties. Initially the distribution of risks regarding “Probability” and “Impact” is shown.



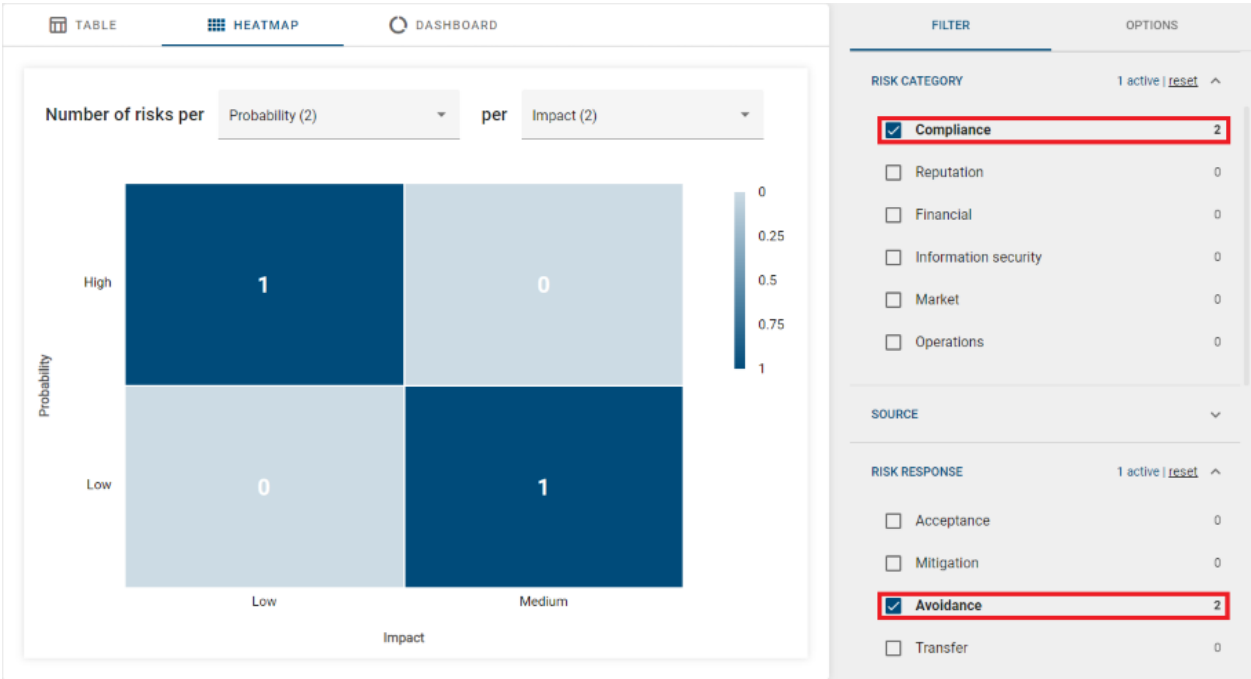
Further analysis of your risks can be performed by modifying the axes of the *Heatmap*.



The available entries for each axis are facets based on drop-down fields (e.g. *Risk Rating* and *Risk Response*).

- Risk Rating
- Impact
- Probability
- Interval for Risk Assessment
- Result of Test of Completeness
- Interval for Test of Completeness

You also have the option to explore in-depth details using the drill down function.



You can drill down by clicking on a given cell of the *Heatmap*, which will redirect you to the *Table* view just showing risks that belong to the chosen cell. To achieve that, the corresponding filter values that represent the cell are activated in the *Filter* option.

TABLE							HEATMAP		DASHBOARD	
Last Change	Name	Description	Category	Context	Respons					
6/8/22	GEN_RISK_7	DATA GENERATOR DESCRIPTION	Reputation	IT						
Items per page: 10							1 - 1 / 1			

FILTER		OPTIONS	
RISK CATEGORY		1 active reset ^	
<input type="checkbox"/>	Compliance	0	
<input checked="" type="checkbox"/>	Reputation	1	
<input type="checkbox"/>	Financial	0	
<input type="checkbox"/>	Information security	0	
<input type="checkbox"/>	Market	0	
<input type="checkbox"/>	Operations	0	
SOURCE			
RISK RESPONSE		1 active reset ^	
<input type="checkbox"/>	Acceptance	0	
<input type="checkbox"/>	Mitigation	0	
<input checked="" type="checkbox"/>	Avoidance	1	
<input type="checkbox"/>	Transfer	0	

Once you have made the drill down, using the browser back button you can navigate back to your previous *Heatmap* view.

5.4.1 Based on which data the Heatmap is calculated?

The *Heatmap* takes into account all risks in the *Risk Catalogue* that are available for a given user based on his *role* and on the active *filter* facets.

5.4.2 What is the sort order for each axis?

The legend is sorted in the same logical order as it is shown inside the forms (e.g. Very Low, Low, Medium, High for the risk property *Impact*).

The x-axis is sorted from left to right and the y-axis is sorted from bottom to top. As a result of this, the upper right corner of the *Heatmap* represents the highest value and the lower left corner represents the lowest value in the meaning of sorting the axes.

5.4.3 How filtering affects the Heatmap?

When you select values in the *Filter* facets, the *Heatmap* will only consider those risks that match the selected filtering criteria.

If an active *Filter* facet is used as an axis in the *Heatmap*, only the selected facet values are shown inside the axis.

5.5 Filter

5.5.1 How can I filter catalogue entries?

If you enter the *Risk Catalogue*, you will find the *Filter* menu on the right side. The *Filter* shows you a list of facets based on your catalogue entries.

FILTER	OPTIONS
NAME	▼
STATE	▼
RISK CATEGORY	▼
SOURCE	▼
RISK RESPONSE	▼
RISK RATING	▼

Facets can be expanded or collapsed by clicking on them. Among the different filtering options, you can find multi-selection pickers, date pickers and numerical values.

- **Multi-selection pickers:**

Multi-selection pickers are shown in two different ways, depending on their number of facet values:

- simple multi-selection facet
- quick-filter multi-selection facet

If the facet contains more than 15 entries it will be rendered as quick-filter multi-selection facet.

Simple multi-selection facet

When you open a simple multi-selection facet, you can see the total number of how many risks match each filter value.

Filter values are sorted in descending order from the highest number of matching hits to the lowest. If two or more filter values happen to have the same number of hits, then filters are alphabetically sorted in ascending order.

Filter	Options
RISK CATEGORY	
<input type="checkbox"/> Compliance	2
<input type="checkbox"/> Financial	2
<input type="checkbox"/> Information security	2
<input type="checkbox"/> Operations	2

When you select a facet value, the shown number of matching hits for each facet value and the *Risk Catalogue* view are updated accordingly.

FILTER	OPTIONS
RISK CATEGORY	2 active reset ^
<input checked="" type="checkbox"/> Compliance	2
<input type="checkbox"/> Reputation	0
<input checked="" type="checkbox"/> Financial	2
<input type="checkbox"/> Information security	0
<input type="checkbox"/> Market	0
<input type="checkbox"/> Operations	0
SOURCE	1 active reset ^
<input type="checkbox"/> Other	0
<input checked="" type="checkbox"/> IT	4

Multiple selections can be undone by clicking again on the selected facet values or by using the **remove** option.

Each facet header indicates the number of active facet values that are used to filter the *Risk Catalogue*. For example, [2 active](#) for *RISK CATEGORY*.

Quick-filter multi-selection facet

In difference to the simple multi-selection facet, the quick-filter variant is intended to manage a long list of facet values. In order to achieve that, the facet contains of two components:

1. An input field, that allows to quick-filter the list of facet values
2. A rectangle with a fixed height that contains a scrollable list of the facet values.

The screenshot shows a web interface with two tabs: 'FILTER' and 'OPTIONS'. The 'FILTER' tab is active. Below the tabs, there is a 'NAME' facet. To the right of 'NAME' is a link labeled 'select all' with an upward arrow icon. Below this is a search bar with the placeholder text 'Restrict selection by entering a term'. Below the search bar is a list of risks, each with a checkbox, a label, and a count. The risks are:

Checkbox	Risk Label	Count
<input type="checkbox"/>	r1.1.1 risk 1	1
<input type="checkbox"/>	r1.1.2 risk 2	1
<input type="checkbox"/>	r1.2.1 risk 3	1
<input type="checkbox"/>	r1.2.2 risk 4	1
<input type="checkbox"/>	r2.1.1 risk 5	1
<input type="checkbox"/>	r2.1.2 risk 6	1
<input type="checkbox"/>	r2.1.3 risk 7	1
<input type="checkbox"/>	r2.1.4 risk 8	1
<input type="checkbox"/>	r2.2.1 risk 9	1
<input type="checkbox"/>	r2.2.2 risk 10	1

The basic behavior of the list of facet values is the same like for the simple representation. In addition the quick-filter variant offers a *select all* option, which will select all currently visible entries. For example now you can easily use an hierarchical prefix of your risks name in the *Name* facet, in order to quickfilter for a subset of the risks and can easily select all of them in one click.

By selecting a value it is positioned at the top of the list and the number of hits displayed in the *Risk Catalogue* view is updated accordingly.

NAME	Count
<input checked="" type="checkbox"/> gen_risk_1	1
<input checked="" type="checkbox"/> gen_risk_2	1
<input type="checkbox"/> gen_risk_10	0
<input type="checkbox"/> gen_risk_3	0
<input type="checkbox"/> gen_risk_4	0
<input type="checkbox"/> gen_risk_5	0
<input type="checkbox"/> gen_risk_6	0
<input type="checkbox"/> gen_risk_7	0
<input type="checkbox"/> gen_risk_8	0
<input type="checkbox"/> gen_risk_9	0

• **Date pickers. You have the option to filter by:**

- All values, that are after or equal to a given *Start date*
- All values, that are before or equal to a given *End date*
- All values, that are after or equal to a given *Start date* and before or equal to a given *End date*

NEXT RISK ASSESSMENT

Start date: 9/1/2020

End date: 9/30/2020

• **Numerical values. You can filter by:**

- All values, that are higher than or equal to the *Min value*
- All values, that are lower than or equal to the *Max value*
- All values, that are higher than or equal to the *Min value* and lower than or equal to the *Max value*



IMPACT (EUR)

Min value

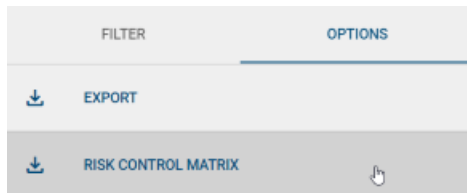
Max value

10000

5.6 Options

5.6.1 How can I export risks from the Risk Catalogue?

On the right side of the catalogue there is a menu bar with two available *Options*, both in downloadable .XLSX format.



FILTER OPTIONS

EXPORT

RISK CONTROL MATRIX

By clicking on *EXPORT* you download the complete *Risk Catalogue*, and by selecting *RISK CONTROL MATRIX* you download a matrix where you can check the controls in place for each recorded risk.

6.1 Overview

Considering the different *user roles*, in the *Control Catalogue* you can find:

- *Table view* of the controls you have access to and the essential information for each one.
- *Dashboard view* of your controls for each facet that is available.

The different views available offer you different perspectives for further analysis of your controls.

You also have the option to *export* the controls that are visible to you in the *Control Catalogue*.

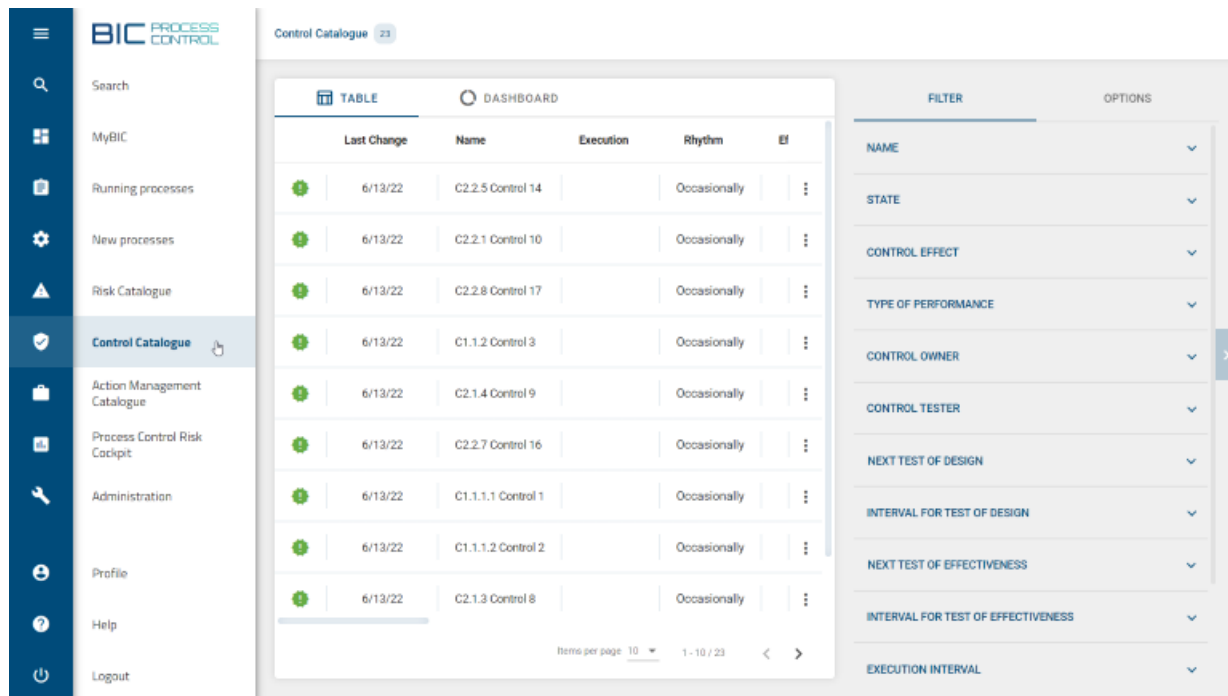
6.1.1 How the role of a user changes the controls I can see?

The *Control Catalogue* shows you controls based on your assigned role.

As a	You can see controls
<ul style="list-style-type: none"> <i>PARTICIPANT</i> 	<ul style="list-style-type: none"> When you are assigned as <i>Control Owner</i>. When you are assigned as <i>Control Tester</i>. When you are assigned as <i>Execution of Control</i>. When a control is assigned to a user group as <i>Control Owner</i>, <i>Control Tester</i> or <i>Execution of Control</i> which you belong to. When in an associated risk you are assigned as <i>Risk Owner</i> or <i>Risk Category Responsible</i>. When in an associated risk a user group which you belong to is assigned as <i>Risk Owner</i> or <i>Risk Category Responsible</i>.
<ul style="list-style-type: none"> <i>ANALYST</i> <i>SUPERVISOR</i> <i>ADMINISTRATOR</i> 	<ul style="list-style-type: none"> All controls

6.1.2 How can I access the Control Catalogue?

Click on *Control Catalogue* inside the *Side Navigation Bar*.



6.2 Table view


The *Table* shows you an overview of the recorded controls you have access to and the essential information for each one.

Control Catalogue 8









TABLE		DASHBOARD		FILTER		OPTIONS	
Last Change	Name	Execution	Rhythm	Effect	Responsible	Associated Risk	
9/14/22	C2.2.8 Control 17	Manual Control	Monthly	Preventive	(A)	R2.2.7 Risk 15	⋮
9/14/22	C2.2.7 Control 16	Manual Control	Daily	Preventive	(A)	R2.2.8 Risk 16	⋮
9/14/22	C2.2.5 Control 14	Partly Automated Control	Daily	Preventive	(A)	R2.2.5 Risk 13	⋮
9/14/22	C2.2.1 Control 10	Partly Automated Control	Weekly	Preventive	(A)	R2.2.7 Risk 15	⋮
9/14/22	C2.1.4 Control 9	Partly Automated Control	Monthly	Detective	(A)	R2.2.1 Risk 9	⋮
9/14/22	C2.1.3 Control 8	Partly Automated Control	Weekly	Preventive	(A)	R2.1.4 Risk 8	⋮
9/14/22	C1.1.2 Control 3	Partly Automated Control	Weekly	Preventive	(A)	R1.1.2 Risk 2	⋮
9/14/22	C1.1.1.2 Control 2	Partly Automated Control	Daily	Preventive	(A)	R1.1.1 Risk 1	⋮

Items per page: 10 1 - 8 / 8

FILTER: NAME, STATE, CONTROL EFFECT, TYPE OF PERFORMANCE, CONTROL OWNER, CONTROL TESTER, EXECUTION INTERVAL, LAST CHANGE

If a control is not approved yet, you will see a green exclamation mark  on the left side: this means *Test of Design* is still pending.

From the context menu of each control (three dots on the right side ) you are able to:

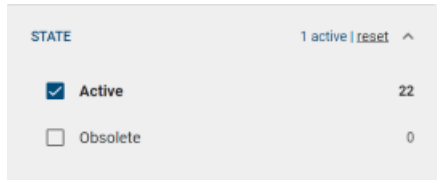
	Details
	Show Action Managements
	Pending tasks
	History
	Test of Design
	Test of Effectiveness of Contr...
	Performance of Controls
	Action Management

- See the full control *Details*.
- See the *Action Managements* of a given control.
- See the *Pending tasks* of a given control.
- See previous information and reviews of a control in the *History* section, and trackback every entry in the history of the corresponding process.
- Start the following processes *Test of Design*, *Test of Effectiveness of Controls*, *Performance of Controls* and *Action Management* for a control.

On the right side of the catalogue, there is a menu bar with an option that allows you to *Export* the complete *Control Catalogue* that is visible to you.

6.2.1 How can I distinguish if a control is active or obsolete?

You can easily do this by using the “STATE” option, available on top of the *Filter* menu (right side of the screen).




This option has two possible values that can be selected:

- **Active:** By selecting this value, you will visualize only those controls which are currently active. Therefore you can start new processes related to these controls.

Active controls will be displayed with the  icon or with no icon at all to their left.

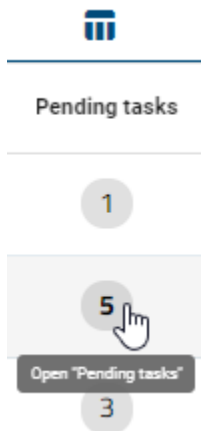
- **Obsolete:** By selecting this value, you will visualize only those controls which have been rated as Obsolete. A control can be rated as obsolete during the *Test of Design* process or through the connector. In detail, when a diagram gets depublished, all controls of this diagram will be obsolete. The same goes for a control that is removed from a diagram.

Obsolete controls will be displayed with the  icon to their left and it is not possible to start new processes for them.

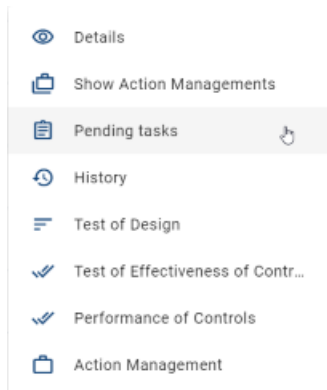
6.2.2 How can I access the pending tasks for a given control?

There are two ways to access the list of pending tasks for a given control:

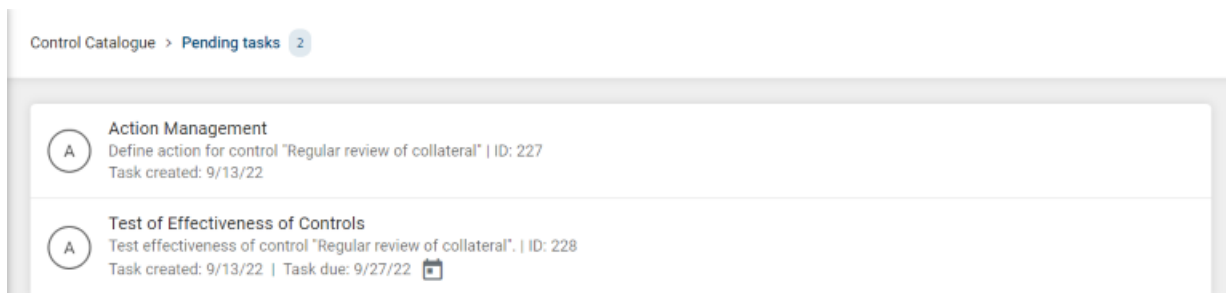
- Clicking on the numerical chips.



- Using the context menu option *Pending tasks*.



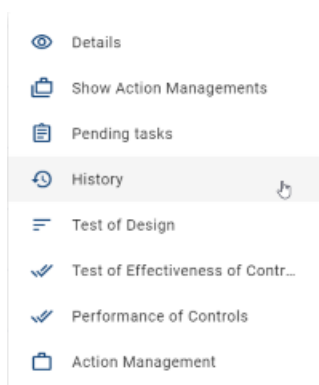
As a result, you will see the list of pending tasks.



Note: Inside this section you must take into account the different user role restrictions, and also that **Done** tasks will not be shown as part of the list.

6.2.3 How can I access the History of a control?

You can access the *History* of a control inside the context menu button .





Control Catalogue > History 2

Last Change	Name	Execution	Rhythm	Effect	Responsible	Associated
9/13/22, 12:38 PM	Regular review of collateral	Partly Automated Control	Weekly	Preventive	A	Incorrect C ↻
9/13/22, 12:37 PM	Regular review of collateral	Partly Automated Control	Weekly	Preventive	A	Incorrect C ↻

Items per page 10 1 - 2 / 2 < >

6.2.4 How can I export a control to a PDF file?


To export a control to a PDF file, follow these steps:

1. Open the details view of the control (by clicking on the entry or using the context menu).
2. On the right side of the details view, you will find a button . This button provides access to the *Options* side menu.
3. Click *Export PDF*  *Export PDF* to download the PDF file.
4. Once the download is complete, open the file to visualize its content.

The PDF includes all the information present in the details view. If a process was involved to create this version of the control, then the PDF file also contains the audit trail of that process.

Note: In order to create PDF files of historical versions, switch to the *History* view of the control. Then open the details of the desired version and follow Steps 2 to 4.

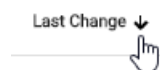
6.2.5 How can I sort entries in the Control Catalogue?

You have the option to sort catalogue entries by column headers. When holding the mouse pointer over a specific column header, if the column is sortable, a clickable icon with the shape of an arrow appears .

By clicking on the arrow, the selected column is sorted. Depending on the data type, columns can be sorted alphabetically (A to Z) or by date (oldest/earliest dates).



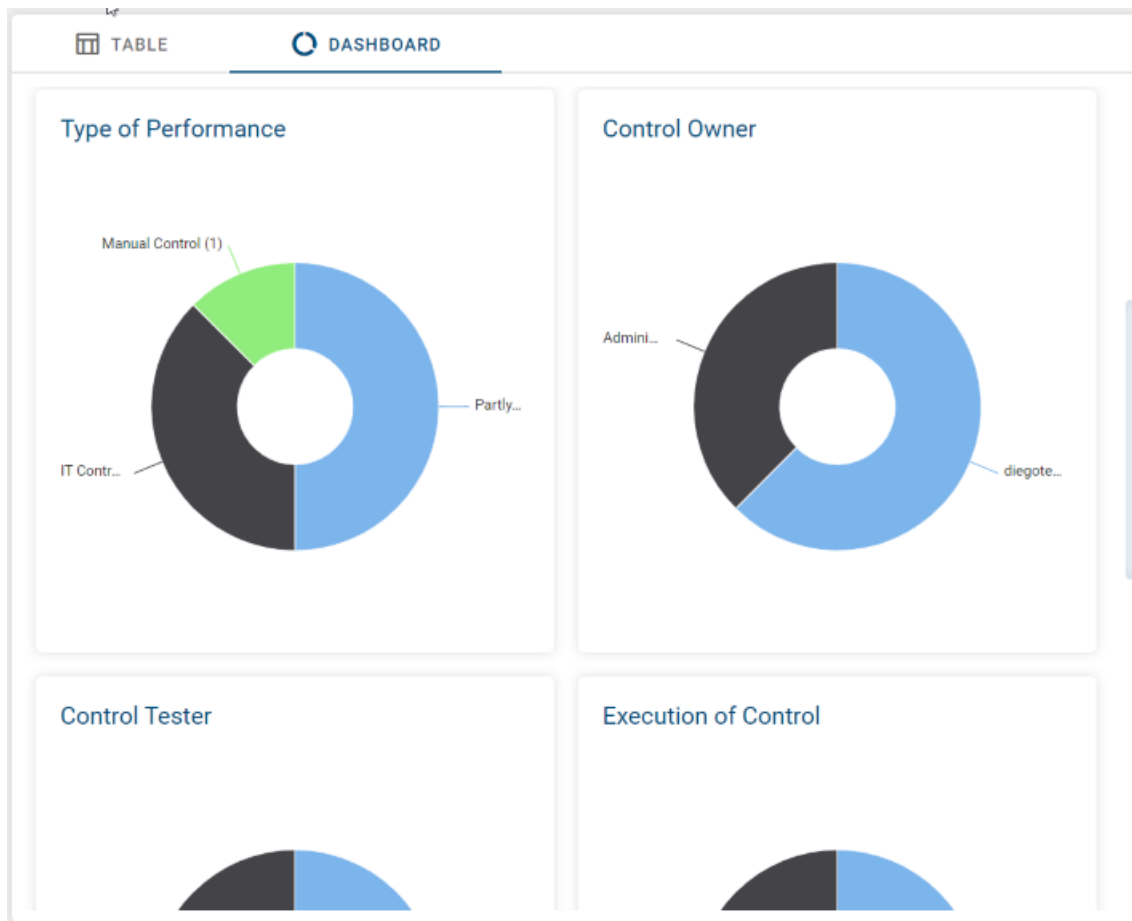
The sorting order can be inverted by clicking again on the arrow.



The direction of the arrow points upwards or downwards in relation to the current sorting order. The last selected column is marked with a static arrow.

6.3 Dashboard view

The *Dashboard* view offers a chart for each facet that is available and shown as a multi-value selection facet.



6.3.1 How are the charts sorted inside the Dashboard view?

The charts are sorted following the same order as the facets available in the *Filter* menu.

6.3.2 Based on which data the charts are calculated?

The data is based on the controls that you can see according to your *role* and on the active *filter* facets.

6.4 Filter

6.4.1 How can I filter catalogue entries?

If you enter the *Control Catalogue* view, you will find the *Filter* menu on the right side. The *Filter* shows you a list of facets based on your catalogue entries.

FILTER	OPTIONS
NAME	▼
STATE	▼
CONTROL EFFECT	▼
TYPE OF PERFORMANCE	▼
CONTROL OWNER	▼
CONTROL TESTER	▼

Facets can be expanded or collapsed by clicking on them. Among the different filtering options, you can find multi-value pickers and date pickers.

Multi-selection pickers are shown in two different ways, depending on their number of facet values:


- simple multi-selection facet
- quick-filter multi-selection facet

If the facet contains more than 15 entries it will be rendered as quick-filter multi-selection facet.

Simple multi-selection facet

When you open a simple multi-selection facet, you can see the total number of how many controls match each filter value.

Filter values are sorted in descending order from the highest number of matching hits to the lowest. If two or more filter values happen to have the same number of hits, then filters are alphabetically sorted in ascending order.

Filter	Options
CONTROL EFFECT	
<input type="checkbox"/> Preventive	3
<input type="checkbox"/> Detective	2

When you select a facet value, the shown number of matching hits for each facet value and the *Control Catalogue* view are updated accordingly.

FILTER	OPTIONS
CONTROL EFFECT	
2 active reset ^	
<input checked="" type="checkbox"/> Detective	5
<input checked="" type="checkbox"/> Preventive	0
TYPE OF PERFORMANCE	
1 active reset ^	
<input type="checkbox"/> Partly Automated Control	0
<input type="checkbox"/> IT Control (automated)	0
<input checked="" type="checkbox"/> Manual Control	5

Multiple selections can be undone by clicking again on the selected facet values or by using the **remove** option.

Each facet header indicates the number of active facet values that are used to filter the *Control Catalogue*. For example, [2 active](#) for *CONTROL EFFECT*.

Quick-filter multi-selection facet

In difference to the simple multi-selection facet, the quick-filter variant is intended to manage a long list of facet values. In order to achieve that, the facet contains of two components:

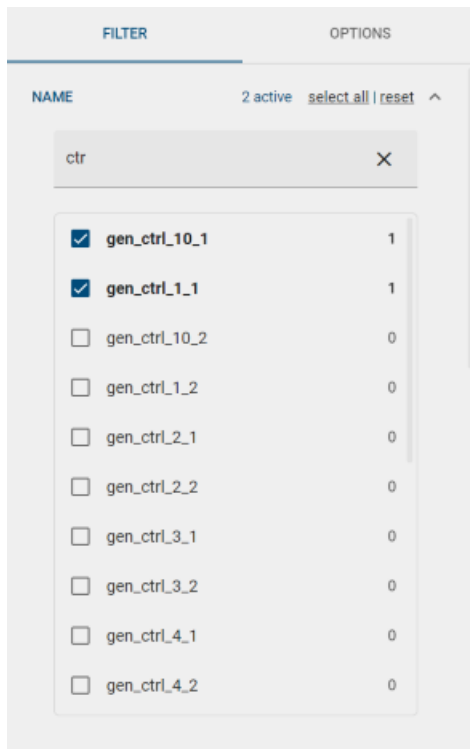
1. An input field, that allows to quick-filter the list of facet values
2. A rectangle with a fixed height that contains a scrollable list of the facet values.

FILTER	OPTIONS
NAME	
select all ^	
Restrict selection by entering a term	
<input type="checkbox"/> c1 10-06	1
<input type="checkbox"/> c1.1.1.1 control 1	1
<input type="checkbox"/> c1.1.1.2 control 2	1
<input type="checkbox"/> c1.1.2 control 3	1
<input type="checkbox"/> c1.2.1 control 4	1
<input type="checkbox"/> c1.2.2 control 5	1
<input type="checkbox"/> c2 10-06	1
<input type="checkbox"/> c2.1.1 control 6	1
<input type="checkbox"/> c2.1.2 control 7	1
<input type="checkbox"/> c2.1.3 control 8	1

The basic behavior of the list of facet values is the same like for the simple representation. In addition the quick-filter variant offers a *select all* option, which will select all currently visible entries. For example now you can easily use

an hierarchical prefix of your controls name in the *Name* facet, in order to quickfilter for a subset of the controls and easily select all of them in one click.

By selecting a value it is positioned at the top of the list and the number of hits displayed in the *Control Catalogue* view is updated accordingly.



- **Date pickers. You have the option to filter by:**

- All values, that are after or equal to a given *Start date*
- All values, that are before or equal to a given *End date*
- All values, that are after or equal to a given *Start date* and before or equal to a given *End date*



6.5 Options

6.5.1 How can I export controls from the Control Catalogue?

On the right side of the catalogue there is the *Options* menu bar that offers an export option, creating a downloadable .XLSX file format.

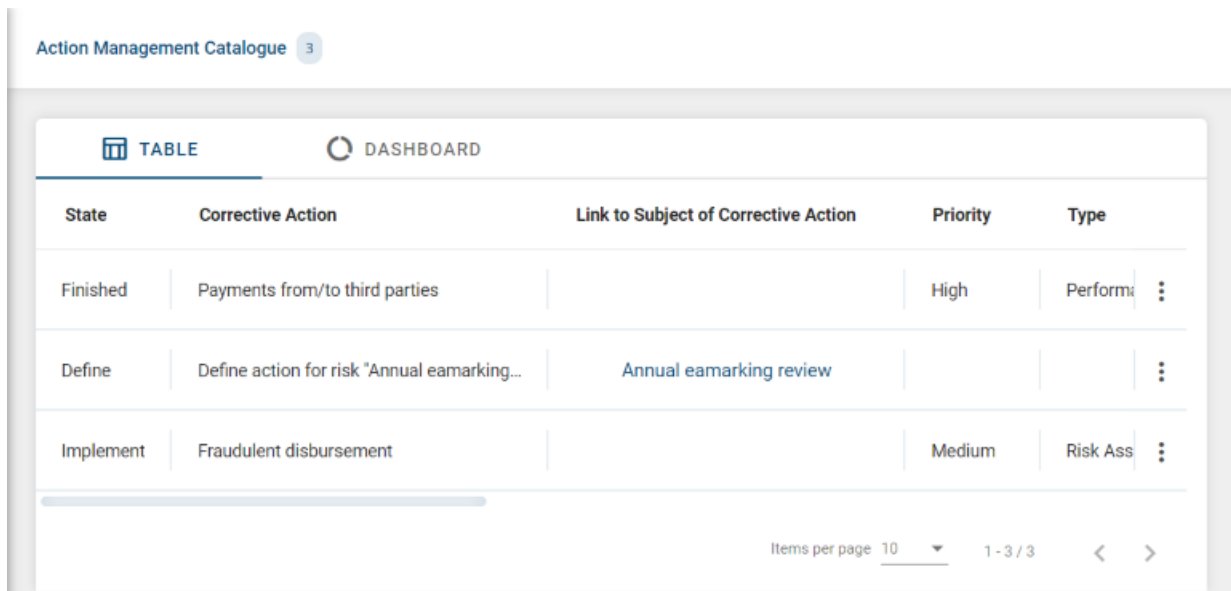


By clicking on *EXPORT* you download the complete *Control Catalogue* of all controls that are visible to you.

Action Management Catalogue

7.1 Overview


The *Action Management Catalogue* shows you a list of all active or finished *Action Managements*.



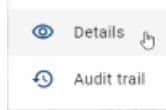
The screenshot displays the 'Action Management Catalogue' interface. At the top, there is a header with the title 'Action Management Catalogue' and a notification badge with the number '3'. Below the header, there are two tabs: 'TABLE' (selected) and 'DASHBOARD'. The main content area is a table with the following columns: 'State', 'Corrective Action', 'Link to Subject of Corrective Action', 'Priority', and 'Type'. The table contains three rows of data. The first row has 'Finished' as the state, 'Payments from/to third parties' as the corrective action, an empty link field, 'High' as the priority, and 'Perform' as the type. The second row has 'Define' as the state, 'Define action for risk "Annual earmarking...' as the corrective action, 'Annual earmarking review' as the link, an empty priority field, and an empty type field. The third row has 'Implement' as the state, 'Fraudulent disbursement' as the corrective action, an empty link field, 'Medium' as the priority, and 'Risk Ass' as the type. Each row has a vertical ellipsis icon to its right. At the bottom of the table, there is a pagination bar showing 'Items per page 10', '1 - 3 / 3', and navigation arrows.

State	Corrective Action	Link to Subject of Corrective Action	Priority	Type
Finished	Payments from/to third parties		High	Perform
Define	Define action for risk "Annual earmarking...	Annual earmarking review		
Implement	Fraudulent disbursement		Medium	Risk Ass

Each catalogue entry represents an *Action Management* process instance.

From the context menu  of each catalogue entry, you are able to:

- See the full *Details*.
- Access to the *Audit Trail*.

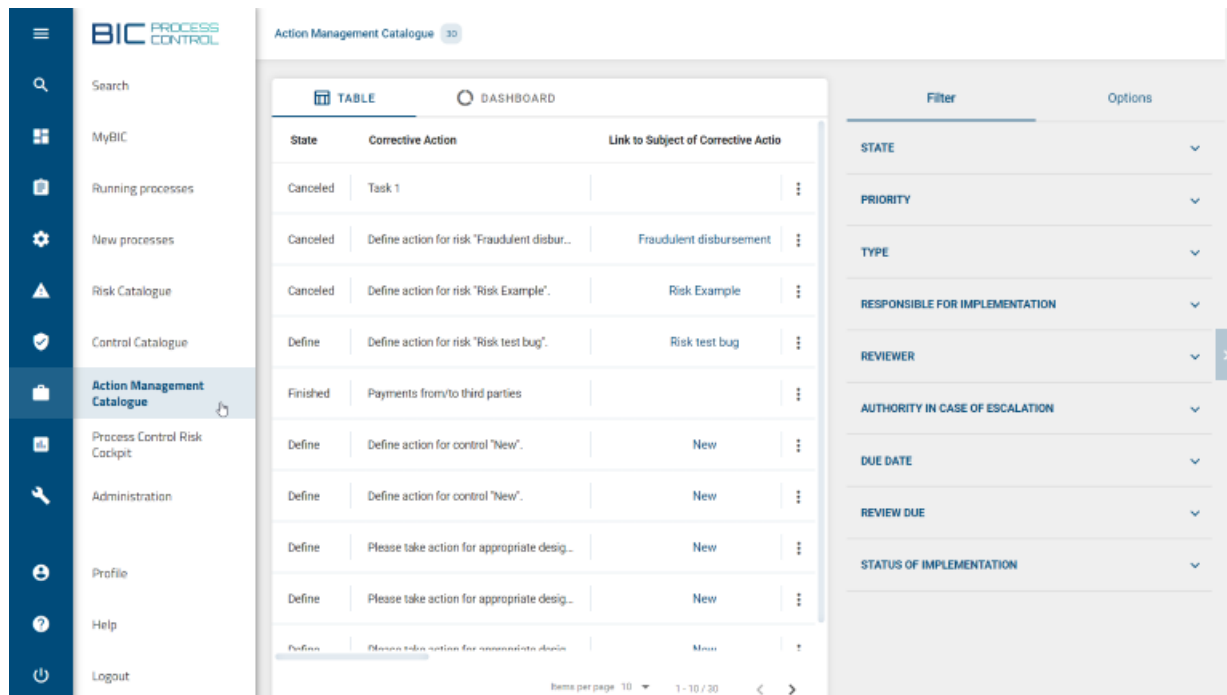


The *Dashboard* view offers a chart for each facet that is available and shown as a multi-value selection facet.



7.2 How can I access the Action Management Catalogue?

Click on *Action Management Catalogue* inside the *Side Navigation Bar*.



7.3 How the role of a user changes the Action Managements I can see?

The *Action Management Catalogue* shows you entries based on your assigned role.

As a	You can see
<ul style="list-style-type: none"> <i>PARTICIPANT</i> 	<ul style="list-style-type: none"> Actions in which you are involved Actions performed in the context of risks/controls you are assigned to as a user or user group
<ul style="list-style-type: none"> <i>SUPERVISOR</i> <i>ANALYST</i> <i>ADMINISTRATOR</i> 	<ul style="list-style-type: none"> All Actions

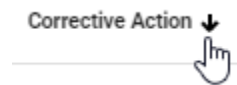
7.4 How can I sort entries in the Action Management Catalogue?

You have the option to sort catalogue entries by column headers. When holding the mouse pointer over a specific column header, if the column is sortable, a clickable icon with the shape of an arrow ↑ appears.

By clicking on the arrow, the selected column is sorted. Depending on the data type, columns can be sorted alphabetically (A to Z) or by date (oldest/earliest dates).



The sorting order can be inverted by clicking again on the arrow.



The direction of the arrow points upwards or downwards in relation to the current sorting order. The last selected column is marked with a static arrow.

7.5 How are the charts sorted inside the Dashboard view?

The charts are sorted following the same order as the facets available in the *Filter* menu.

7.6 Based on which data the charts are calculated?

The data is based on Action Managements that you can see according to your *role* and on the active filter facets.

7.7 How can I filter catalogue entries?

If you enter the *Action Management Catalogue*, you will find the *Filter* menu on the right side. The *Filter* shows you a list of facets based on your catalogue entries.

FILTER	OPTIONS
STATE	▼
CORRECTIVE ACTION	▼
PRIORITY	▼
TYPE	▼
RESPONSIBLE FOR IMPLEMENTATION	▼
REVIEWER	▼

Facets can be expanded or collapsed by clicking on them. Among the different filtering options, you can find multi-selection pickers and date pickers.

- **Multi-selection pickers:**

Multi-selection pickers are shown in two different ways, depending on their number of facet values:

- simple multi-selection facet
- quick-filter multi-selection facet

If the facet contains more than 15 entries it will be rendered as quick-filter multi-selection facet.

Simple multi-selection facet

When you open a simple multi-selection facet, you can see the total number of how many catalogue entries match each filter value.

Filter values are sorted in descending order from the highest number of matching hits to the lowest. If two or more filter values happen to have the same number of hits, then filters are alphabetically sorted in ascending order.

Filter	
STATE	
<input type="checkbox"/> Finished	2
<input type="checkbox"/> Implement	2
<input type="checkbox"/> Canceled	1
<input type="checkbox"/> Review	1

When you select a facet value, the shown number of matching hits for each facet value and the *Action Management Catalogue* view are updated accordingly.

FILTER	OPTIONS
STATE	2 active reset ^
<input checked="" type="checkbox"/> Define	0
<input checked="" type="checkbox"/> Handle escalation	1
<input type="checkbox"/> Canceled	0
PRIORITY	1 active reset ^
<input checked="" type="checkbox"/> High	1
<input type="checkbox"/> Medium	0

Multiple selections can be undone by clicking again on the selected facet values or by using the **remove** option.

Each facet header indicates the number of active facet values that are used to filter the *Action Management Catalogue*. For example, **2 active** for *RESPONSIBLE FOR IMPLEMENTATION*.

Quick-filter multi-selection facet

In difference to the simple multi-selection facet, the quick-filter variant is intended to manage a long list of facet values. In order to achieve that, the facet contains of two components:

1. An input field, that allows to quick-filter the list of facet values
2. A rectangle with a fixed height that contain a scrollable list of the facet values.

The screenshot shows the 'FILTER' tab in the BIC Process Control interface. Under the 'RESPONSIBLE FOR IMPLEMENTATION' filter, there is a 'select all' link and a search box labeled 'Restrict selection by entering a term'. Below this is a list of users with checkboxes and hit counts:

User	Count
<input type="checkbox"/> admin-grc	19
<input type="checkbox"/> USER10	2
<input type="checkbox"/> USER1	1
<input type="checkbox"/> USER12	1
<input type="checkbox"/> USER13	1
<input type="checkbox"/> USER14	1
<input type="checkbox"/> USER15	1
<input type="checkbox"/> USER16	1
<input type="checkbox"/> USER2	1
<input type="checkbox"/> USER3	1

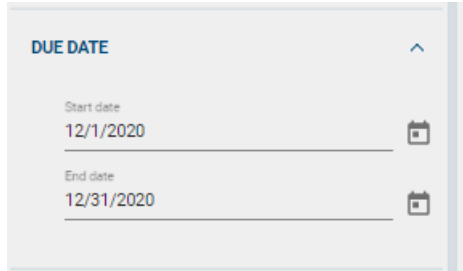
The basic behavior of the list of facet values is the same like for the simple representation. In addition the quick-filter variant offers a *select all* option, which will select all currently visible entries.

By selecting a value it is positioned at the top of the list and the number of hits displayed in the *Action Management Catalogue* view is updated accordingly.

The screenshot shows the 'FILTER' tab in the BIC Process Control interface. Under the 'RESPONSIBLE FOR IMPLEMENTATION' filter, there is a '2 active' status, a 'select all' link, and a 'reset' link. Below this is a search box labeled 'Restrict selection by entering a term'. Below this is a list of users with checkboxes and hit counts:

User	Count
<input checked="" type="checkbox"/> User10	1
<input checked="" type="checkbox"/> User12	1
<input type="checkbox"/> admin-grc	0
<input type="checkbox"/> USER1	0
<input type="checkbox"/> User11	0
<input type="checkbox"/> User13	0
<input type="checkbox"/> User14	0
<input type="checkbox"/> User15	0
<input type="checkbox"/> User2	0
<input type="checkbox"/> User3	0

- **Date pickers. You have the option to filter by:**
 - All values, that are after or equal to a given *Start date*
 - All values, that are before or equal to a given *End date*
 - All values, that are after or equal to a given *Start date* and before or equal to a given *End date*



The screenshot shows a filter panel titled "DUE DATE" with an upward arrow icon. It contains two date picker fields. The first field is labeled "Start date" and has the value "12/1/2020" entered, with a calendar icon to its right. The second field is labeled "End date" and has the value "12/31/2020" entered, also with a calendar icon to its right.

7.8 How can I export case documents from the Action Management Catalogue?

On the right side of the catalogue there is the *Options* menu bar that offers an export option, creating a downloadable .XLSX file format.

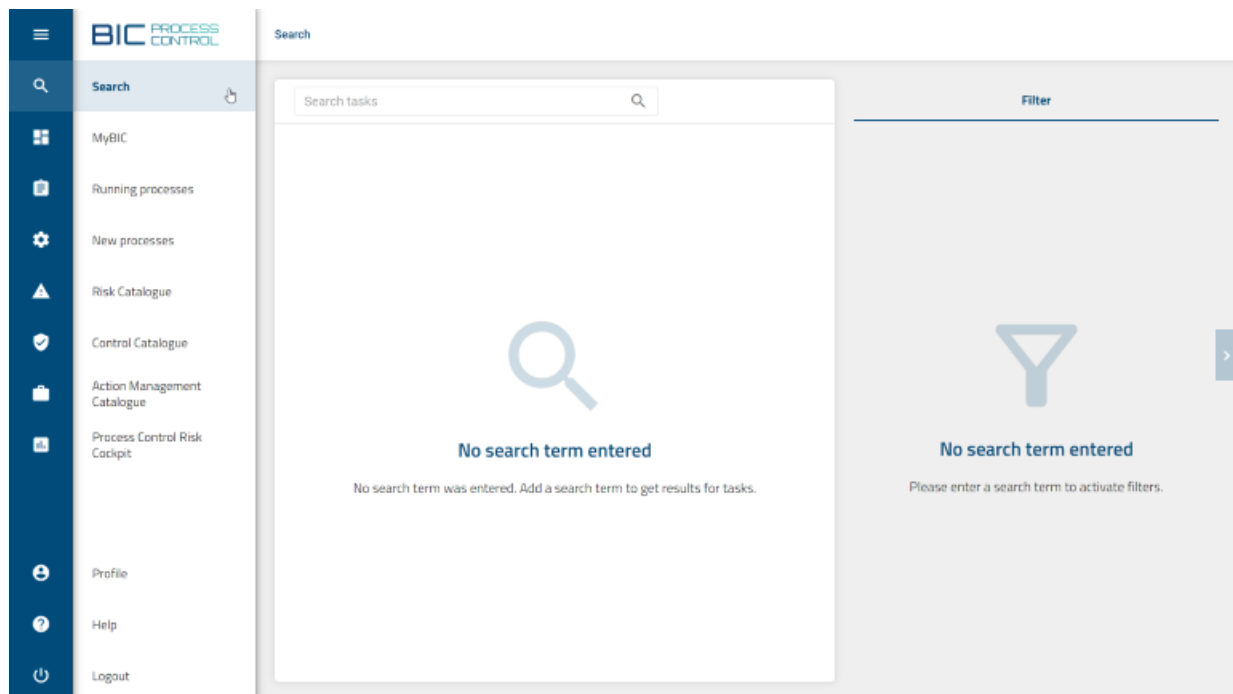


By clicking on *EXPORT* you download the complete Action Management Catalogue of all case documents that are visible to you.

Use the *Search* view to search for tasks in processes.

8.1 How can I access the search?

Once you are logged in, the *Search* is accessible through the *Side Navigation Bar* on the left side.



In order to perform a search, enter a search term into the search input field. The search view will automatically updated based on your input.

The screenshot displays the BIC Process Control search interface. On the left is a dark blue sidebar with various icons. The main area features a search bar at the top with the text "Action" and a magnifying glass icon. Below the search bar is a list of five "Action Management" tasks, each with a circular icon (A or T), a description, an ID, and creation/finish dates. To the right of the task list is a sidebar with two sections: "FILTER" and "OPTIONS". The "FILTER" section contains dropdown menus for PROCESS, TASK OWNER, STATE, CREATED ON, DUE ON, and FINISHED ON. The "OPTIONS" section is currently empty.

Icon	Action Management	ID	Task created	Task finished
A	Define action for risk "Collateral Information"	36142	10/18/22	
T	Define action for risk "Fraudulent disbursement"	36152	10/18/22	
A	Define action for control "Non-compliance with the purpose limitation"	36145	10/18/22	10/18/22
T	Define action for control "Annual earmarking review"	36153	10/18/22	10/18/22
A	Implement action "[action_name]"	36149	10/18/22	10/18/22

8.2 What can I find inside the search?

In the search view you can find individually listed tasks from processes that match your requested search term.

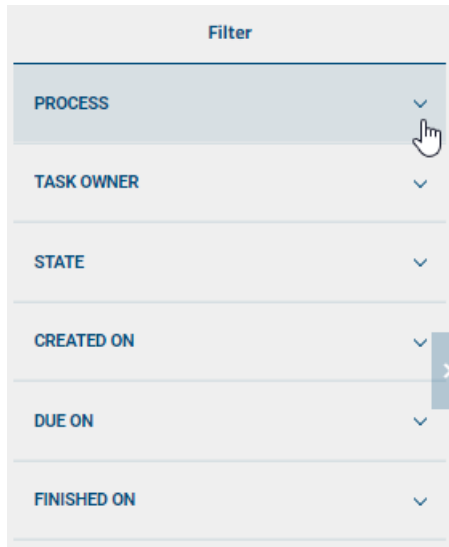
This screenshot is identical to the one above, showing the BIC Process Control search interface with a list of five "Action Management" tasks and a filter sidebar on the right.

Icon	Action Management	ID	Task created	Task finished
A	Define action for risk "Collateral Information"	36142	10/18/22	
T	Define action for risk "Fraudulent disbursement"	36152	10/18/22	
A	Define action for control "Non-compliance with the purpose limitation"	36145	10/18/22	10/18/22
T	Define action for control "Annual earmarking review"	36153	10/18/22	10/18/22
A	Implement action "[action_name]"	36149	10/18/22	10/18/22

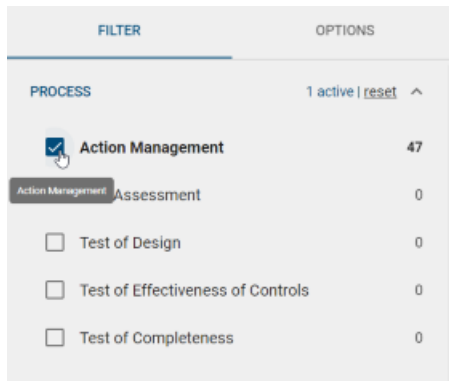
Hint: You can find out more about handling tasks in the *Tasks* section.

8.3 How can I filter search results?

If you enter the *Search* view, you will find the *Filter* menu on the right side. For each search, you have the option to filter the returned tasks by using facets. Facet headings can be expanded or collapsed by clicking on them.



Expand a facet in order to see all available facet values based on your initial search request. By setting a check mark for a facet value, the search results are filtered according to it.



Multiple values can be set simultaneously.

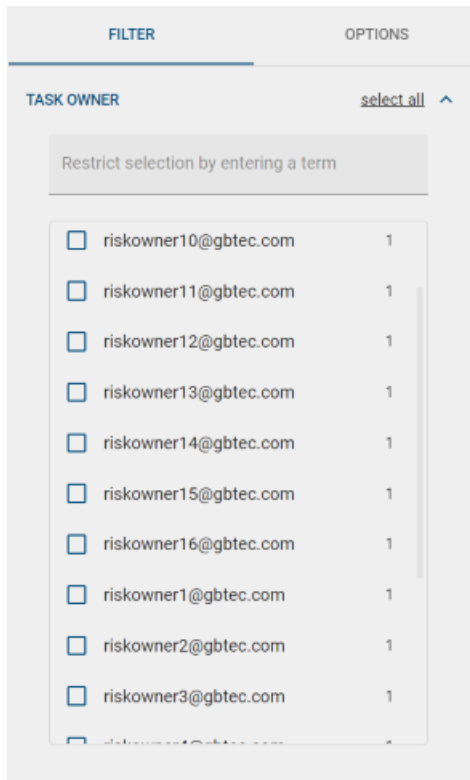
FILTER	OPTIONS
PROCESS	1 active reset ^
<input checked="" type="checkbox"/> Action Management	43
<input type="checkbox"/> Risk Assessment	0
<input type="checkbox"/> Test of Design	0
<input type="checkbox"/> Test of Effectiveness of Controls	0
<input type="checkbox"/> Test of Completeness	0
TASK OWNER	▼
STATE	1 active reset ^
<input checked="" type="checkbox"/> Pending	
<input type="checkbox"/> Overdue	
<input type="checkbox"/> Done	
<input type="checkbox"/> Canceled	

This selection can be undone by clicking again on the selected facet value or by using the **remove** option.

The facet *TASK OWNER* potentially contains a long list of facet values. If this facet has more than 15 entries it will be rendered as a **Quick-filter multi-selection facet**.

In difference to the simple multi-selection facet, the quick-filter variant is intended to manage a long list of facet values. In order to achieve that, the facet contains of two components:

1. An input field, that allows to quick-filter the list of facet values
2. A rectangle with a fixed height that contains a scrollable list of the facet values.



The basic behavior of the list of facet values is the same like for the simple representation. In addition the quick-filter variant offers a *select all* option, which will select all currently visible entries.

By selecting a value it is positioned at the top of the list and the number of hits displayed in the *Search* view is updated accordingly.

8.4 Which filter categories are available?

PROCESS, *TASK OWNER* and *STATE* are three of the available facets. Within each facet, different values are shown based on the search results. The facet header shows the number of active facet values.

The other three facets are date-related: *CREATED ON*, *DUE ON* and *FINISHED ON*.

- **PROCESS:** The *PROCESS* facet gives you the possibility to filter tasks by process type. (e.g. *Action Management* or *Risk Assessment*).
- **TASK OWNER:** The *TASK OWNER* facet shows you user and user groups that are in charge of doing a task or finished a task.
- **STATE:** By using the *STATE* facet you can filter tasks based on the following states:
 - *Pending:* Existing tasks that are not finished yet.
 - *Overdue:* Existing tasks which its due date has passed.
 - *Done:* Finished tasks that you can keep track of.
 - *Canceled:* Tasks that were *active* when the process was canceled.
- **CREATED ON, DUE ON and FINISHED ON:** As date-pickers fields, you have the option to filter by:
 - All values, that are after or equal to a given *Start date*

- All values, that are before or equal to a given *End date*
- All values, that are after or equal to a given *Start date* and before or equal to a given *End date*

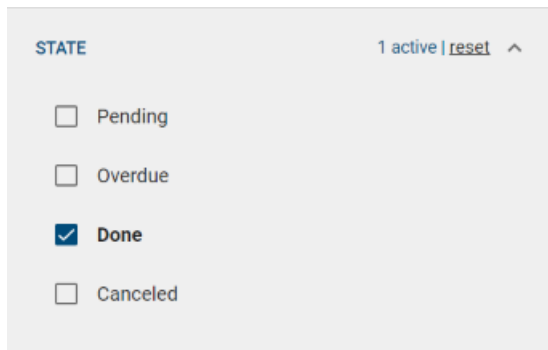
Hint: Combining values within the same facet makes the selection mutually exclusive “OR”, whereas selecting values from different facets makes the selection mutually inclusive “AND”. Please have a look at the following examples.

8.4.1 How can I keep track of my finished tasks?

Enter a wildcard “*” as a search term and submit the search.



Select your user in the *TASK OWNER* facet and *DONE* in the facet *STATE*.



8.4.2 Do I have tasks for specific types of processes that belong to me and are *Overdue*?

Enter a wildcard “*” as search term and submit the search. Select your user in the *TASK OWNER* facet and *Overdue* in the facet *STATE*. As a result, you can see all your *Overdue* tasks. Now, you can reduce this list of your *Overdue* tasks, by selecting specific processes in the *PROCESS* facet. (e.g. *Risk Assessment* and *Test of Completeness*).

8.5 How the role of a user changes the content I can find?

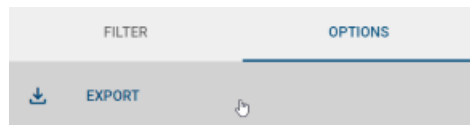
PARTICIPANT, *ANALYST*, *SUPERVISOR* and *ADMINISTRATOR* are the four available user roles. A role can be assigned to one or several users and a user can be granted several roles. *Search* takes into account role restrictions so that users receive restricted search results.

As a	You can find
<ul style="list-style-type: none"> • <i>PARTICIPANT</i> • <i>ANALYST</i> 	<ul style="list-style-type: none"> • Tasks that are assigned to you. • Tasks assigned to a user group that you belong to. • Tasks that you have delegated to another user or user group. • Tasks in processes in which you have been involved by starting the process or finishing a task inside it.
<ul style="list-style-type: none"> • <i>SUPERVISOR</i> • <i>ADMINISTRATOR</i> 	<ul style="list-style-type: none"> • All tasks

Note: The *SUPERVISOR* role does not have access to the *Administration* area.

8.6 How can I export search results?

On the right side of the search there is the *Options* menu bar that offers an export option, creating a downloadable .XLSX file format.



When you click *EXPORT*, you download the tasks that are visible to you. (Based on your search term, user role and active filters).

9.1 Overview








The *Audit trail* provides you a chronological overview of what happened in a given process instance.

In detail, the *Audit trail*:

- Shows when and by who the process was initiated.
- Tracks when and by who a task was finished.
- Tracks when, to whom and for what reason a task was delegated.
- Shows the active task of the process when available.
- Shows when, by who and for what reason the process was cancelled.








The following picture shows an Audit trail for a process that was launched by user “A”. In this example, the first task of the process was finished by user “A”. Then, a second task was initially assigned to user “A”. Before user “A” finished this second task, the task was delegated to user “D” based on the reason given in the comment section. Now, user “D” is in charge of handling the active task.

Running processes > My tasks > Audit trail

Audit trail	Comments
 Implement action "Define action for risk "Risk Administrator".". ID:14 Task open	
   Delegation	Delegate
 Implement action "Define action for risk "Risk Administrator".". ID:14 Task delegated: 10/5/22	
 Define action. ID:13 Task finished: 10/5/22	
 Action Management initiated administrator.user@gbtec.es 10/5/22	

The following picture shows an *Audit trail* for a process that was cancelled by a user with the name “admin-grc” and also the reason for cancellation given by the user.

Search > **Audit trail**

Audit trail	Comments
 Process canceled diegotest 10/5/22	Obsolete
 Implement action "Define action for risk "Regular review of collateral"." ID:11 Task canceled: 10/5/22	
 →  Delegation	Delegate
 Implement action "Define action for risk "Regular review of collateral"." ID:11 Task delegated: 10/5/22	
 Define action. ID:10 Task finished: 10/5/22	
 Action Management initiated administrator.user@gbtec.es 10/5/22	


9.2 How can I access the Audit trail?

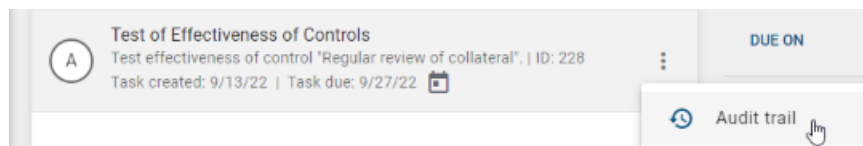
You can access the *Audit trail* from:

9.2.1 Tasks


The *Audit trail* is accessible from each view that shows a task card.

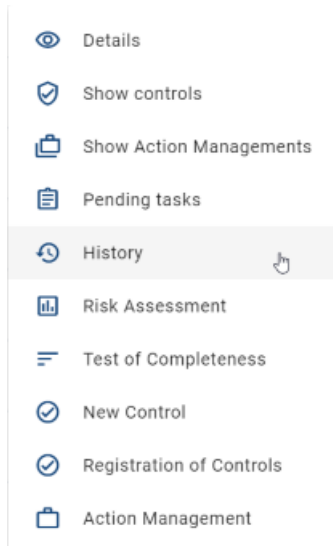
These task cards can be found in the *Running processes* area (*My tasks*, *My processes* and *Delegated tasks*) and inside the *Search* view.


By clicking on the context menu  of a task card you can access the *Audit trail*.





9.2.2 Risk Catalogue

Select *Risk Catalogue* inside the *Side Navigation Bar*. Open the context menu  of a given catalogue entry and click on the *History* option.




For each entry in the *History* view that was created by a BIC Process Control process, you can access the *Audit trail* of that BIC Process Control process by clicking on the icon .

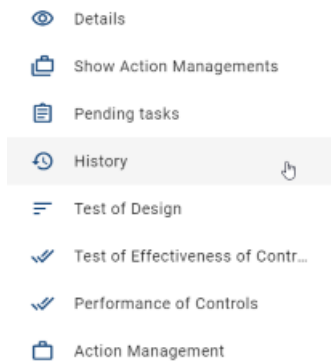
Risk Catalogue > History 2

Last Change	Name	Description	Category	Context	Responsible	Probability	
9/13/22, 12:34 PM	Non-compliance with the purpose limit...			Other	A	●	
9/12/22, 1:51 PM	Non-compliance with the purpose limita...			Other	A	●	

Items per page 10 1 - 2 / 2 < >





9.2.3 Control Catalogue

Select *Control Catalogue* inside the *Side Navigation Bar*. Open the context menu button  of a given catalogue entry and click on the *History* option.



For each entry in the *History* view that was created by a BIC Process Control process, you can access the *Audit trail* of that BIC Process Control process by clicking on the icon .

Control Catalogue > History 2

Last Change	Name	Execution	Rhythm	Effect	Responsible	Associated
9/13/22, 12:38 PM	Regular review of collateral	Partly Automated Control	Weekly	Preventive		Incorrect C 
9/13/22, 12:37 PM	Regular review of collateral	Partly Automated Control	Weekly	Preventive		Incorrect C 

Items per page 10 1 - 2 / 2 < >

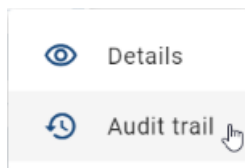
9.2.4 Action Management Catalogue

Select *Action Management Catalogue* inside the *Side Navigation Bar*.

Action Management Catalogue				
State ↑	Corrective Action	Link to Subject of Corrective Action	Priority	Type
Implement	Define action for control "Checklist frau...	Checklist fraud prevention	Medium	Performance of Controls
Review	Define action for risk "Payments from/t...	Payments from/to third parties.	Medium	Other
Review	Define action for risk "fraudulent disbur...	fraudulent disbursement	High	Risk Assessment

Items per page 10

Open the context menu button  of a given catalogue entry and click on the *Audit trail* option.



For each catalogue entry, you can see the *Audit trail*.

9.3 Who is the initiator of the process?

If the process is initiated as a consequence of the set up of the *Scheduler*, the initiator in the *Audit trail* will be the System.

If the process is initiated manually by the user, the initiator in the *Audit trail* will be the user who launched the process.

If an *Action Management* process is triggered as a consequence of a finished process, the initiator in the *Audit trail* will be:

Process	Initiator
Risk Assessment	Risk Owner
Test of Completeness	Risk Owner
Test of Design	Control Owner
Test of Effectiveness	Control Owner
Performance of Controls	Control Owner

9.4 Why do I not have the Audit trail available for all versions of a risk or a control?

When a version of a risk or a control is created through the *BIC Process Design Connector*, then there is no *Audit trail* available.

Audit trail is only available in the risk/control *History* when the corresponding version was created by one of the *BIC Process Control Processes*.

BIC Process Design Connector

10.1 Overview

The *Connector* allows you to import risks and controls from published BIC Process Design diagrams into BIC Process Control.

Imported risks and controls are added as new catalogue entries in BIC Process Control *Risk Catalogue* and *Control Catalogue*. When the import takes place, the data transferred from BIC Process Design to BIC Process Control is limited to the *shared set of attributes* between both applications.

The BIC Process Design Connector is also able to update risks and controls in BIC Process Design based on changes during processes that run in BIC Process Control. Details about updating risks and controls in BIC Process Design can be found [here](#).

10.2 Import of risks and controls from BIC Process Design

When a diagram is published in BIC Process Design, the *Connector* is automatically triggered.

Once the publication takes place, modeled risks and controls of the corresponding diagram that has been published are sent to BIC Process Control and registered as new catalogue entries in the *Risk* and *Control Catalogues*. Once new entries are available, you can start managing risks and controls using available *processes*.

In order to have a proper behavior of the *Connector* you may consider the following hints:

- When a control is not connected to a risk, it will not be imported into BIC Process Control. Therefore, a control must be connected to a single risk.
- When a control is connected to more than one risk inside one diagram, the *Connector* will duplicate this control to the number of connected risks. Therefore, these different newly created controls in BIC Process Control share the single control from BIC Process Design. Because of this, it is recommended to connect a control with one single risk.

Note: Further information about how to publish a diagram can be found at the Governance chapter in BIC Process Design help documentation.

If you cannot find imported risks and controls in your BIC Process Control catalogues after publishing a BIC Process Design diagram, please check if your *system requirements* are correctly set.

10.2.1 Attributes exchanged from BIC Process Design to BIC Process Control

BIC Process Design value fields for risks and controls are transferred to BIC Process Control. In most cases, an attribute is shared between BIC Process Control and BIC Process Design and the user input is available. (e.g. *Cause, trigger and impact* for a risk is introduced by the user and the value is transferred to BIC Process Control when the import takes place. If no user input is available, no data is transferred).

There are several BIC Process Control fields for risks and controls that will be automatically maintained by BIC Process Design Connector during the import. There are two possible options:

- An attribute is shared between BIC Process Control and BIC Process Design but the user has not given any input. (e.g. Execution Interval for a control is a user field in both applications. If the user leaves empty the input value field, the *Connector* automatically assigns the default value “Occasionally”).
- BIC Process Design user interface does not have a user input field but the field is maintained by the *Connector* and shown in BIC Process Control. (e.g. Next Test of Design is not an available user field in BIC Process Design but is maintained by default with “today + 30 days” when a risk is imported).

Note: If you are using a customized BIC Process Design method, your exchanged attributes may differ.

Once the import takes place, BIC Process Control is the owner of the imported risks and controls. From now on, *these fields* are maintained by BIC Process Control processes.

Risk Attributes

The following table shows you which risk attributes are exchanged when using BIC Process Design Connector.

BIC Process Design	BIC Process Control	Default value
Risk Title, Name*	Name	
Probability	Probability	
Impact	Impact	
Risk Rating	Risk Rating**	
	Next Risk Assessment	Today + 30 days
	Interval for Risk Assessment	Annually
	Next Test of Completeness	Today + 30 days
	Interval for Test of Completeness	Annually
Name	Risk Context	
Cause, Trigger and Impact	Cause, Trigger and Impact	
Risk Response	Risk Response	
Risk Owner	Risk Owner	
Risk Category	Risk Category	
Responsible***	Risk Category Responsible	

* The attribute *Risk Title* in BIC Process Design, allows to maintain a name for the risk based on its occurrence. If no such *Risk Title* is maintained, the *Connector* will use the BIC Process Design *Name* attribute to maintain the name of the risk.

** By default the *Risk Rating* will not be imported from BIC Process Design into BIC Process Control. This is because in BIC Process Control the *Risk Rating* will be defined as part of *Risk Assessment* process. Therefore, the *Risk Rating* will be updated in BIC Process Design after being changed in BIC Process Control.

*** If the *Responsible* is maintained for a risk, that risk needs to handle the Governance rules for catalogue entries in BIC Process Design. For further information see the Governance chapter in BIC Process Design help documentation.

Control attributes

The following table shows you which control attributes are exchanged when using BIC Process Design Connector.

BIC Process Design	BIC Process Control	Default value
Control Title, Name*	Name	
Activity for Performing Control	Activity for Performing Control	
Control Owner	Control Owner	
Execution of Control	Execution of Control	
Control Tester	Control Tester	
Execution Type	Type of Performance	
Execution Interval	Execution Interval	Occasionally
Control Effect	Control Effect	
	Next Test of Design	Today + 30 days
	Next Test of Effectiveness	Today + 30 days
	Next Performance of Control	Today + 30 days
	Interval for Test of Design	Annually
	Interval for Test of Effectiveness	Annually

* The attribute *Control Title* in BIC Process Design, allows to maintain a name for the control based on its occurrence. If no such *Control Title* is maintained, the *Connector* will use the BIC Process Design *Name* attribute to maintain the name of the control.

10.3 Update risks and controls in BIC Process Design

When a risk or control is changed by one of the *processes*, the *Connector* will update the risk/control inside BIC Process Design.

10.3.1 Attributes exchanged from BIC Process Control to BIC Process Design

Risk attributes

The following table shows you the risk attributes that are updated after changes in BIC Process Control.

BIC Process Control	BIC Process Design
Risk Name	Risk Title
Risk Response	Risk Response
Risk Rating	Risk Rating
Probability	Probability
Impact	Impact
Obsolete	Obsolete

Control attributes

The following table shows you the control attributes that are updated after changes in BIC Process Control.

BIC Process Control	BIC Process Design
Control Name	Control Title
Control Effect	Control Effect
Type of Performance	Execution Type
Result of Test of Effectiveness	Result of Test of Effectiveness
Result of Test of Design	Result of Test of Design

10.4 System requirements

In order to be able to use the *Connector*, make sure that your system configuration meets the following requirements:

- The *Connector* has to be activated.
- The *Connector* has to be linked to a specific Repository. The repository of the diagram you want to publish needs to be registered to be considered by the *Connector* as a “valid repository”. Usually, only the “production repository” is used to import risks and controls into BIC Process Control.
- BIC Process Control tenant default language determines from which language the content will be imported from BIC Process Design.

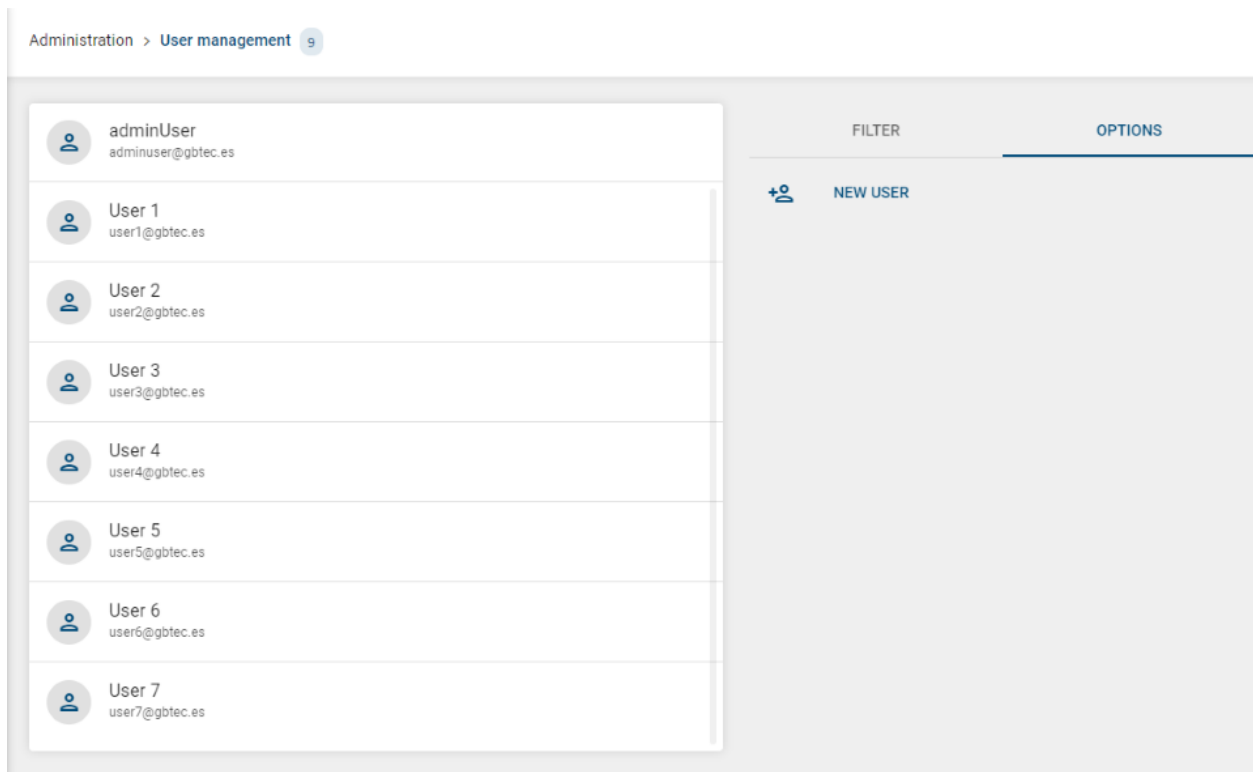
Please, ask your BIC Administrator in case of doubt.

The *Administration* area offers you the possibility to manage *Users*: create, edit, search and delete them. You can also manage *User Groups* and *User roles*, as well as make other administrative settings here, like authorizing *Processes* to certain user groups and changing the *UI configuration*.

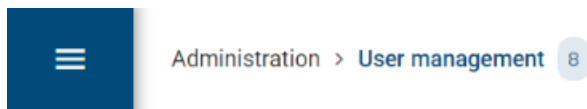
However, the *Administration* area is only displayed if you have the user role *Administrator*.

11.1 User management

Inside the *User management* administration, you have the possibility to see the entire user list and to create, edit, search and delete users.



Moreover, the current number of all existing users is displayed in the header bar, next to the breadcrumb.



11.1.1 How do I create a new user?

First, navigate to the *Administration* area and select *User management*. Then open the *OPTIONS* tab on the right side and click on *NEW USER*.



In order to create a new user, you must enter the name and email address of the new user, and submit the form.

New user

Name:
Participant Two

Email address
participant.two@gbtec.com

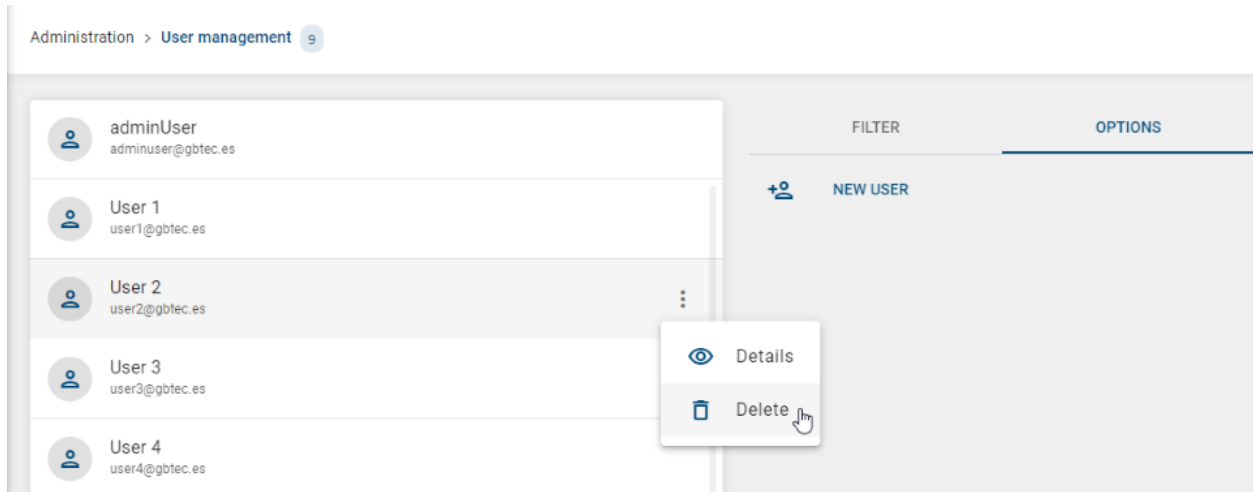
CANCEL SAVE

After submitting the form, the user is created inside the system and receives an email that contains an activation link.

Hint: The activation link has a limited duration of twelve hours.

11.1.2 How do I delete an existing user?

Navigate to the *Administration* area, select *User management* and navigate to the user you want to delete. Now, open the context menu by clicking on the three dots on the right side of the working area. Then choose *Delete*.



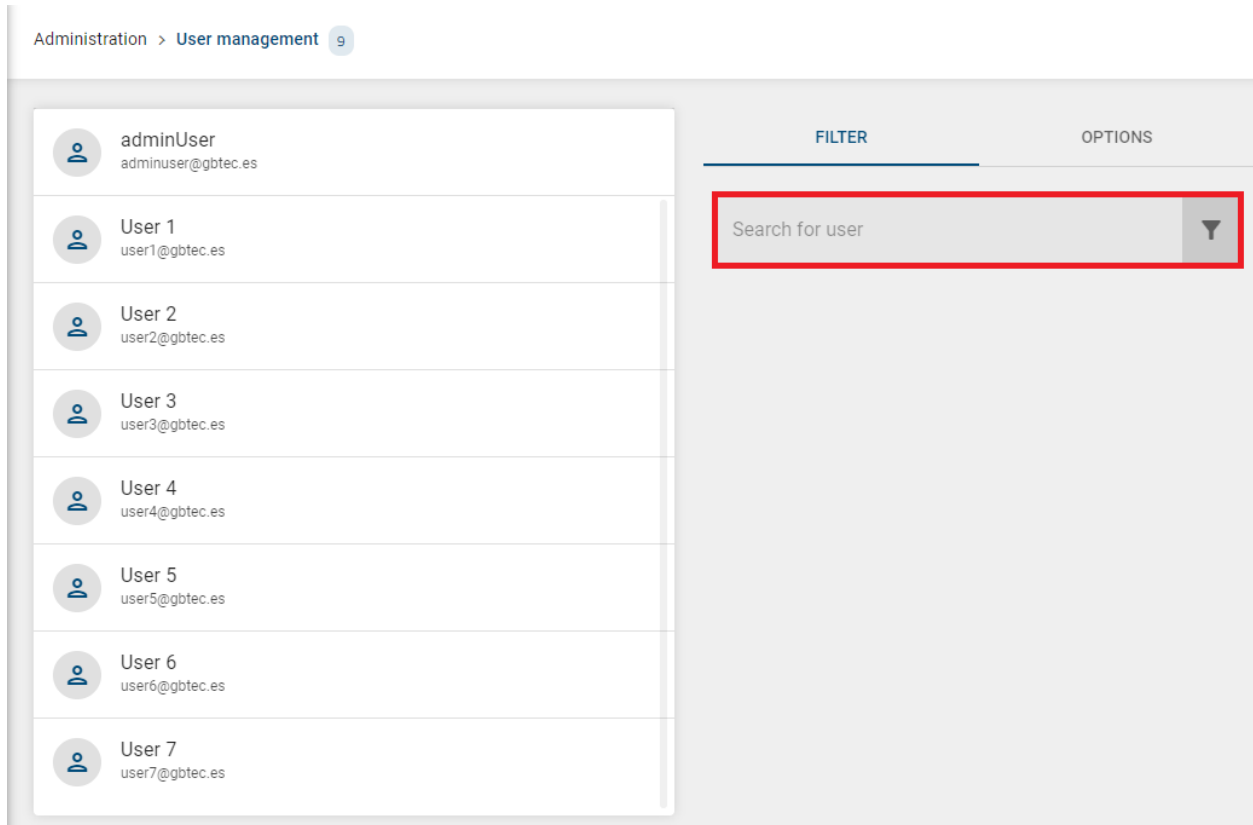
Warning: After clicking *Delete*, the user will be permanently removed from the system.

11.1.3 How do I edit user details?

Navigate to the *Administration* area, select *User management* and click on the user whose details you want to change.

11.1.4 How do I search for a user?

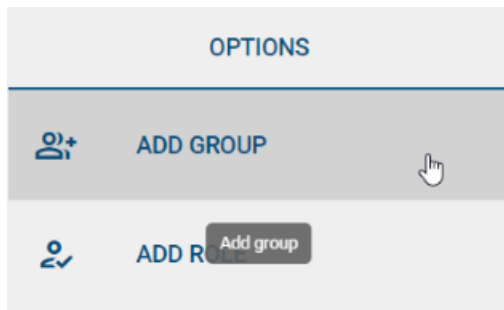
Navigate to the *Administration* area and select *User management*. You will then see the filter symbol (represented by a funnel) on the right side. Now, you can enter the email address or the name of the user and search for it.



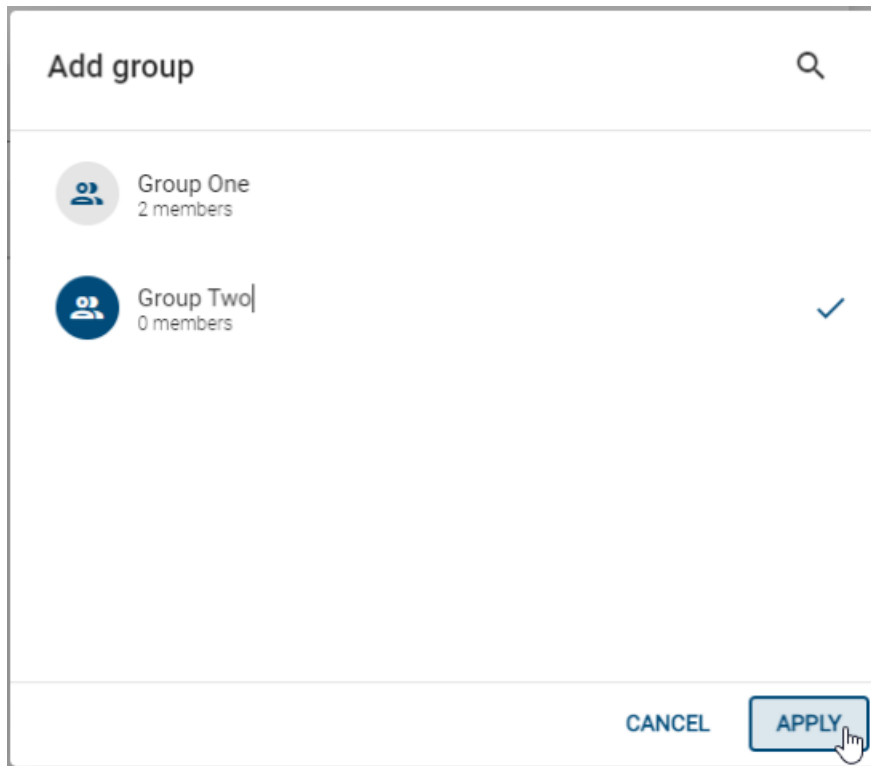
Note: Search results are also displayed for which the entered term is only part of the name. For example, the search term "Mann" finds the name "Mustermann".

11.1.5 How can I add users to a user group?

Navigate to the *Administration* area and select *User management*. Now select the user to whom you want to assign a specific user group. To do this, open the context menu and click on *Details*.

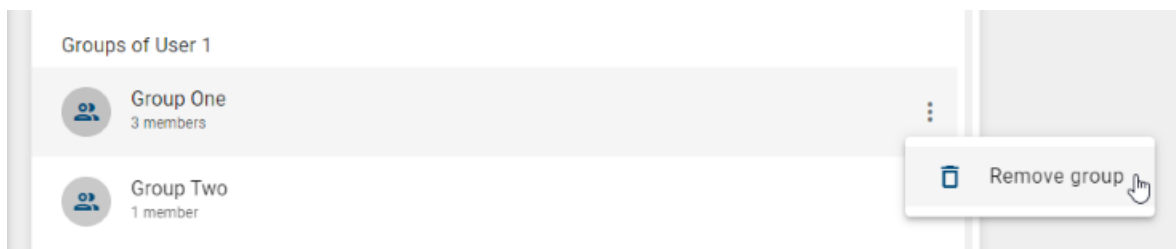


With *ADD GROUP* you can now assign the user to the desired groups. Confirm your choice with *APPLY*.



11.1.6 How can I remove users from a user group?

Navigate to the *Administration* area, select the *User management* and open the details of the user you would like to remove from a specific user group. In the section *Groups of {Name}* hover over the desired group, click on the three dots on the right and select the option *Remove group*.

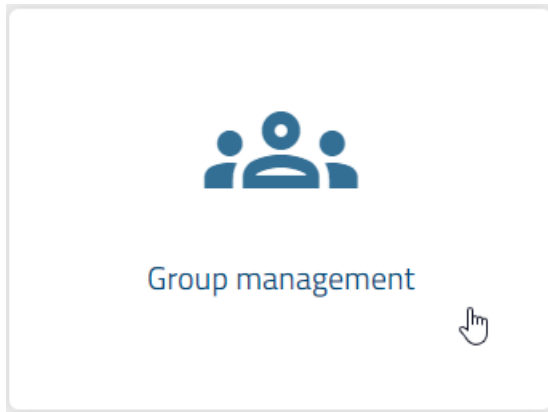


11.2 Group management

Inside *Group management* administration you can assign *Users* to certain *User groups* and manage them.

11.2.1 How can I manage user groups?

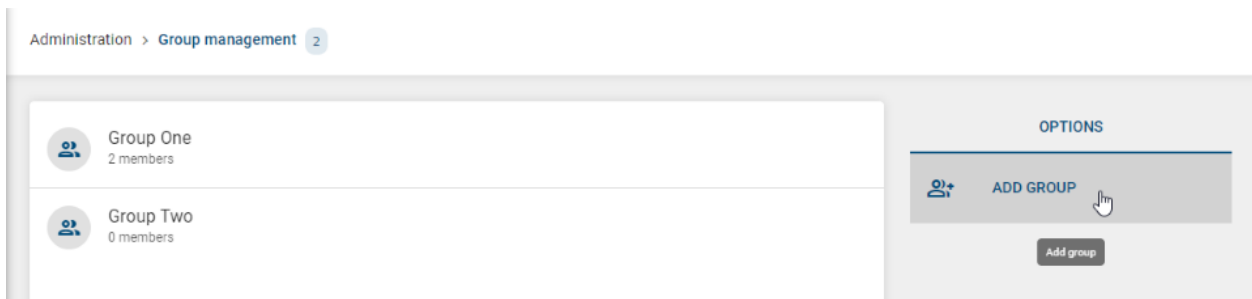
Navigate to the *Administration* area and then click on *Group management*.



Here you get an overview of all user groups in alphabetical order and you can see the number of current user groups to the right of the heading *Group management*. The number of associated users is also displayed directly under the name of the respective user group.

11.2.2 How can I create a new user group?

To create a new user group, navigate to the *Administration* area and click on *Group management*. Then click the *ADD GROUP* icon.



Then, enter your desired group name and the new group will be displayed in the overview.

Add group

Group name

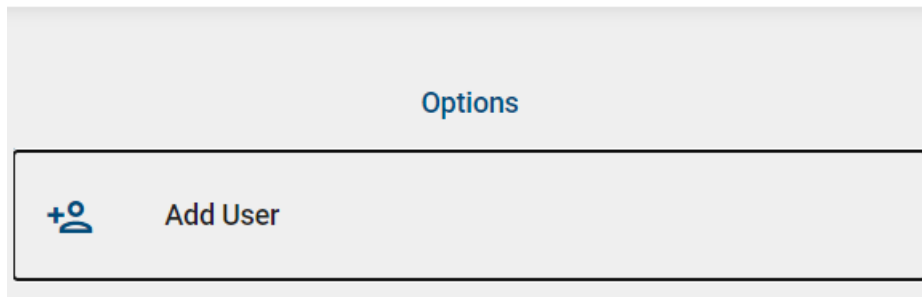
Group Two

CANCEL

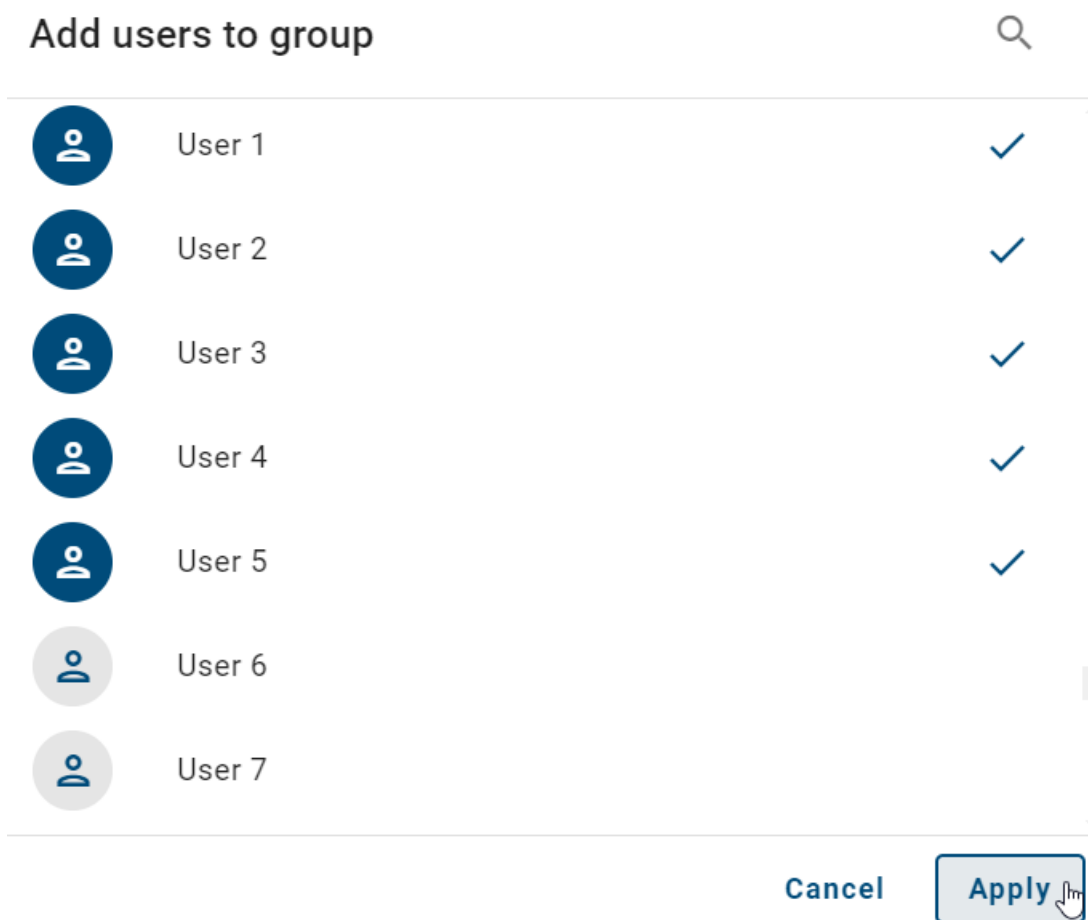
SAVE

11.2.3 How can I add users to a user group from the Group Administration section?

Navigate to the *Administration* area and select *Group management*. Then, click on the group you wish to add users to. Then, click on *Add User* on the *Options* side menu.

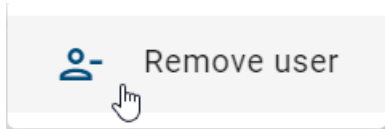


Then, select all the users you wish to add and click on *Apply*.



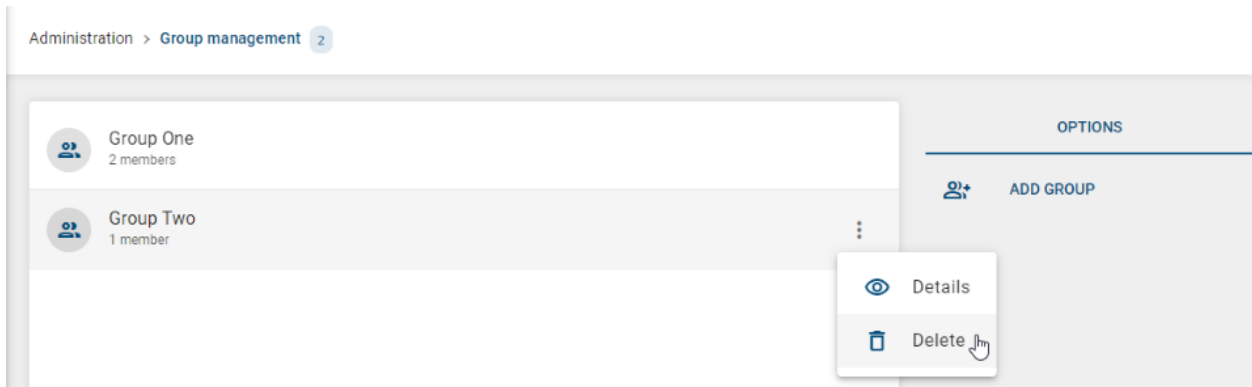
11.2.4 How can I remove users from a user group from the Group Administration section?

Navigate to the *Administration* area and select *Group management*. Then find the group you wish to remove users from. Then click on the three dots on the right and select *Remove user*.



11.2.5 How do I delete an existing user group?

Navigate to the *Administration* area and select *Group management*. Now go to the line in which the user group to be deleted is located and click on *Delete*.



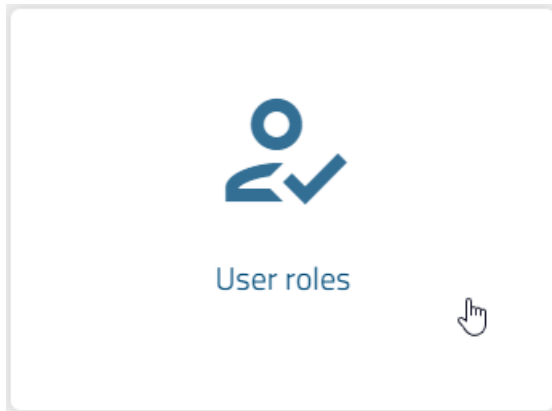
Warning: With *Delete* the user group is permanently removed from the system.

11.3 User roles

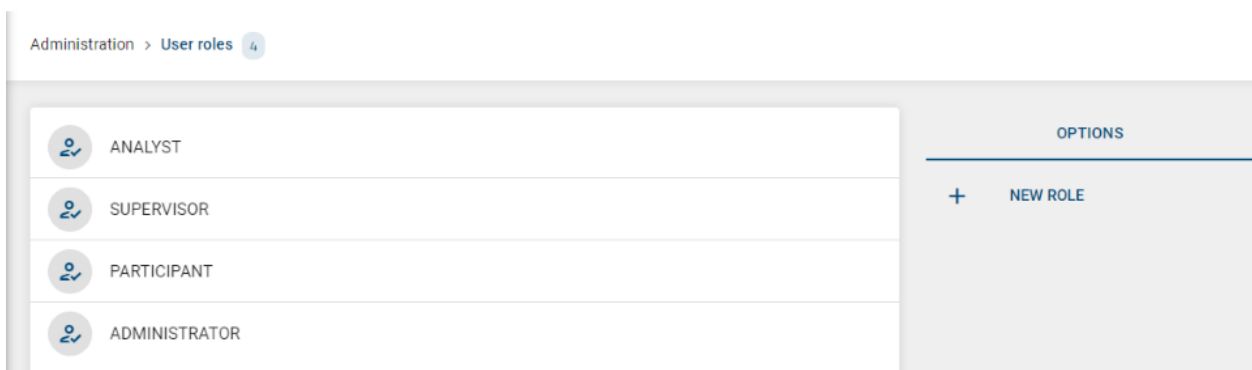
In general, there are four different available user roles: *PARTICIPANT*, *ANALYST*, *SUPERVISOR* and *ADMINISTRATOR*.

11.3.1 How can I visualize the list of existing user roles?

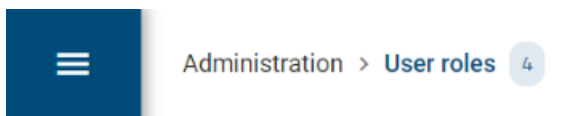
Only users with an *ADMINISTRATOR* role are able to visualize, assign and remove user roles according to their needs. Navigate to the *Administration* area and then click on *User roles*.



The main screen of this section displays a list of the existing user roles inside the system.



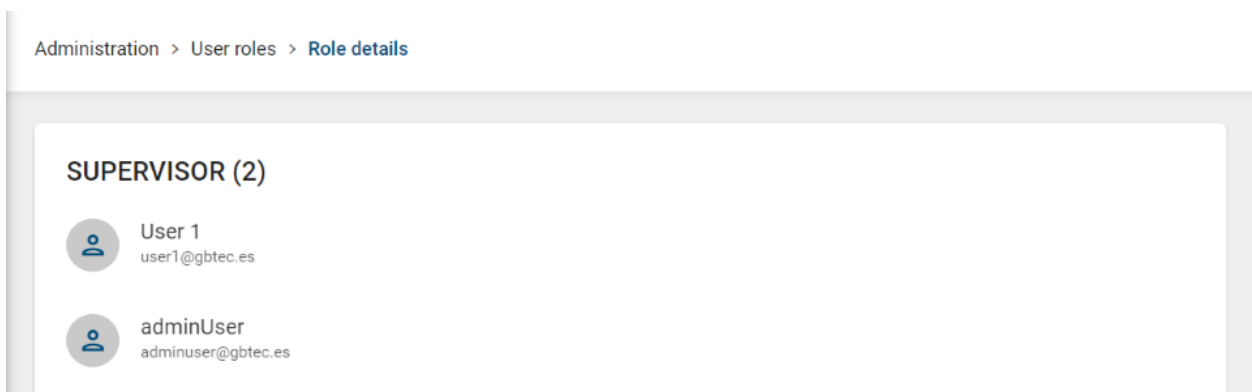
Also, the current number of all existing user roles is displayed in the header bar, next to the breadcrumb.



11.3.2 How can I know which users belong to each role?

Inside the *User roles* main screen, enter the *Details* view of one particular role. You can do this by clicking on a particular user role, or from the context menu located on the right side.

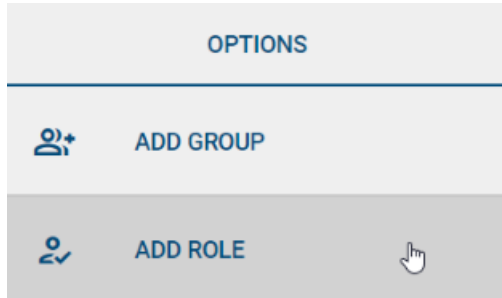
From this view, you can visualize the list of existing users belonging to the selected role.



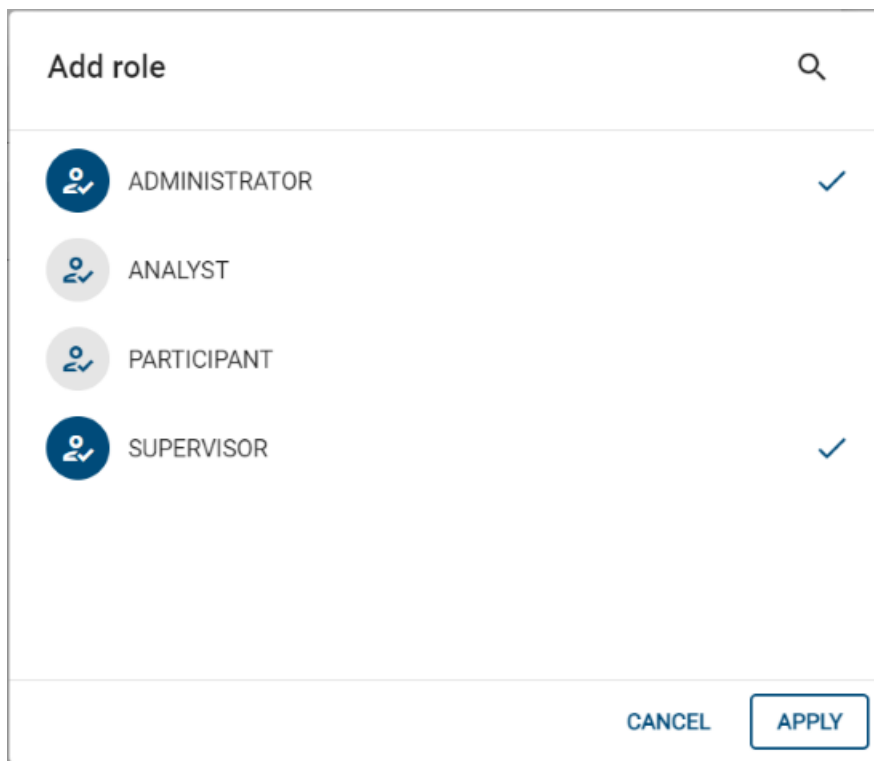
11.3.3 How can I assign a new role to an existing user?

Navigate to the *Administration* area, select *User management* and click on the user to whom you want to assign a new role.

On the right side of the user *Details* view, click on the *ADD ROLE* button.



You can now assign a new role to the selected user. Confirm your choice with *APPLY*.



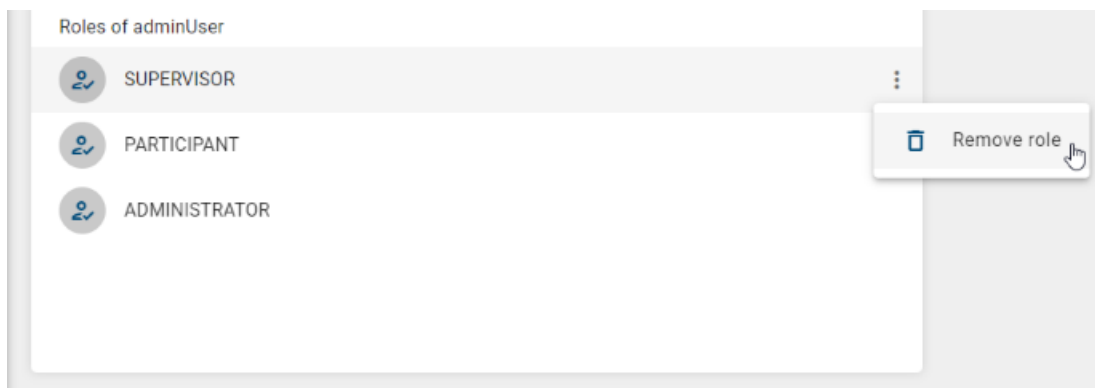
Hint: A role can be assigned to one or several users and a user can be granted several roles.

11.3.4 How can I remove the role of an existing user?

Navigate to the *Administration* area, select *User management* and click on the user whose role you want to remove. Inside the user *Details* view go to the *Roles of {Name}* section.

The screenshot shows the 'User details' page for 'adminuser@gbtec.es'. The breadcrumb navigation at the top reads 'Administration > User management > User details'. The main content area has a header 'adminuser@gbtec.es'. Below it are two input fields: 'Name *' with the value 'adminUser' and 'Email address *' with the value 'adminuser@gbtec.es'. A 'SAVE CHANGES' button is located to the right of the email field. On the right side, there is an 'OPTIONS' panel with two buttons: 'ADD GROUP' and 'ADD ROLE'. Below the input fields, the section 'Roles of adminUser' lists three roles: 'SUPERVISOR', 'PARTICIPANT', and 'ADMINISTRATOR', each with a user icon.

By hovering the role and clicking on the three dots on the right you can remove the role from the user by clicking on *Remove role*.

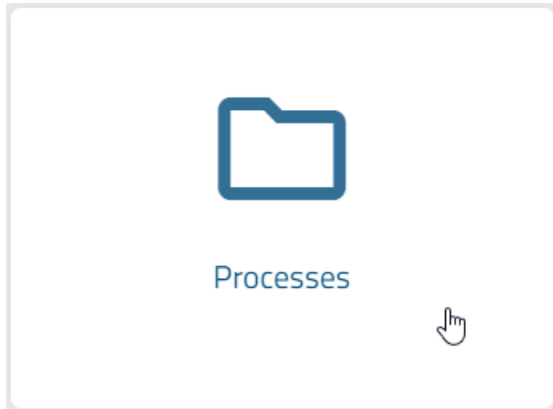


This section will be updated according to your choice.

Note: Even though users can hold more than one role at the same time, **they must have at least one role**.

11.4 Processes

Inside *Processes* administration you can authorize user groups to start certain processes.



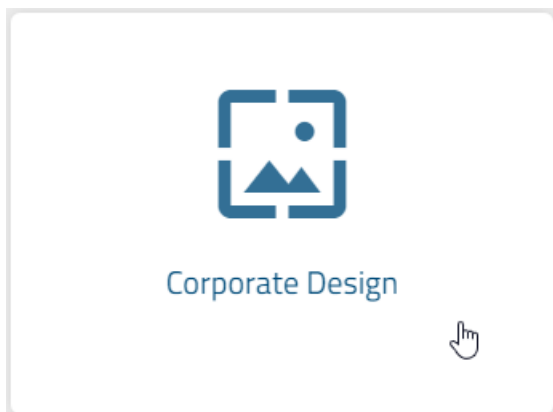
As soon as you assign a user group to a process, no one except the group will be able to start this type of process, whether it is from the *New Processes* view or from the *Risk/Control Catalogue*.

11.5 Corporate Design

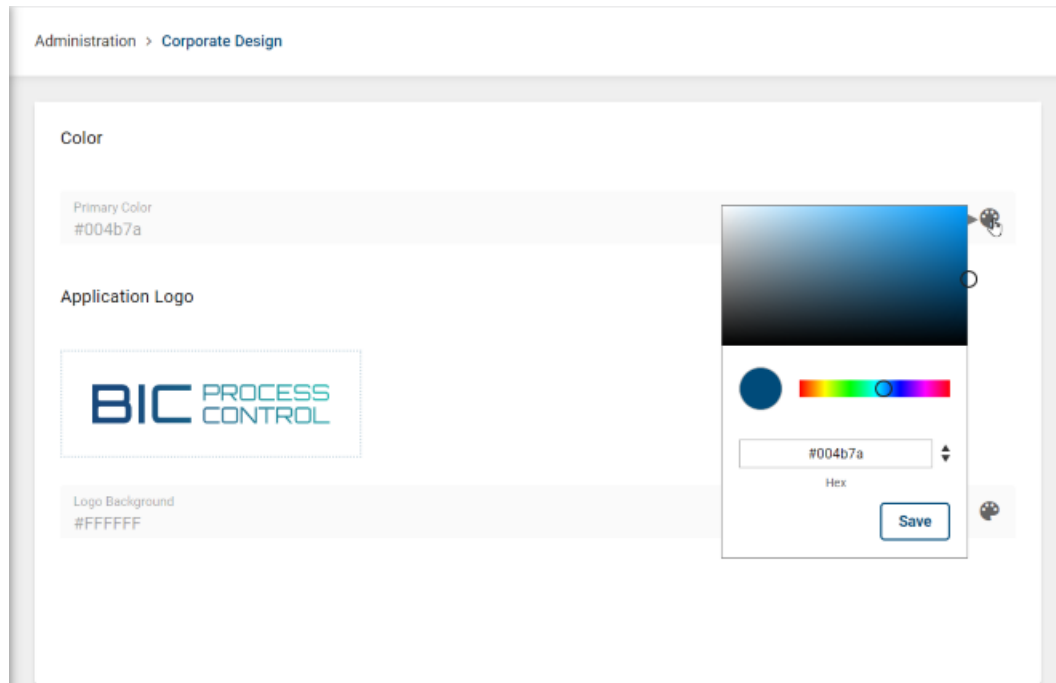
Inside the *Corporate Design* area you have the option to adapt the design of BIC Process Control to the corporate design of your company.

11.5.1 How can I change BIC Process Control colors?


Navigate to the *Corporate Design*.



An option appears in your work area in which you can adjust the *Primary Color*. To do this, click on the palette icon. After that, a window opens in which you can set your desired color, by selecting it or writing the Hex code.



Save the change and the primary color will be updated.

Hint: The default color code of the application is #004B7A .

11.5.2 How can I insert a company logo?

Navigate to the *Corporate Design*. Here, you have the option of replacing the *Application Logo* with your company logo.

Application Logo

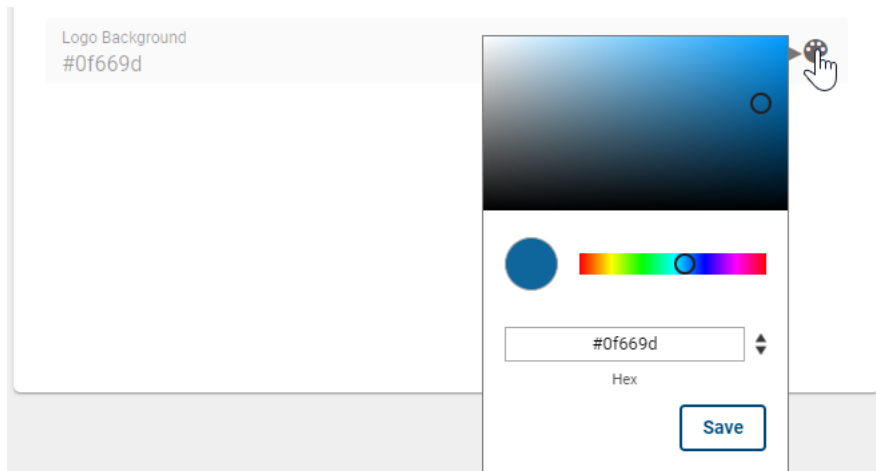


Click on the logo currently in use, select your desired file and click *Open* to visualize the changes.

Hint: The uploaded picture will be resized by keeping the aspect ratio to fit this size: **Maximum height:** 48px, **Maximum width:** 180px

11.5.3 How can I change the logo background?

Navigate to the *Corporate Design*. Here, you can adjust the *Logo Background*. To do this, click on the palette icon. After that, a window opens in which you can set your desired color, by selecting it or writing the Hex code.

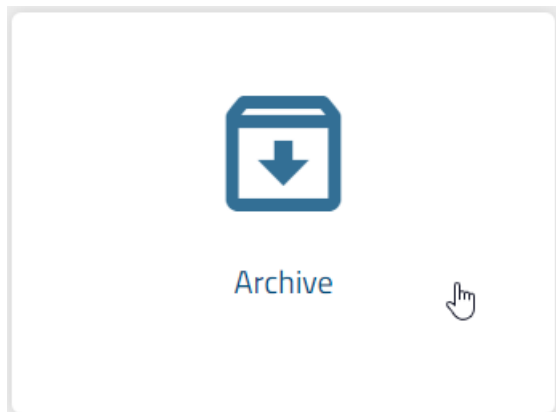


Save the change and the logo background color will be updated in the top left.

Hint: The background color can only be set for a transparent logo.

11.6 Archive

In the *Archive* view, you can set a retention period for risks and controls.



BIC Process Control creates a new version for a control or risk each time a change is made. The retention period defines how long an archived version remains in the system. As soon as a risk or control version receives the status “archived”, the currently defined retention period is saved in this version. Once the retention period has expired, the risk/control version is deleted from the system. If such a version was created by a process, like *Risk Assessment* or *Test of Design*, the process instance and its tasks are removed as well. This will only happen, if the process instance is finished and there are no other history entries referencing to it.

Administration > Archive

Archive - Retention period

BIC Process Control creates a new version for a control or risk on every change. The retention period defines how long an archived version will stay inside the system. Once a risk or control version gets the archived state, the currently defined retention period will be stored in this version. If this retention period is passed, the system will delete the risk / control version and its related tasks (if exists).

Risks

Enter the number of months for the retention period *

120

Controls

Enter the number of months for the retention period *

120

Here you can set the number of months as retention period for versions of risks and controls. By default the system will use a retention period of 120 months (10 years).

11.7 BIC Process Design Connector

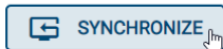
In case your tenant has a connection to BIC Process Design the Administration view offers a tile called *BIC Process Design Connector*.



Here, when triggering the *SYNCHRONIZE* button, the BIC Process Design Connector will update all risks and controls based on the publication stage of the relevant repositories of your BIC Process Design tenant. This operation may take some time. In case of identifying differences a new version of that risk or control will be created. Active tasks / processes are not effected by these new versions. They will still rely on the state of information that was available at the moment of starting the process.

BIC Process Design Connector - Synchronization

When triggering the "SYNCHRONIZE" button, the BIC Process Design Connector will update all risks and controls based on the publication stage of the relevant repositories of your BIC Design tenant. This operation may take some time. In case of identifying differences a new version of that risk or control will be created. Active tasks / processes are not effected by these new versions. They will still rely on the state of information that was available at the moment of starting the process.



When the action is completed satisfactorily without errors in the top of the screen the following message appears.

✓ The synchronization was performed successfully.

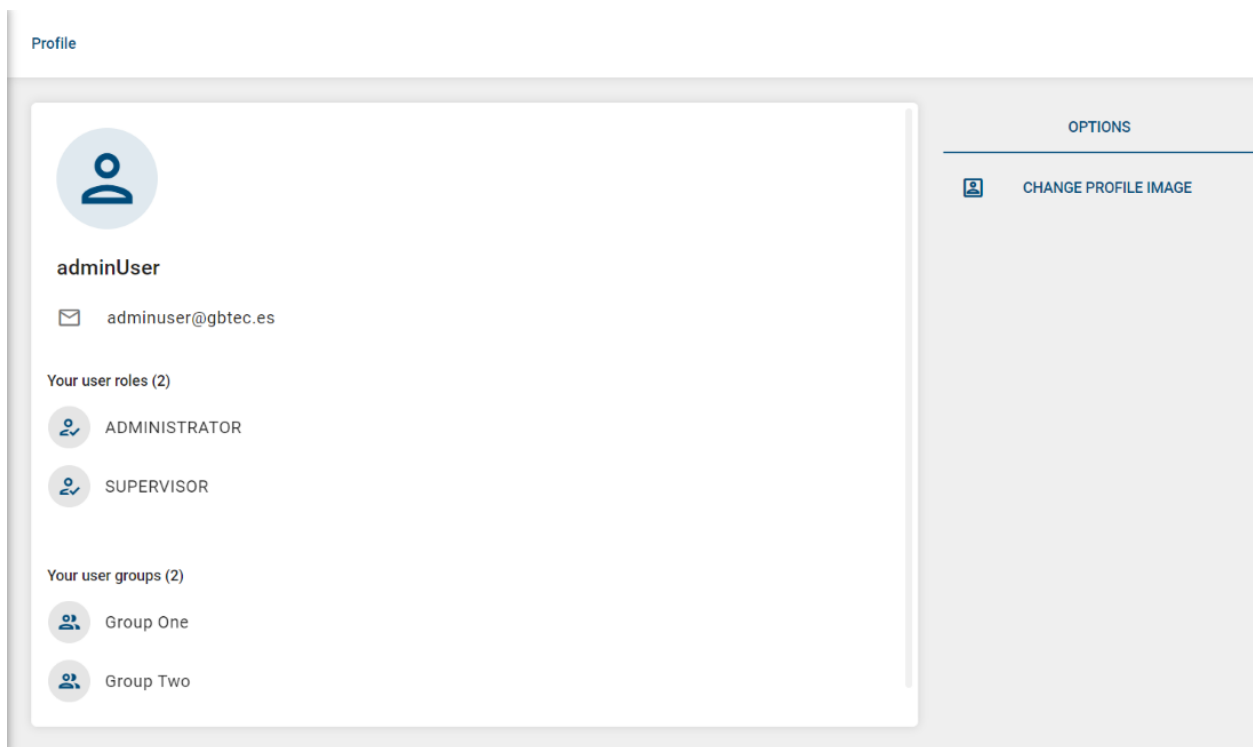
When the action is not completed satisfactorily in the top of the screen the following message appears.

! The synchronization was performed with errors. Please contact your system administrator.

CHAPTER 12

Profile

Inside the *Profile* section you can visualize detailed information about your user account.



12.1 What information is shown inside your Profile?

You can see:

- Your profile image.
- Your user name.
- Your email address.
- The group/s your user belongs to.
- The role/s your user has assigned.

12.2 How can I change my profile image?

You can easily do this in two different ways:

- By clicking on the circle that is right above your user name.
- By clicking on the **CHANGE PROFILE IMAGE** button, which is located on the right side as part of the Options menu.

In both cases, a file selection pop-up will appear right after the click.

13.1 Version 4.4.2

The following bugs have been fixed in this release

- [BCW-10772] The exported PDF file of a risk/control version displays sections headlines with no content inside
- [BCW-10778] The exported PDF file of a risk/control version doesn't show the last content section of the details chapter
- [BCW-10780] Rendering the PDF of a risk/control version may fail in case the details view of this risk/control contains maintained checkbox-fields


13.2 Version 4.4.1

The following bugs have been fixed in this release

- [BCW-10716] Missing migration of existing data in context of BCW-9875
- [BCW-10753] Accessing task details may fail with a 404 message in case the system has a very huge amount of tasks
- [BCW-10767] Loading bar does not properly reflect the loading state of a view

13.3 Version 4.4.0

New features

BIC Process Control now offers the possibility to create a “*PDF Export*” for a single risk or control. It is available via a new options menu  on the right-hand side of the details page of a risk or control. This export can be triggered for any version of a risk or control, both the active or any previous version. The “*PDF Export*” contains the content displayed in the detail view as well as the information about the validity period of the exported version. If the exported version was created by a workflow, the export also contains the audit trail of it.

The filter facet “*Status*” in the search now provides information on the number of matching hits, as was already the case with filter facets such as “*Process*” or “*Task owner*”.

User can now identify the owner of an blocking active predecessor task, independent if such task is owned by the user itself or someone else.

Administrators can now manage the members of a user group directly inside its group details view.

The “*Risk Control Matrix*” and the Excel exports of the risk and control catalog now contain the technical IDs of the risks and controls. In addition, the technical IDs of the risks and controls are also included in the task export if the task’s process takes place in the context of a risk or control. This enables Power users to create further evaluations based on the generated outputs. Customers who already have customized export templates will need to update their templates to benefit from this improvement.

The help now informs about the client side *system requirements*.

The following bugs have been fixed in this release

- [BCW-9875] The transfered diagram or activity name stored as risk context is only shown properly to a user, if the ui language matches the data transfer language of the connector
- [BCW-9922] When the search is filtered to overdue tasks, the task export may contain pending tasks as well
- [BCW-9975] In case the Risk Catalogue contains no entry initially, the hint regarding ‘No data’ is missing in the table view
- [BCW-9989] Wrong display of user chips in readonly mode
- [BCW-10106] Wrong display of the name of a measure inside the task name of Action Management
- [BCW-10138] Tenant creation fails if ID contains capital letters
- [BCW-10152] “Created On - End Date” filter for tasks does not show correct entries when no “Created On - Start Date” is set
- [BCW-10156] Wrong display of connector configurations in tenant administration
- [BCW-10161] Long comments in the audit trail view are overlapped
- [BCW-10181] Wrong display of editable multi-line text fields in forms
- [BCW-10213] Export of Delegated Tasks fails occasionally
- [BCW-10252] Titles of Action Management tasks are not shown properly in case the Action Management was created manually without the context of a risk or control
- [BCW-10352] Export for Delegated Tasks cannot be downloaded due to timeout
- [BCW-10359] Last task on a task list is not being shown completely
- [BCW-10419] Users with the participant role can see all the tasks in the general search when they belong to a group

- [BCW-10423] Deviation between the number of risks/controls shown in Risk / Control Catalogue and the risks/controls exported in the “Risk-Control-Matrix” export-file
- [BCW-10452] A user with role PARTICIPANT cannot access the control after setting it to obsolete, when it was accessible as it was active
- [BCW-10505] Wrong display of the name of Action Management tasks
- [BCW-10715] Dropdown values are sorted alphabetically even if there is a dedicated ordering defined

13.4 Version 4.3.10

The following bugs have been fixed in this release

- [BCW-10679] When the tasks/processes reindex is triggered for a single tenant, those unexisting tasks in the database are still shown in the UI
- [BCW-10682] Risk details view cannot be shown because the system fails to provide the risk context value

13.5 Version 4.3.9

The following bugs have been fixed in this release

- [BCW-10640] Error rendering the risk details view when the risk context field is customized

13.6 Version 4.3.8

The following bugs have been fixed in this release

- [BCW-10553] When a user cancels an “Action Management” task, the state of the related case document is not updated to “Canceled”
- [BCW-10563] An outdated configuration in .env file prevents the system to start using biccloud.sh tool

13.7 Version 4.3.7

The following bugs have been fixed in this release

- [BCW-10504] Action Management catalog entries cannot be accessed if a Participant user is only involved through a user group to this Action Management instance

13.8 Version 4.3.6

The following bugs have been fixed in this release

- [BCW-10441] Risks and Controls do not get updated properly when a depublished diagram gets published again

13.9 Version 4.3.5

The following bugs have been fixed in this release

- [BCW-10177] Wrong visualization of filter facette entries in case they have a huge number of hits
- [BCW-10357] Tasks in “MyBIC” view chart do not represent the real amount of tasks for each process
- [BCW-10394] Form errors view not shown when the system fails rendering a form

13.10 Version 4.3.4

The following bugs have been fixed in this release

- [BCW-10316] Two active versions for the same risk/control in the system

13.11 Version 4.3.3

The following bugs have been fixed in this release

- [BCW-10171] Action management catalogue fails to filter by users that have a forward slash in their name
- [BCW-10180] In case of many risks/control-versions the excel export may run into a timeout exception
- [BCW-10219] Wrong facet name on German UI

13.12 Version 4.3.2

The following bugs have been fixed in this release

- [BCW-10093] Heavy load on the system may lead to empty drop-down values inside forms
- [BCW-10094] IKS Matrix report doesn't show the obsolete controls
- [BCW-10101] Risk Catalogue and Control Catalogue show wrong numbers of entries
- [BCW-10107] Automated workflow starts are triggered for “on demand”/“occasionally” interval if the corresponding date is set
- [BCW-10108] Apigateway timeout makes not possible to download the IKS Matrix

13.13 Version 4.3.1

The following bugs have been fixed in this release

- [BCW-9972] Risks and Controls imported from BPD do not show their correct status in BPC after depublishing
- [BCW-9974] The 2nd Context Subcategory is not shown properly in Risk Details in certain scenarios
- [BCW-9984] In some cases not all data gets removed properly when a tenant cleanup is triggered
- [BCW-10046] Cleanup Tenant and Delete Tenant features may fail due to a request timeout
- [BCW-10091] Error handling obsolete flag in forms

13.14 Version 4.3.0

New features

The *Risk Catalogue* now contain two additional columns and corresponding filter facets which make it easier to distinguish the risks. They allow to filter them by its connected activity or the diagram, where the risk was imported from. This improvement is part of the standard-configuration of BIC Process Control. Customers who has an individual configuration of the table columns and filter facets of the Risk Catalogue keep their existing one. Some of them may already have this option in their individual configuration.

Most of the main views received an improvement in its loading behavior.

The connector got a big performance improvement especially for large diagrams.

The following bugs have been fixed in this release

- [BCW-9548] Wrong access rights on forms folder in the docker-client may break loading a form
- [BCW-9565] Missing log information in case a task delegation fails
- [BCW-9654] System may not be able to delete a risk/control-version when its retention period ends
- [BCW-9656] Wrong message shown in the system in case of updating an user with an already existing account
- [BCW-9730] When filtering the users in the User Management, the user counter is not updated
- [BCW-9751] Small issue in German online help
- [BCW-9853] Connector log is printing the whole diagram data in “DEBUG” log level
- [BCW-9858] In case the “obsolete” state of risks/controls is managed by BIC Design, BIC Process Control may duplicate them
- [BCW-9859] Obsolete risk shown as Not Approved after depublishing a diagram from BPD
- [BCW-9861] Link to risk context missing in risk details
- [BCW-9869] Wrong color-scheme for connector activation-switch in tenant administration
- [BCW-9870] Properties of risks/controls based on drop-downs are shown in the wrong language inside exports
- [BCW-9880] Calendar shown partially when selecting a new task due date
- [BCW-9920] Loading indicator bar disappears directly after triggering something (for example an excel export)
- [BCW-9921] Misleading initial Message visible in Group Management and User management when loading a larger amount of entries
- [BCW-9959] Wrong search results inside the task search when entering a search term
- [BCW-9967] Misleading error message in case a bulk delegation of tasks fails
- [BCW-9976] Import of advanced connector configuration in the tenant administration fails

13.15 Version 4.2.2

The following bugs have been fixed in this release

- [BCW-9844] Large diagrams lead to a very high load in the connector and slow down the whole application for users

13.16 Version 4.2.1

The following bugs have been fixed in this release

- [BCW-9568] The initial calculation of a next-date (Risk Assessment etc.) in the connector shows the same day as result in case the fallback interval is set to one day
- [BCW-9708] Wrong behavior of facets in case a facet value contains special characters
- [BCW-9735] Spring Boot Admin is restarting many times
- [BCW-9750] Task links in the daily notification are not shown for users belonging to a default tenant.
- [BCW-9797] Duplicated users in the user management section
- [BCW-9803] Task delegation e-mail does not contain link to the task
- [BCW-9805] The Connector fails to write back to BIC Process Design
- [BCW-9854] Selecting next test of design date inside “Test Of Design” workflow does not consider the corresponding interval as upper limit

13.17 Version 4.2.0

New features

BIC Process Control received a redesign focusing on how the application is shown on mobile devices.

As part of this redesign, the tables views inside catalogues got their own kind of visualization for mobile devices. Instead of showing a table, the view shows its entries similar to the already known task lists.

“MyBIC” and “Profile” views were also slightly redesigned in general.

In task lists like *Search* or *My Tasks* it is now easier to distinguish between completed and active tasks.

If a task is delegated in one of the task lists, the task will directly show the newly assigned owner of the task.

The following bugs have been fixed in this release

- [BCW-9225] BIC Design Connector - The section of Data transfer language in the details of risks and controls is not showing below to Risk/Control Responsible
- [BCW-9242] BIC Design Connector - If a risk is set to obsolete in BPD and the obsolete flag is part of the import mapping, connected controls are not set to obsolete as well
- [BCW-9291] Tenant administration - Inside the tenant overview, longer contact addresses cover the date of registration column
- [BCW-9374] BIC Design Connector - Risks and controls marked as obsolete in BIC Process Design are not being transferred to BIC Process Control
- [BCW-9412] Export of Action Management Catalogue may fail because of missing data

- [BCW-9446] The system fail to identify the newest version of a customized form
- [BCW-9550] Wrong health check configuration for email service
- [BCW-9599] BIC Design Connector - The version comparison do not consider the grc owned fields properly
- [BCW-9600] BIC Design Connector - Missing new risk/control version in BPC when it is removed from the BPD diagram
- [BCW-9601] BIC Design Connector - Multivalued attributes produce wrong log entries when the connector process the diagram data
- [BCW-9603] BIC Design Connector - Synchronization feature is not working as expected
- [BCW-9631] Rendering of risk details or control details fails in case the form definition contains field which does not exist inside the object data
- [BCW-9632] BIC Design Connector - Version comparison of risks/controls may ignore specific fields which may prevent the connector from updating the risk/control
- [BCW-9639] Error parsing dates when the retention period scheduler is executed
- [BCW-9643] Wrong configuration of the retention period scheduler job
- [BCW-9645] Rendering of forms containing checkbox attributes may fail and shows a partial form as result
- [BCW-9651] Wrong tooltip when hovering user entries in task lists, forms or filter facets
- [BCW-9655] In case the system fails to handle the retention date, the log message shows too much information
- [BCW-9657] User deletion is not possible even if the user is not used actively in tasks and risks/controls anymore
- [BCW-9706] Wrong behavior when updating the accepted repositories for an existing connector configuration
- [BCW-9718] Incomplete data when loading forms with dependent fields
- [BCW-9727] Filter facets are not available inside catalogues on mobile devices
- [BCW-9731] System may not be able to remove tasks when retention period date ends
- [BCW-9736] Active tasks are being deleted for those risks/controls version whose retention date has passed
- [BCW-9742] Error when deleting a tenant from the tenant administration
- [BCW-9743] Error when delegating task from the audit trail view

13.18 Version 4.1.5

The following bugs have been fixed in this release

- [BCW-9369] In some cases there are problems to handle the state of case documents (entries of the Action Management Catalogue)
- [BCW-9371] Missing support of checkbox fields inside case documents (=entries in the Action Management Catalogue)
- [BCW-9372] Daily mail notification gets maybe interrupted in case of unexpected exceptions during the “is tenant active check”
- [BCW-9376] Wrong style inside the excel template of the Risk-Control-Matrix
- [BCW-9377] Risk-Control-Matrix shows the wrong content as risk context
- [BCW-9381] An unexpected error can interrupt an indexation run of tasks/process instances

- [BCW-9431] Wrong behavior when clicking on the company logo inside the sidenav
- [BCW-9522] Retention period feature may be interrupted in case of any unexpected error
- [BCW-9551] Periodic database backups store more backup files in the system than expected
- [BCW-9559] Risks and controls reindexation process fails when having much data
- [BCW-9569] Automated database backup is not functional

13.19 Version 4.1.4

The following bugs have been fixed in this release

- [BCW-9445] System can fail to identify the newest version of a customized workflow

13.20 Version 4.1.3

The following bugs have been fixed in this release

- [BCW-9379] Implement a retry mechanism in the risk and controls reindex process to make it more resilient

13.21 Version 4.1.2

The following bugs have been fixed in this release

- [BCW-9292] Logs of the Connector only show a timestamp instead of date and time information
- [BCW-9308] Wrong users creation in different tenants
- [BCW-9354] Wrong services versions in releases v4.1.0 and v4.1.1
- [BCW-9355] Number of matching hits wrong in the AM catalogue facet values

13.22 Version 4.1.1

The following bugs have been fixed in this release

- [BCW-9113] Missing information inside the logs regarding email notifications.
- [BCW-9233] Missing information inside the log files in case of problems when the workflows automation start.
- [BCW-9250] Missleading log messages during the automated workflow start.
- [BCW-9252] BIC Design Connector: the version comparison do not consider the tenant specific grc owned fields properly.
- [BCW-9257] Rebuild of the case document index may fail in case of unexpected errors.
- [BCW-9266] Admin bulk operations inside the search only affect to 20 entries instead of to all the selected entries.
- [BCW-9267] The task export sometimes misses the creation date of process instances or shows unexpected values for it.

- [BCW-9270] Uncomplete explanation of the introduction of the retention period feature inside the upgrade notes.
- [BCW-9272] Automated email notifications may get stuck in case of invalid recipients.
- [BCW-9274] System requirements refer to a docker-compose version which is no longer supported by BIC Process Control.
- [BCW-9275] Tenant Administration: When you create a new tenant in the administration panel, with different inputs in the fields: “Name”, “Subdomain” and “ID”, this tenant hasn’t access to BPC.
- [BCW-9288] Participants cannot access properly to risks/controls catalogue different views in case of the risk/control has group assignments.

13.23 Version 4.1.0

New features

Imported controls from BIC Process Design now offer a similar deep-link to its diagram, like it is already available for risks. Like the existing “*Link to Risk Context*” for risks, the control details now have a property “*Link to Control Context*”. When you click on the link, you will navigate into the published diagram where the control comes from and the control will be selected.



Whenever a process is started automatically (Risk Assessment, Test of Completeness, Test of Design, Test of Effectiveness, Performance of Control) based on its corresponding “Next date of...” property, in addition to the updated risk / control in BIC Process Control, the risk / control will be updated in BIC Process Design as well.

The *Action Management Catalogue* can now be filtered by the *Corrective Action* property.

Administrators can now execute bulk operations inside the search view. They can do a *bulk task delegation* or a *bulk process cancellation* based on all tasks that match the the search term and the selected filter criteria. Especially the bulk task delegation will be very handy when user changes their roles in the company or must be replaced for other reasons. Bulk operations will only affect active tasks.

For archived versions of risks and controls, BIC Process Control now manages a retention period. Inside the *Archive* section administrators can define the retention period for risks and controls separately. Whenever a risk or control gets updated, the former “active” version will now count as archived and will be updated with the currently defined “*Retention period*” and based on this a calculated “*Retention date*”. The details view of each archived version contains a new section “*Archive*” that shows both new properties.

The new UI-design, introduced in version 4, received some further improvements.

- The *Audit trail* is now updated
- And we improved in general how users and user groups are visualized. On task cards, catalogue entries and the audit trail, users are now shown like this  and user groups like this .

The following bugs have been fixed in this release

- [BCW-9243] Missing or wrong memory configuration on some services
- [BCW-9240] Change of technical identifiers regarding ToC properties was not propagated properly in the connector configuration
- [BCW-9224] Wrong behavior when accessing the system without subdomain in case a default tenant is specified
- [BCW-9223] Misleading error message when the system try to find active process instances during the automated workflow start
- [BCW-9220] Daily email notifications are not being sent to the users

- [BCW-9219] Warning messages in API-Gateway because of the existing timeout configuration
- [BCW-9195] When using a customer specific primary CI color, in some cases disabled buttons shows a wrong style
- [BCW-9189] BIC Process Design Connector - checkbox attributes are handled differently compared to checkboxes inside forms which leads to unwanted object versions
- [BCW-9187] PDF version of online help still shows the old product name in the cover page
- [BCW-9174] Manual user creation fails, if the system cannot send the reset password mail
- [BCW-9172] Small visual deviation on task cards when a task has a long name and the user hovers the task
- [BCW-9116] Generated dates within the connector do not follow ISO standard properly
- [BCW-9109] Redundant explanation of pending tasks inside the online help
- [BCW-9102] BIC Process Design Connector - The risk description is not imported properly
- [BCW-9100] Wrong alignment of divider-line of tabs inside the center area
- [BCW-9097] Registration of controls workflow is not creating the corresponding tasks
- [BCW-9094] Missing logfile access in Spring Boot Admin service for the workflow service
- [BCW-9092] Date fields are not properly shown inside the Control Catalogue and its history for imported controls
- [BCW-9091] BIC Process Design Connector - In case of a diagram depublication, the active versions of risks/controls are set to “obsolete” instead of creating a new version containing the obsolete state
- [BCW-9070] Menu highlighting of the entry Running Processes in the sidenav disappears when switching to “My processes” or “Delegated tasks” tab
- [BCW-9065] Small visual deviation in some views - The header of the right “options” panel is not exactly aligned with the header in the center-page
- [BCW-9056] Missing information in the logs in case the connector cannot resolve a drop-down value during the import
- [BCW-9050] Risk Context and its related fields are not shown properly when the risk is based on the connector
- [BCW-9036] Values of text fields are shown to lowercase as facet values
- [BCW-9031] Tooltip for reset button feature inside filter facette shows wrong text
- [BCW-9002] Restart services after no disk space situation
- [BCW-8999] Small visual bug in the Action Management Catalogue table view between the context menu on the right side and the vertical scrollbar
- [BCW-8952] Missing activation for automatic migration of FileBox input fields into Attachment input fields on form definitions
- [BCW-8950] Finishing a task may lead to a ghost task entry inside the task list
- [BCW-8941] Access a system without a subdomain with no default tenant defined leads to an error instead of an “no subdomain” page
- [BCW-8912] Incorrect translation to German in the Risk Assessment
- [BCW-8911] Installation manual still makes reference to docker-compose-grc.yml
- [BCW-8910] Alignment not properly set in some fields in the read only mode of the forms
- [BCW-8909] Some outdated configuration inside docker-client

- [BCW-8906] Rendering of a chiplist form field can run into an unintended error
- [BCW-8887] Icon for Action Management process on empty MyBIC task list is wrong in the mobile version of the view
- [BCW-8861] Visual bug in the header of the heatmap view when uncollapsing the side-nav
- [BCW-8854] Show the invalid subdomain page when accessing a system without subdomain and no default tenant

13.24 Version 4.0.2

The following bugs have been fixed in this release

- [BCW-8946] BIC Process Design Connector - Import of a diagram can fail when a user creation during the import fails
- [BCW-8979] Java memory configuration is not effective for all boot services
- [BCW-9024] DMN evaluation fails in case a input-column is based on a drop-down AND the drop-down value has an unexpected reference
- [BCW-9032] Filebox runtime migrations not working for risks and controls details view

13.25 Version 4.0.1

The following bugs have been fixed in this release

- [BCW-8856] BIC Process Design Connector - NPE inside enum-converter in public cloud
- [BCW-8889] BIC Process Design Connector - Defined data transfer language inside the connector configuration is ignored
- [BCW-8892] BIC Process Design Connector - Version comparison for risks and controls seems not to work properly
- [BCW-8860] KIE Workbench creates massive log-entries regarding the keystore, which messes up the logs a lot
- [BCW-8865] Exporting a Risk Control Matrix the fields „Control Owner“ and „Control Tester“ stay empty even though the fields are filled
- [BCW-8872] Invalid values for Postgres container configuration in .env file
- [BCW-8883] When a user is updated (e.g. changed e-mail address), only the control owner gets updated in existing controls
- [BCW-8905] Custom forms service has a misleading name inside Spring Boot admin service

13.26 Version 4.0.0

New features

With this major release, **BIC Process Control (BPC)** received an overall *redesign*. This new style of the UI will be applied to BIC Process Design and BIC Process Execution in the future as well. One of the main goals of the redesign was to provide more space for the content in the center area by keeping a good and easy access to the main views of BPC. This goal was achieved by reducing the sidebar on the left side.

The second goal was to simplify the way how users navigate inside the application when it comes to hierarchical navigation, for example navigating from the *Risk Details* view back to the *Risk Catalogue*. From now on, the breadcrumb will be the only available way to do this kind of hierarchical up-navigation.

In order to provide a better access to the risks and controls inside the *Risk Catalogue* and *Control Catalogue*, they can now be filtered by name and last change date. The *Action Management Catalogue* can now filtered based on the *Corrective action* of its entries.

To improve in general the handling of multi-selection facets, BIC Process Control now supports two types of visualization:

- Simple multi-selection facet (the already known visualization)
- Quick-filter multi-selection facet (new)

In difference to the simple multi-selection facet, the quick-filter variant is intended to manage a long list of facet values. In order to achieve that, the facet contains of two components:

- An input field, that allows to quick-filter the list of facet values
- A rectangle with a fixed height that contains a scrollable list of the facet values.

The Quick-filter visualization will automatically used to show a multi-selection facet, if it contains more than 15 facet-values.

The views *Search* and *Running processes* now offer an export option, providing additional information about the shown tasks. In addition to the basic task information, the export shows information about the process to which the task belongs. It also tells if the process is executed in the context of a specific risk or control.

Similar to the already known simple *Export* option available for the *Risk Catalogue* and *Control Catalogue*, the *Action Management Catalogue* now offers an export option as well.

The daily e-mail notification now only contain entries for still active tasks. In the past users may received a notice about new tasks which were finished on the same day. In order to further reduce the amount of individual e-mail notifications send by the system, an individual notification for a task delegation is only send if the delegated task has reached its due date or is already overdue.

The following bugs have been fixed in this release

- [BCW-8797] Creation of IKS-Matrix export runs into a timeout in case of huge data
- [BCW-8773] Wrong entry inside the task owner filter facet leads to red error toast when selected
- [BCW-8733] Listener error when processing a process event
- [BCW-8648] Security improvements
- [BCW-8616] User-role-administration: The shown number of users belonging to a role are limited to 100
- [BCW-8597] The Control Catalogue raises an error when sorting it by “Associates Risk”
- [BCW-8581] Cleanup tenant not working in development system
- [BCW-8576] After clicking on a menu entry in the mobile main navigation, the navigation does not close, but it should

- [BCW-8551] If the system finds a related previous task, the formfields are visualized editable instead of being visualized readonly (submit of form still not possible)
- [BCW-8548] Missing placeholder replacement in task
- [BCW-8513] Search service is not using 'FACET_LIMIT' parameters as an input for the facet queries
- [BCW-8505] After the tenant creation, the password for the e-mail connection is empty inside keycloak
- [BCW-8504] Visual Bug in admin landing page
- [BCW-8476] Missing option to hide/show the "Filter / Options" panel inside the control catalogue for a given risk
- [BCW-8466] The mem_limit configuration in docker-compose.yml files are not effective anymore
- [BCW-8448] It is possible to cancel a process without entering a reason for the cancellation
- [BCW-8440] Wrong section header levels in customization manual
- [BCW-8415] Visual bug in risk heatmap after resizing the area for displaying the heatmap (resize browser window, collaps sidenav etc.)
- [BCW-8414] Missing update of Action Management catalogue entries in case of a rename of an involved user
- [BCW-8412] When selecting a facet value inside the Action Management Catalogue all facets are shown collapsed as a result
- [BCW-8385] On customization manual the explanation for the dependency rule nonRequiredFields is incomplete
- [BCW-8373] The UPGRADE.md contains a wrong explanation about HTTPS certificate names
- [BCW-7401] Kie server and catalogue service produce log traces when launching the scheduler

13.27 Version 3.24.0

New features

We did a rebrand of the product. In order to bring **BIC GRC** closer to **BIC Process Design**, it is now called **BIC Process Control**.

Now it is possible to register a control within the context menu of a risk directly inside the *Risk Catalogue*. In this way, the associated risk is preselected.

Users will now benefit from an improved view of the controls for a given risk. When clicking on the *Show controls* entry in the context menu of a risk, the user will now navigate into a prefiltered Control Catalogue. This allow to use all the benefits of the *Control Catalogue* view (e.g. Dashboard view, filter the controls, using the export option).

The Excel export for risks and controls now supports the date cell format for date based columns, which allows to use the build in date filter of Excel. The same goes for the *Risk Control Matrix*.

When a control is set to obsolete in BIC Process Control, for example through the "Test of Design" process, then the BIC Process Design Connector will now set this control in BIC Process Design to obsolete too.

The *manage escalation task* inside the *Action Management* process now allow to extend the time for implement the action or to extend the time for review the action.

Administrators can now trigger a synchronization between BIC Process Control and BIC Process Design. Usually this is not necessary, but in some cases this option may become handy. This option is only available when the *BIC Process Design Connector* is active. Once the synchronization is triggered, the system will update the risks/controls based on the diagrams stored in the stage "publication" of the connected BIC Process Design tenant.

The following bugs have been fixed in this release

- [BCW-8372] 'Risk Assessment' produces 400 HTTP error when requesting catalogue information for empty ids
- [BCW-8366] Wrong explanation in customization manual regarding configuration of process due date interval
- [BCW-8358] Installation manual still refers to an existing first tenant after a greenfield deployment
- [BCW-8301] BIC Process Connector: Missing documentation of the feature to deny the import of risk/controls because of empty BIC Process Control fields
- [BCW-8266] Obsolete checkbox is not rendered in a proper style inside forms
- [BCW-8259] Headline of Action Management Catalogue is not shown properly
- [BCW-8246] BIC Process Design Connector: custom checkbox attributes are not properly transferred to checkbox BIC GRC risk/control checkbox properties
- [BCW-8245] BIC Process Design Connector fails to parse response from BIC Process Design in case on validation errors during write back to BIC Process Design
- [BCW-8165] Logs are not accessible in spring boot admin service
- [BCW-8154] After cleanup a tenant, old SOLR tasks and processes documents are not removed during index rebuild
- [BCW-7917] Action Management: Escalation is not triggered properly when exceeding the "Review date"
- [BCW-7908] Action Management Catalog is not initially sorted by update time
- [BCW-7822] Control name not properly replaced in task description
- [BCW-6617] Text attributes not writing back to BIC Design when sending an empty value
- [BCW-5272] In some situations the due date for process is not calculated properly

13.28 Version 3.23.2

The following bugs have been fixed in this release

- [BCW-8351] BIC Process Design Connector: When mapping a enum attribute to a GRC field with a huge number of drop-down entries, the mapping can fail
- [BCW-8355] Restore of main PostgreSQL dump during 3.20.0 update step leads to errors

13.29 Version 3.23.1

The following bugs have been fixed in this release

- [BCW-8273] - Fix UPGRADE.md since version 3.20.0 to make clear the steps for upgrading PostgreSQL

13.30 Version 3.23.0

New features

Now it is possible to register a control within the context menu of a risk inside the *Risk Catalogue*.

In order to improve the readability of bigger numbers thousands separator are added to number fields like the risk quantitative fields (“Impact (EUR)”, “Risk Expectation (EUR)”).

An administrator cannot delete users who have active tasks assigned to them.

The following bugs have been fixed in this release

- [BCW-7818] Issue filtering tasks in ‘Running Processes’ / ‘My Processes’ where the group names contain “&” characters
- [BCW-7945] Connector service must extract the attributes values in an ordered way from diagram entities and nodes
- [BCW-7946] Services build fails when getting the Ubuntu Security Updates
- [BCW-7993] As a german administrator, I want to have all the german translations of Tenant Administration UI
- [BCW-7995] As an administrator, I want the GRC scheduler to avoid launching the fallback tenant processes if the schedulers of a tenant are deactivated
- [BCW-7999] Connector service fails in specific cases during request of the newest version of a risk or control

13.31 Version 3.22.1

The following bugs have been fixed in this release

- [BCW-8273] - Fix UPGRADE.md since version 3.20.0 to make clear the steps for upgrading PostgreSQL

13.32 Version 3.22.0

The following bugs have been fixed in this release

- [BCW-7815] - Wrong german translation for ‘net_impact’ in ‘Test of Completeness’ process forms
- [BCW-7902] - Missing delegation comments inside tasks audit trail
- [BCW-7910] - Error toast with HTTP 404 error is shown when changing pages in ‘Action Management’ catalogue

13.33 Version 3.21.2

The following bugs have been fixed in this release

- [BCW-8273] - Fix UPGRADE.md since version 3.20.0 to make clear the steps for upgrading PostgreSQL

13.34 Version 3.21.1

The following bugs have been fixed in this release

- [BCW-7798] - Security improvement

13.35 Version 3.21.0

New features

The Risk and Control Catalogue now offers access to related ‘Action Management’ documents from each element menu.

The link for imported risks and controls now points to the specific object inside the diagram in BIC Process Design.

Data transfer language now it is shown in the details view for imported risks and controls.

From now on, users cannot be deleted if they are responsible of any active risk or control.

The following bugs have been fixed in this release

- [BCW-5155] - Wrong due date calculation for scheduled tasks if next process date is in the past
- [BCW-6379] - The charts are not aligned inside the Dashboard views when the screen width is reduced
- [BCW-6945] - Duplicated Action Management tasks with the same ID's and Audit trails
- [BCW-7258] - Dependency rules are not working for fields that are part of the subforms
- [BCW-7278] - Missing margin-bottom at the end of the “Profile” section when there are several roles or groups shown
- [BCW-7378] - Typos in the pop-up messages shown during the “Registration of Risks/Controls” processes
- [BCW-7379] - Obsolete controls are not properly displayed inside the Risk Catalogue Excel export files
- [BCW-7559] - The “Pending tasks” title is not shown if the import of risks/controls does not have the correct data transfer language setup
- [BCW-7594] - Lack of validation regarding user-related fields that are not mandatory
- [BCW-7602] - Connector service fails to send all the data transfer language information to BIC GRC
- [BCW-7607] - Incorrect count of group members when visualizing the details of a given user
- [BCW-7635] - After hiding the sidebar in the Heatmap tab, the sidebar and the Options menu do not behave responsively
- [BCW-7639] - Using the breadcrumb to navigate back in Case Document catalogues throws an error and leads to an undefined route
- [BCW-7758] - ‘risk_control_matrix_de.xlsx’ template is missing from GRC reports
- [BCW-7779] - Filtering fails for ‘Boolean’ data type facets in risks and controls catalogues
- [BCW-7781] - Users creation in batch fails due to delays in requests from Keycloak

13.36 Version 3.20.1

The following bugs have been fixed in this release

- [BCW-8273] - Fix UPGRADE.md since version 3.20.0 to make clear the steps for upgrading PostgreSQL

13.37 Version 3.20.0

New features

Through the **Search**, users can now easily identify if a given task has been finished or canceled, based on the introduction of the new filtering state “Canceled”. A task gets the “Canceled” state when the corresponding process is canceled by the system or by the Administrator user.

We have introduced a new improved way how the system manages the uploaded files.

The mandatory *Next Date Of...* fields inside the different forms are now turned into optional if the interval selected by the user for that particular process type is either “On demand” or “Occasionally”.

From now on, if the same task is delegated multiple times to different users, it will be shown in the *Delegated tasks* views of all the users that executed the delegation of that task until it gets finished or canceled. As long as it is shown in the *Delegated tasks* view, the user can track the state of the task.

Redesign and improvement of the following views:

- When a user tries to open a task that is already canceled, he/she will visualize a message informing that the task has been canceled
- The number of available catalogue entries is now shown in a consistent way inside the breadcrumbs

The following bugs have been fixed in this release

- [BCW-4359] - Clicking on link forces browser to ask if the user wants to leave the website
- [BCW-4557] - When attaching a file during the Risk Assessment, it can be seen inside the Details view before finishing the process
- [BCW-6130] - When attaching a file to a particular risk/control process form, it is also displayed in all the previous entries inside its “History” section
- [BCW-6437] - When delegating a task to another user, the new trace shows the wrong chip until you refresh the browser or leave the view
- [BCW-6649] - Attachment from a previous process instance is still visible in a new process instance
- [BCW-6658] - Security improvement
- [BCW-7061] - When a user name is modified, the corresponding filter facet is not updated inside the catalogues
- [BCW-7134] - Inside the ‘Controlled Risk’ section of the New Control form, risks are not being properly filtered by their “Risk Context Category”
- [BCW-7165] - When a user name is modified, the corresponding filter facet is not updated in the task-related views
- [BCW-7303] - The responsibility labels and chips disappear from the details view of a given risk or control after deleting the assigned user or group
- [BCW-7313] - Inside Action Management date validations might not work when there is an assigned Reviewer and the “Manage escalation of action” task is triggered

- [BCW-7316] - After changing the value of the 'Execution interval' field in BIC Process Design, it is not properly updated in BIC GRC after the publication of the diagram
- [BCW-7318] - Wrong Toolbar icon in Control Catalogue "Dashboard" mobile view
- [BCW-7320] - The "Task already finished" screen does not show its intended new style
- [BCW-7323] - Wrong 'Description' values for Action Management processes triggered as a result of new risks or controls with next dates too far in the future
- [BCW-7349] - Navigation might get stuck after accessing Action Management processes automatically created by the system
- [BCW-7351] - In some cases the context menu options do not show their tooltip
- [BCW-7363] - Dependency rule requiredFieldNotEmpty does not work the first time when it is the only one and a filled form is loaded
- [BCW-7369] - The "Last Test of Design" date is initially not shown after creating a control through the Registration of Controls process
- [BCW-7381] - Reset of a date-picker field is not persisted after the form is submitted
- [BCW-7384] - In some cases, asterisks are kept next to the labels of fields that switch from mandatory to optional
- [BCW-7394] - Possible NullPointerException in GRC scheduler process if the configuration for some of the existing tenants is missing
- [BCW-7450] - Additional Case Document catalogues do not load the view when navigating between each other
- [BCW-7452] - Additional Case Document catalogues do not load the valid facets for each catalogue
- [BCW-7453] - Additional Case Document catalogues do not show a valid breadcrumb
- [BCW-7468] - Additional Case Document catalogues should obtain the title from the localization service

13.38 Version 3.19.4

The following bugs have been fixed in this release

- [BCW-9001] - Java memory configuration is not effective for GRC service

13.39 Version 3.19.3

The following bugs have been fixed in this release

- [BCW-8946] - BIC Process Design Connector - Import of a diagram can fail when a user creation during the import fails

13.40 Version 3.19.2

The following bugs have been fixed in this release

- [BCW-7798] - Security improvement

13.41 Version 3.19.1

The following bugs have been fixed in this release

- [BCW-7789] - Security improvement

13.42 Version 3.19.0

New features

The Risk Catalogue and Control Catalogue now offer access to the list of pending tasks for a given risk or control. This section can be visualized by selecting the context menu option **Pending tasks** or by clicking on the numerical chip of a given catalogue entry.

The *Filter* facets now initially show 10 entries and offer a *Show more/Show less* option if there are more than 10 entries available. Selected filtering values are now moved to the top of the Filter facet. Now users can unselect all the selected filter values of a given facet.

From now on, the Excel *EXPORT* contains the same content that is shown to the user, based on the chosen filtering, inside the table view of the Risk and Control Catalogues.

When selecting the associated risk for a new control as part of the *New Control* process, the available risks are now ordered by their creation date from the newest to the oldest.

The information that is shown for associated controls of a risk inside the **Risk Assessment** is now harmonized with the details page of a control.

Improvement of the following views:

- The headlines inside the options area on the right side will stay visible when scrolling inside the options area. For example: inside the Risk Catalogue and Control Catalogue, the tab *Options* will be directly accessible, even if the user scrolls down inside the active tab *Filters*
- Inside the user details view of the Administration section, now the user name is mentioned in the user roles and user groups headline, instead of the user email address

The following bugs have been fixed in this release

- [BCW-5711] - Wrong toolbar icon in Risk Catalogue “Heatmap” mobile view
- [BCW-6232] - Risk name not rendered in the Action Management task description
- [BCW-6260] - Error when creating a new user role with a space in its name
- [BCW-6805] - Dashboard performance issues in all catalogues
- [BCW-6833] - Custom risk field is not present in IKS Matrix Excel report file but in risks Excel report
- [BCW-6861] - Same icon used for “Applications” and “GRC Risk Cockpit” entries
- [BCW-6865] - Wrong label for the “Comment on Result of Test of Design” column inside the ‘Controls’ tab of the Risk Catalogue Excel export file

- [BCW-6943] - “Link to Risk Context” is running out of bounds when having a very long URL
- [BCW-6957] - In the mobile view of BIC GRC, the Risk Catalogue shows a duplicated side scrollbar as part of its table view
- [BCW-6965] - Action Management not triggered after rating a risk/control as obsolete
- [BCW-6966] - Modifying certain attributes in BIC Process Design for a given risk/control duplicates the risk/control when publishing again the corresponding diagram
- [BCW-7028] - In the Loading screen, the text is always displayed in English regardless of the browser language
- [BCW-7079] - Risk Catalogue data table should have 100% width
- [BCW-7092] - The name of the controlled risk is not shown inside the “Show controls” section when using any of the responsive views
- [BCW-7133] - If a process is finished after rating a risk or control as obsolete, results are not being properly updated in the Filter menu
- [BCW-7138] - Wrong style of filters divider lines
- [BCW-7141] - If a control is rated as obsolete, the next finished process will display a wrong Audit trail inside the History section
- [BCW-7159] - The “Audit trail” view gets out of width after delegating a task with a long comment
- [BCW-7201] - Inside sub-forms, the separation between read-only fields and divider lines is not correct
- [BCW-7225] - The Test of Completeness form does not display ‘Cause, Trigger and Impact’ (root_cause) and ‘Risk Response’ (risk_response)
- [BCW-7226] - The BIC Process Design connector is not able to update the Method when performing the daily scheduled task
- [BCW-7239] - After downloading the Excel of the Risk Catalogue, the file is automatically open in the ‘Controls’ tab instead of the ‘Risks’ tab
- [BCW-7273] - The download of the catalogues Excel exports takes too much time
- [BCW-7275] - The style of the “Pending tasks” context menu option is not properly displayed when using Firefox
- [BCW-7277] - The tooltips of the URL’s are showing the name of the link instead of the “Open link” tooltip
- [BCW-7279] - When there are no filters applied inside the Risk or Control Catalogues, the content of the Excel exports should be ordered as the table view
- [BCW-7280] - The “Pending tasks” chip might display wrong numbers when there are attachments involved in the finished processes of a given risk/control
- [BCW-7301] - Tasks attachments cannot be downloaded
- [BCW-7310] - Certain column values are being displayed by their ID inside the Risk Catalogue Excel exports

13.43 Version 3.18.9

The following bugs have been fixed in this release

- [BCW-9003] - Java memory configuration is not effective for GRC service

13.44 Version 3.18.8

The following bugs have been fixed in this release

- [BCW-7995] - As an administrator, I want the GRC scheduler to avoid launching the fallback tenant processes if the schedulers of a tenant are deactivated
- [BCW-7999] - Connector service fails in specific cases during request of the newest version of a risk or control
- [BCW-8018] - Security improvement

13.45 Version 3.18.7

The following bugs have been fixed in this release

- [BCW-7945] - Connector service must extract the attributes values in an ordered way from diagram entities and nodes

13.46 Version 3.18.6

The following bugs have been fixed in this release

- [BCW-7929] - As an administrator, I want to have an endpoint in the connector service to force the update of imported risks and controls without republishing diagrams in BIC Design

13.47 Version 3.18.5

The following bugs have been fixed in this release

- [BCW-7072] - Filtering and tasks assignment issue related to case sensitive email addresses on import from BIC Design Connector

13.48 Version 3.18.4

The following bugs have been fixed in this release

- [BCW-7555] - Exception during user picture request due to empty data field in user profile

13.49 Version 3.18.3

The following bugs have been fixed in this release

- [BCW-7463] - Connector service selects a wrong risk or control version to update during diagrams import if the corresponding GRC object is currently marked as obsolete
- [BCW-7477] - As a developer I want to have an improved performance and memory consumption for the reindex process on risks and controls

13.50 Version 3.18.2

The following bugs have been fixed in this release

- [BCW-7411] - GRC search service Out of Memory issue processing the same message from RabbitMQ continuously

13.51 Version 3.18.1

The following bugs have been fixed in this release

- [BCW-7385] - Some risks or controls are missing during the connector service import process due to new user accounts creation failure

13.52 Version 3.18.0

New features

Inside the *Action Management Catalogue*, based on the new state “Canceled”, users can now identify if an Action Management was canceled.

PARTICIPANTS are now able to see in the *Control Catalogue* any controls linked to a risk in which they are involved as a user or user group.

Risks and controls which were set to obsolete by *BIC Process Design Connector* because of a diagram depublishing, will be reactivated in case of a republication of the former depublished diagram. A risk/control will be only reactivated if it is still present inside the new published diagram version. Reactivated risks/controls offer access to the whole history.

Improvement of the following elements:

- Harmonized font size in all forms
- Improved form readability
- Enhanced pagination of catalogues
- Increased performance of the “User groups” details view.

The following bugs have been fixed in this release

- [BCW-6609] - After opening a task inside Running processes, navigating into the Search and going back, the system throws a HTTP 500 error
- [BCW-6618] - Sidenav translation for “Maßnahmenmanagement” is not working as expected based on the browser language

- [BCW-6642] - When selecting the “Rate control as obsolete” option inside an overdue “Test of Design”, the system still requires date fields to match at least the current date
- [BCW-6648] - Reset of a dropdown field is not persisted after the form is submitted
- [BCW-6690] - Security improvement
- [BCW-6706] - Dates used as filtering options are not completely removed after clicking in the same section your user is currently in
- [BCW-6764] - Validations inside the “Define action” task form might not work after removing a selected user inside the responsibility fields
- [BCW-6845] - Hint texts for link box attributes are no longer displayed
- [BCW-6856] - When using the browser back button inside the catalogues, the page index ‘0’ cannot be reached
- [BCW-6858] - In the email notification, the attachments have no assignment to their tasks
- [BCW-6862] - In the mobile/responsive view of the application, a wrong temporary message is shown when using the Search
- [BCW-6942] - HTTP 500 when accessing certain active tasks related to undeployed containers
- [BCW-6958] - Error sorting catalogue columns
- [BCW-7008] - Security improvement
- [BCW-7014] - “Action Management” custom fields are not reflected in the Action Management Catalogue
- [BCW-7019] - The BIC Process Design hyperlink will disappear after changing a dropdown field
- [BCW-7048] - After rating a control as ‘Obsolete’, an additional trace is not being added inside its History view
- [BCW-7059] - “Controls for this risk” section will disappear after changing dropdown values in risk-related processes
- [BCW-7069] - GRC Flyway script fails on special characters

13.53 Version 3.17.1

The following bugs have been fixed in this release


- [BCW-6645] - Failing data transfer language import in connector service when the language is based on a diagram attribute

13.54 Version 3.17.0

New features

The *Risk Catalogue* and *Control Catalogue* now offer access to risks and controls which were set to obsolete. A new filter facet *STATE* has been added to the filtering located on the right side as part of the Options menu, which now contains two filtering options:

- *Active*: When checked, only active risks/controls will be shown as catalogue entries.
- *Obsolete*: When checked, only obsolete risks/controls will be shown as catalogue entries.

Obsolete risks/controls are highlighted in the catalogue by the  icon.

Similar to an active risk/control, the complete history of an obsolete risk/control is available.

Users can now check their assigned user roles and user groups inside their *Profile* section.

The user related filter facets inside the Risk and Control Catalogue now show the user's email address as a tooltip. This allows to distinguish users with the same names.

Redesign and improvement of the following views:

- User role icon throughout the application
- Dashboard resizing effect
- Risk and control details view
- Actions area fixed width

The following bugs have been fixed in this release

- [BCW-5827] - Security improvement
- [BCW-5840] - Back button in the header mobile view does not work and breadcrumbs in desktop view are not shown correctly for all Control Catalogue routes of a specific risk
- [BCW-5864] - When selecting the "Obsolete" option inside an overdue Risk Assessment task, the system still requires date fields to match at least the current date
- [BCW-5890] - Processes cannot be cancelled and tasks cannot be delegated when they were created before version 3.9.0
- [BCW-5891] - Selected filter facets inside the mobile version of the Action Management Catalogue are not maintained after entering the "Details" or "Audit trail" views and going back
- [BCW-5989] - Claimed group task is shown as delegated for the user who has claimed it
- [BCW-6061] - The deselection of the assigned role Participant inside the "Add role" view is not applied when submitting the form
- [BCW-6117] - Missing attachments when uploading several files with different formats through the context menu option "Attachments"
- [BCW-6120] - In the Action Management Catalogue the values of the filter facets for custom "chiplist" user attributes are not displayed correctly
- [BCW-6170] - "On demand" and "Occasionally" interval values behave like they were "Monthly" regarding new process instances automatically initiated by the scheduler
- [BCW-6201] - Security improvement
- [BCW-6376] - In the "Due Date" field, inside the Action Management forms, the word 'date' should be completely in lowercase
- [BCW-6424] - When a risk is deleted in BIC Process Design from an already published diagram, Solr stores wrong values
- [BCW-6436] - Action Management instances are not finishing properly when not selecting future dates inside the escalation task
- [BCW-6447] - When delegating a task related with a risk/control which has previous pending instances of the same type, the check refers to a wrong task owner
- [BCW-6453] - Input fields are not aligned correctly inside forms
- [BCW-6455] - Inside the forms where there is a link input field, it looks editable after submitting the form
- [BCW-6466] - There is no margin at the bottom of the different sections inside the Administration
- [BCW-6495] - When cancelling a process the "process cancellation popup" do not disappear when the system is not able to send the cancellation notifications

- [BCW-6510] - Placeholders are replaced with JSON content instead of the real string after Solr reindexing
- [BCW-6511] - Wrong margin alignment of the “arrow_back” component in the details form
- [BCW-6520] - When there are two users with the same name and different emails as filtering options inside the Action Management Catalogue, both are selected when clicking one of them
- [BCW-6563] - Failing authorization control accessing with a Participant session token to a task related to another user or user group
- [BCW-6566] - Missing data migration when changing technical identifier for the field “Comment on Result of Test of Design”
- [BCW-6569] - When a user exists in Keycloak and not in the database, the BIC Design Connector will try to add again the user
- [BCW-6579] - When entering the Profile section of a newly created user, no roles nor groups are shown
- [BCW-6580] - New risks created using “Registration of Risks” process are shown in the Risk Catalogue as “Not approved” when they should not
- [BCW-6581] - New controls created using “Registration of Controls” process are shown in the Control Catalogue as “Not approved” when they should not
- [BCW-6599] - When using Firefox as the browser, text can be entered in the quantitative fields inside the risk-related forms
- [BCW-6602] - When selecting the “Overdue” filter inside the Search, already “Done” tasks are shown as part of the results
- [BCW-6606] - Inside the Running processes section, the scroll bar gets out of position when the tasks list loads more tasks
- [BCW-6608] - The title and icon for the “Link to Subject of Corrective Action” are shown inside the Details view of the Action Management Catalogue even when no content is added by the user inside the field
- [BCW-6612] - Line break not showing in Action Management Catalogue entries
- [BCW-6655] - In some cases, the application throws server internal errors when selecting user filters with matching hits inside the Action Management Catalogue
- [BCW-6657] - Participants and Analysts are able to visualize search results that they should not see when using quotes as the search term
- [BCW-6661] - After rating a control as Obsolete, the State filter inside the Risk Catalogue might show the “Obsolete” value with no matching hits
- [BCW-6665] - When delegating a task to a different user or group, they are not being shown inside the Delegated tasks tab
- [BCW-6678] - Claiming a group task and then navigating back to the previous view can lead to inaccurate filter results
- [BCW-6693] - Inside the Performance of Controls process form, date restrictions are not correctly applied in some cases
- [BCW-6694] - When using a date field as a filtering option, each interaction with the application adds 2-hour intervals into the initial selected date into the URL
- [BCW-6705] - When filtering tasks by using date fields, the selected dates are not maintained after opening the form through the Audit trail and going back
- [BCW-6740] - Default connector service configuration leads to exceptions during BIC Design method request

13.55 Version 3.16.3

The following bugs have been fixed in this release

- [BCW-7157] - Failing import of users in the connector service when the email contains capital letters

13.56 Version 3.16.2

The following bugs have been fixed in this release

- [BCW-6111] - Dependency rules do not let previous process instances tasks be submitted when having certain interval values
- [BCW-6591] - Condition in 'Performance of Controls' and 'Risk Assessment' forms require user to set a date before 1970

13.57 Version 3.16.1

The following bugs have been fixed in this release

- [BCW-6589] - Workflow service may suffer startup failures in certain installations with duplicated entries in database

13.58 Version 3.16.0

New features

Users can now filter tasks based on their **Task created**, **Task due** and **Task finished** dates, which are shown on the task cards. In order to achieve this, new filter facets have been introduced in the following task-related views:

- My tasks, My processes and Delegated tasks: *Created on*, *Due on*.
- Search: *Created on*, *Due on*, *Finished on*.

The behavior of these new filter facets is the same as the already known date facets from the catalogues. For more information regarding this topic, see how tasks are filtered in the *Running processes* and in the *Search* views.

The *Dashboards* now have a better appearance when there are no results to be shown in a chart.

Inside the *Action Management Catalogue*, the user-related filters now show the user name as the facet value, and the user email as the tooltip.

An overhaul of the Actions menus has been performed, in order to achieve a consistent design through the different sections where they are available.

Inside the *Administration* section, the *User roles* administration has been redesigned. As a result of this redesign, Administrators can now easily check how many users are assigned to a specific user role.

The following bugs have been fixed in this release

- [BCW-5730] - Selecting more than one value inside the "State" filtering option of tasks leads to wrong results
- [BCW-5734] - A duplicated error is thrown when trying to set a group restriction for Action Management inside the administration section when there are multiple entries for Action Management available
- [BCW-5743] - Manage 500 HTTP error when system tries to get a task from KIE

- [BCW-5828] - Security improvement
- [BCW-5885] - When opening a task form through the History section inside the Control Catalogue and going back, it redirects you to the Risk Catalogue
- [BCW-5961] - When a task is delegated multiple times, inside the audit trail the wrong user is shown as previous user of the task
- [BCW-5985] - Filters facets selected inside the Running processes tabs and the Search view are not removed when using the browser back button
- [BCW-6062] - Not possible to search tasks by exact term enclosing search terms in quotation marks (“
- [BCW-6063] - Inside the administration section, when clicking on an entry inside the options panel, the entry is shown in a misleading visual style
- [BCW-6154] - When delegating a task to a group inside the “Audit trail” view, the additional trace and given comment are not shown until you leave or refresh the view
- [BCW-6233] - The field “Attachments to description” inside the implement action step of “Action Management” process is editable instead of read-only
- [BCW-6248] - Wrong risk context maintained for new created risks using the “New Risk” process
- [BCW-6254] - Typo inside the german predefined measure description, when the Action Management is automatically triggered after “New Risk” or “Registration of Risk” process
- [BCW-6261] - URI limitation to 8192 bytes in search queries leads to search issues for user belonging to many groups
- [BCW-6264] - The escalation for the review step inside Action Management is triggered one day too early
- [BCW-6265] - Multiple calls to recover attachments in Risk Detail
- [BCW-6269] - Inside the User roles section, the system offers the misleading option to delete the role ANALYST, even though it is not possible to delete the role
- [BCW-6273] - Wrong style of input fields inside task delegation form
- [BCW-6275] - Wrong style of input fields inside process cancellation form
- [BCW-6283] - Parameter ‘response-key’ in dropdown fields configuration does not allow to use references to nested values
- [BCW-6346] - The explanation of “How to configure an LDAPS connection in Keycloak” inside the installation manual lacks some important information
- [BCW-6348] - The changes made in 3.13.0 in order to modify the behavior of the “last change” column inside “Risk/Control Catalogue”, did not apply to tenant specific configurations
- [BCW-6349] - When a process is canceled, it can happen that recipients receive multiple emails, because of being involved inside the process multiple times
- [BCW-6356] - When a user group is deleted, it can happen that for a given user from that deleted group, the list of groups he belongs to is temporary empty
- [BCW-6514] - A bug inside Spring Boot Admin service leads to an automatic redirect to the login screen of Spring Boot Admin when navigating
- [BCW-6515] - When selecting State filters inside the Running processes section, results might be wrong after scrolling the view

13.59 Version 3.15.0

New features

A major overhaul of the task forms was done. As part of this, a redesign was made regarding all input fields and how the forms appear. Also, from now on, it is possible to reset a dropdown field as long as it is not mandatory.

The *Audit trail* has been improved:

- When a task is delegated, users can now see by who to whom a task has been delegated and which comment was given
- When a process has been canceled, the former active task is now marked as “Task canceled” instead of “Task finished”
- The display of the “Audit trail” has been enhanced on mobile devices

When a user with the role *PARTICIPANT* is involved in controls as a single user or user group, he is now able to see the *associated risk* for that control inside the “Risk Catalogue”.

Users with *PARTICIPANT* role can now see all *Action Managements* inside the *Action Management Catalogue* that are associated with a risk or control they are involved in as single users or user groups.

From now on, the filtering of the following task related views now shows the number of matching hits:

- *Running processes*
- *Search*

The facet *STATE* does not support this feature yet.

Redesign of the following views:

- Processes view in the “Administration” section
- Process details in the “Administration” section
- About dialog in the “Help” section

The following bugs have been fixed in this release

- [BCW-4667] - When a PARTICIPANT is only involved in a control and not in the connected risk, inside the “Risk Control Matrix” the risk information is missing
- [BCW-5468] - User groups imported from “BIC Process Design” into “BIC GRC” through “BIC Process Design Connector” are created in lower case
- [BCW-5594] - Cache Issues with idpHint and SSO
- [BCW-5628] - Wrong subject headline in the email notification when a task is commented
- [BCW-5705] - Manual configuration is required after upgrade of Keycloak for new installations
- [BCW-5715] - Translation of the task state “Overdue” is not consistent through the application when having the UI in Spanish
- [BCW-5741] - File service is storing user reference as numeric id instead of user email in attachments database table
- [BCW-5813] - After cancelling a task, the Delegate option is temporary active and leads to a 500 error
- [BCW-5825] - Security improvement
- [BCW-5826] - Security improvement
- [BCW-5836] - Label in lowercase in Control Catalogue “Dashboard” view

- [BCW-5837] - Task due for tasks with currentStatus: “Created” are not turning red but are correctly shown as overdue when “Overdue” facet value is selected inside the “Search” view
- [BCW-5843] - Inside the “Test of Design” form, some mandatory fields become optional after unchecking the “Rate control as obsolete” option
- [BCW-5848] - Check of previous pending process instances does not display the task owner when it belongs to a group and is still unclaimed
- [BCW-5859] - After searching for a range of dates with no matching results inside the Risk or Control Catalogue, the column with the “Not approved” icon temporary disappears
- [BCW-5869] - In a customized “Performance of Controls” processes with timer events, the timer events trigger unpredictably (50% of times)
- [BCW-5960] - After removing a user or group from a form responsibility field and clicking elsewhere, the field gets blocked
- [BCW-5962] - When setting a new password inside the “Update your account” view, the user can be forwarded into the Keycloak user details info instead of the corresponding BIC GRC tenant
- [BCW-5968] - When using the same risk field in both axes of the “Heatmap”, the drill-down into the table view will show the wrong amount of risks
- [BCW-5971] - Inside “Running processes” and “Search” views, filter facets are not removed from the URL after unchecking them, but the view is updated properly
- [BCW-5976] - Error message is shown after adding and removing an attachment from a form and going back
- [BCW-5997] - Missing data migration when changing technical identifiers for the fields “Next Test of Completeness” and “Interval for Test of Completeness” (BCW-4880, BCW-5504)
- [BCW-6016] - Inside the “New Risk” process the field “Cause, impact and trigger” is shown as a singleline input field instead of a multiline input field
- [BCW-6017] - The email address of a user inside the user administration is not updated properly when using SAML SSO in case of a change based on the SAML response
- [BCW-6022] - Sorting of columns “Name”, “Description” or other string based properties in Risk and Control catalogues does not work
- [BCW-6051] - Translation missing in the “Audit trail” for the “Test of Design of Controls”
- [BCW-6112] - Avatars in drop-down fields are not properly aligned
- [BCW-6115] - “Administrators” and “Supervisors” cannot delegate tasks not assigned to them from the “Audit Trail” view when they also have a “Participant”/“Analyst” role
- [BCW-6124] - Design error due to no margins and form header when load a task from “Running processes” or “Search”
- [BCW-6127] - Default “Next Risk Assessment” date is not being displayed for risks imported by using the connector
- [BCW-6151] - Facets missbehaviour due to uncommon symbols
- [BCW-6153] - When a selected facet value is a substring of another facet value inside the same facet, hits belonging to this second value are shown in addition

13.60 Version 3.14.4

The following bugs have been fixed in this release

- [BCW-7457] - Risk dropdown is not properly filtered in 'New Control' forms for participant users

13.61 Version 3.14.3

The following bugs have been fixed in this release

- [BCW-7383] - Email service fails due to errors processing the same message in an infinite loop

13.62 Version 3.14.2

The following bugs have been fixed in this release

- [BCW-6147] - Daily email notifications fail if one of the messages inside it fails

13.63 Version 3.14.1

The following bugs have been fixed in this release

- [BCW-5988] - User chips in form fields are displayed slow
- [BCW-6057] - Long response time for endpoint findUserGroups / findUserRoles

13.64 Version 3.14.0

New features

The *Heatmap* now offers a drill-down:

- By clicking on a given *Heatmap* cell, users are redirected to the *Table* view that shows the risks of the selected cell
- Users can navigate back to the original *Heatmap* view by clicking the browser back button

The *Action Management Catalogue* includes now a *Dashboard* as an alternative view on Action Managements that are shown to the user. The *Dashboard* view:

- Offers an overview of the distribution of *Action Managements* based on their properties
- Shows active or finished Action Managements available in the Table view based on the user role and the active filter criteria

BIC GRC reduces the number of individual emails received by the users. From now on, task notifications are sent on a daily basis in the following cases:

- New tasks assigned to a user or user group
- *Overdue* and *Overdue soon* tasks for a user or user group

The Operational Risk Management fields (**Impact (EUR)**, **Probability (%)** and **Risk Expectation (EUR)**) are now available as filter facets inside the *Filter* area in the *Risk Catalogue*.

Redesign of the following views:

- BIC GRC loading screen
- Task delegation pop-up
- Process cancellation pop-up
- Group details in the Administration section

The following bugs have been fixed in this release

- [BCW-3261] - Overhaul the update password email template
- [BCW-4235] - When a user tries to filter tasks based on the process inside task-based views like “Search” or “My tasks”, it is not clear based on which criteria the available values are sorted
- [BCW-4688] - Email not received for Risk Assessment
- [BCW-4817] - KIE-Server docker container do not terminate on wildfly failure
- [BCW-5142] - When deleting a user that belongs to a group, the member counter does not reflect it
- [BCW-5147] - Email reminder for overdue not claimed group tasks are not triggered
- [BCW-5210] - Duplicate entry for “Action Management Catalogue” in the “Side Navigation Bar” when using the “Link to Subject of Corrective Action” for navigation
- [BCW-5224] - Inside the “Performance of Controls” form, the “Next Performance of Control” field is missing
- [BCW-5285] - Inside the charts of the “MyBIC” view, in some cases, tasks are displayed as “Overdue” when they are not
- [BCW-5362] - Email reminders for some events behave wrong
- [BCW-5363] - Special characters in Solr queries create undesired side effects, because they are interpreted as literals
- [BCW-5377] - In the Login screen, the URL for “Formación” leads to the wrong landing page when having the language set to Spanish
- [BCW-5387] - When entering the context menu option “Show controls” inside the Risk Catalogue, the name of the associated risk is not being displayed in the header
- [BCW-5388] - Wrong design of the latest version of a risk/control inside the “History” view
- [BCW-5443] - Inside form definitions, inferiorDate and superiorDate dependency rules are not working properly
- [BCW-5453] - User chips in catalog tables are not properly placed
- [BCW-5457] - “Participants” and “Analysts” are able to delegate tasks that are not directly assigned to them from processes in which they were involved
- [BCW-5461] - Different heading styles inside the catalogue views
- [BCW-5464] - When indexed data in Solr contains commas (“,”) or the equals symbol (“=”), the document cannot be converted to the UI
- [BCW-5471] - When a form field of type “textarea” (multiline) is shown as readonly, the content is shown as singleline without any linebreaks
- [BCW-5476] - Mobile and desktop versions do not use the same background color
- [BCW-5499] - While having the UI in Spanish, the value “Half-annually” is not translated properly for “Interval for Test of Design” and “Interval for Test of Effectiveness”

- [BCW-5501] - Routing inconsistencies inside the application when using the browser back button lead to a “404” or “permission denied” page
- [BCW-5514] - When using custom fields inside the excel export, the headlines are not shown properly
- [BCW-5541] - Inside task list views, when a task is “Overdue”, the task due date is not colored in red in every case
- [BCW-5584] - “Action Management” is escalated on the same day as the due date of the “Implement action” task
- [BCW-5586] - The delegation comment is not shown inside email notifications
- [BCW-5625] - In the Table view of Risk and Control Catalogues, certain enum fields do not show their tooltips
- [BCW-5626] - When selecting a facet filtering value in the catalogue an error is thrown
- [BCW-5691] - When a risk or control is imported for the first time using the “Connector”, the “Last Change” column is maintained with the wrong date value
- [BCW-5802] - Labels for drop-down values show encoded special characters instead of the real character like “<” and “>”
- [BCW-5831] - When a task is “Overdue” the task due date is not turning red
- [BCW-5845] - When cancelling a task, the email notification shows “process_cancelled” instead of the corresponding descriptive line
- [BCW-5867] - When unselecting a particular filter facet inside the catalogues and switching from the “Table view” to the “Dashboard view”, the numbers of the other facets are not properly updated
- [BCW-5870] - Case document service is acknowledging twice the messages received from RabbitMQ queue

13.65 Version 3.13.2

The following bugs have been fixed in this release

- [BCW-5752] - The system is stuck in the loading screen when entering the product
- [BCW-5760] - Buildup of case document SOLR index and task SOLR index fails after an update to 3.13.1
- [BCW-5796] - Flyway script corrupts non-default tenants

13.66 Version 3.13.1

The following bugs have been fixed in this release

- [BCW-5704] - A potential NPE inside the update analysis prohibit the proper update of risks/controls at the end of a GRC process.

13.67 Version 3.13.0

New features

The *Action Management Catalogue* has been improved. It now offers:

- The possibility to filter the catalogue entries based on *Action Management* properties. The *Filter* is located on the right side of the *Action Management Catalogue* view
- Users with the PARTICIPANT role have now restricted access to the entries of the *Action Management Catalogue* view. PARTICIPANTS are able to see actions in which they have been involved or are currently involved

The *Heatmap* has been integrated into the *Risk Catalogue*.

- Users can now use the filtering in order to define which risks should be considered to be shown inside the *Heatmap*
- To find out more about “How filtering affects the *Heatmap*?”, please have a look [here](#)

The *Audit trail* has been improved:

- The general appearance of the *Audit trail* has been updated
- The options to interact with active tasks are now available in the *Options* panel on the right side
- User chips inside the entries of the *Audit trail* are now shown regardless if the user account is still active or not

The column *Last Change* in the *History* section, now only considers the creation date of the version of a risk or control.

The *BIC Process Design Connector* now supports the import of date attributes into BIC GRC and its write back into BIC Process Design.

The following bugs have been fixed in this release

- [BCW-2699] - Stock configuration for Docker has legacy settings
- [BCW-4381] - Labels in “New processes” section mixes “process” and “workflow” when switching the language of the UI
- [BCW-4530] - The context menu option for attaching files to tasks shows different text alignments
- [BCW-4534] - When running a second search, the active filter facets are kept and as a consequence, an empty search result can happen
- [BCW-4978] - “Result of Performance of Control” values are displayed in English when having the UI in Spanish
- [BCW-5068] - It is not possible to render a new Linkbox with a custom attribute in a custom form
- [BCW-5075] - Active filter facets inside the “Running processes” are lost when opening a task and going back to the list
- [BCW-5084] - There is no email notification sent when delegating an unclaimed group task to another group
- [BCW-5123] - Delegated group tasks are not shown in “Delegated task” view
- [BCW-5159] - When I navigate from the Risk/Control Catalogue into a risk/control related view and navigate back to the catalogue, the active page of the catalogue is lost and the first page of the catalogue appears
- [BCW-5222] - Inside the Test of Design form, the “Next Test of Design” field is named “Due Date”
- [BCW-5223] - Inside the Test of Effectiveness form, the “Next Test of Effectiveness” field is named “Due Date”
- [BCW-5241] - Risk catalogue and Control Catalogue show no content (red error message) when labels in drop-down fields that should be shown as columns contain some special characters

- [BCW-5244] - The “History” section of a control is not working when accessing it through the “Show controls” option inside the Risk Catalogue
- [BCW-5280] - Using the browser back button inside the Risk/Control Catalogue, do not update the active filter facets properly
- [BCW-5283] - A “No Data” system message is being displayed for a very short time when entering any of the views inside the “Applications” area
- [BCW-5297] - In the Action Management Catalogue no “Details” and “Audit-Trail” options are available inside the context menu when the user has the role “Analyst”
- [BCW-5386] - “Analysts” are only able to see the “Details” option in the context menu in the Risk/Control Catalogue
- [BCW-5480] - “BIC Process Design Connector” does not process diagrams properly when working with many tenants at once
- [BCW-5504] - “Test of Completeness” fields “Next Test of Completeness” and “Interval for Test of Completeness” are not initialized during the first import of risks from BIC Process Design into BIC GRC
- [BCW-5545] - Sorting certain columns in Risk/Control Catalogue throws an error (red error message)
- [BCW-5560] - Wrong sort order of filter values inside filter facets of the Risk/Control Catalogue
- [BCW-5573] - When a task is delegated, the delegation notification does not show the delegation comment
- [BCW-5593] - The “Risk Assessment” process is started by the scheduler for risks published without a “Risk Owner”
- [BCW-5617] - Check of previous existing process instances not working when opening a user task form

13.68 Version 3.12.2

The following bugs have been fixed in this release

- [BCW-5466] - Special characters (“,” and “=”) used in drop-down labels will lead to an error inside the Risk Catalogue and Control Catalogue

13.69 Version 3.12.1

The following bugs have been fixed in this release

- [BCW-5241] - Risk catalogue and Control Catalogue show no content (red error message), when labels in drop-down fields that should be shown as columns contain some special characters

13.70 Version 3.12.0

New features

- Inside the *Applications* area, a new *Risk Heatmap* view is now available. Initially, it shows the distribution of risks based on *Probability* per *Impact*.
 - Users can define which risk properties are used for each axis of the *Heatmap* for further risk analysis
 - The *Risk Heatmap* takes into account all risks in the *Risk Catalogue* that are available for a given user based on his role

- The *Risk Catalogue* now offers a *Dashboard* as an alternative view on the risks that are shown to the user. The *Dashboard* view:
 - Offers an overview of the distribution of risks based on risk properties
 - Shows the risks that are available in the table view based on the user's role and the active filter criteria
- The *Control Catalogue* now offers a *Dashboard* as an alternative view on the controls that are shown to the user. The *Dashboard* view:
 - Offers an overview of the distribution of controls based on control properties
 - Shows the controls that are available in the table view based on the user's role and the active filter criteria
- The *Action Management Catalogue* has been improved. It now offers:
 - A detailed view of active or finished *Action Management* instances and
 - access to the *Audit trail* where you can trace the history of the *Action Management* process instance
- The *Audit trail* now shows *When*, *by Who* and for *What reason* a process was cancelled.
- When a process instance is launched on a scheduler basis, the *Audit trail* now shows "System" as initiator.
- Date formats inside email notifications are now set according to the language of the email.
- When filtering for pending tasks inside the *Search* or other task based views, the result contains now no overdue tasks.
- Improvements have been made in relation to the *Action Management* process:
 - The *Reminder* dropdown has been removed. The *Action Management* uses the same task based reminder feature, similar to the other BIC GRC processes
 - The *Responsible for Implementation* must be different from *Reviewer* and *Authority in Case of Escalation*
 - The values inside the dropdowns *Type* and *Status of Implementation* have now a consistent order
 - Adding the dropdown *Measure approval* to *Review Implementation* task in order to track the result of the *Review*
 - Some layout improvements inside the forms

The following bugs have been fixed in this release

- [BCW-2579] - Link inside task notification for the escalation task in "Action Management" process seems not to be functional in some cases
- [BCW-3003] - Wrong date format in German email when delegating a group task
- [BCW-3938] - Risk description not shown in the Risk Catalogue
- [BCW-4107] - When the "Due date" inside "Action Management" is maintained, the "Review date" becomes mandatory to be after "Due date", even if there is not "Review date" set
- [BCW-4110] - When a user sets his new password inside the "password reset view", the user is not forwarded properly to his BIC GRC tenant
- [BCW-4123] - BIC Process Design Connector uses the first available value of a mapped drop-down field when the attribute is not maintained in BIC Process Design.
- [BCW-4206] - Wildcard "*" is written automatically in the "Search" text box after deleting a previous search term
- [BCW-4346] - The calculation of "Risk expectation" fails, when "Impact (EUR)" exceeds 1.000.000.000.000.000

- [BCW-4355] - When selecting a different page inside the risk/control “History” view or changing the page size, the view is not updated properly
- [BCW-4393] - Installation manual is missing required parameter “referer” in specific endpoints documentation
- [BCW-4511] - For some forms the submit dialogue message is not being shown
- [BCW-4556] - Attached files during the “Re-assessment” task are visually duplicated
- [BCW-4566] - When the scheduler tries to start a process with the same correlation ID the second time, an error stack trace is shown in the logs
- [BCW-4578] - When the Risk/Control Catalogue is empty, a wrong “Loading..” message is shown
- [BCW-4646] - JVM parameter configuration for KIE Server container is not effective
- [BCW-4661] - During the “Risk Assessment” process, a second “Re-assessment” is not triggered if the risk is maintained as “Obsolete” after the first “Re-assessment” rejection
- [BCW-4668] - Send message option inside the “Audit Trail” view uses processinstanceid instead of taskid in order to generate the task URL
- [BCW-4697] - “Action Management” task is not triggered after changes in “Risk Rating”
- [BCW-4701] - Access issue to webclient due to invalid token event after server restarted leads to a UI frozen inside the loading screen
- [BCW-4721] - The email notifying the cancellation of a task refers to the task link but does not provide any URL
- [BCW-4722] - When the Risk Catalogue is empty, inside the option panel the offered “Export-Options” overlap
- [BCW-4786] - In some cases, the initials shown in userchips are calculated in a wrong way
- [BCW-4801] - Placeholder not properly replaced inside task description for Risk assessment
- [BCW-4870] - Wrong translations inside “Risk Control Matrix” excel files
- [BCW-4879] - When the “Action Management” is launched as a result of a previous process or from the catalogues, some fields inside the Action Management Catalogue are not properly displayed
- [BCW-4880] - Two columns inside the downloadable Excel file of the Control Catalogue and the “Risk-Control-Matrix” are incorrectly referred to the “Test of Completeness”
- [BCW-4884] - When “Action Management” is in the “Escalation” step, the corresponding “State” is not shown inside the Action Management Catalogue
- [BCW-4897] - “Show controls” feature from the Risk Catalogue is not working properly
- [BCW-4899] - When creating a risk through the “New Risk” process with a “Next Risk Assessment” date higher than 30D, the calculated “Review due date” is before the “Due Date”
- [BCW-4900] - When creating a control through the “New Control” process with a “Next Test of Design” date higher than 30D, the calculated “Review due date” is before the “Due Date”
- [BCW-4965] - During the “Registration of Controls” process, “Back to the previous editor” option turns certain optional fields into mandatory fields
- [BCW-4974] - Filter facets are not displayed properly inside the mobile view when the width of the screen is lower than 600px
- [BCW-4979] - Some Spanish field translations inside the Control Catalogue “EXPORT” are not consistent with the UI
- [BCW-4980] - “Processes” and “Task owner” facets are calculated in a wrong way inside the “Running processes” when the user is an “Administrator” or “Supervisor” or “Participant”

- [BCW-4982] - Name display issue in Action Management Catalogue
- [BCW-4984] - When opening the MyBIC view, the initials of the user chips are not shown, until the user hovers with the mouse over one of the chips
- [BCW-5113] - The color of group chips does not change when a group task is cancelled
- [BCW-5141] - Multi-selection filters inside the Risk/Control Catalogues are restricting the number of facet values being displayed to 10
- [BCW-5163] - Date-pickers inside the filtering for catalogues do not let the user manually introduce dates in the correct way
- [BCW-5277] - Controls associated with risks are not being displayed when entering the “Show controls” view

13.71 Version 3.11.4

The following bugs have been fixed in this release

- [BCW-5704] - A potential NPE inside the update analysis prohibit the proper update of risks/controls at the end of a GRC process.

13.72 Version 3.11.3

The following bugs have been fixed in this release

- [BCW-5201] - BIC Design Connector import empty values when the mapped attribute is maintained in several languages but not the data transfer language, instead of resolving the next mapping for the given GRC field

13.73 Version 3.11.2

The following bugs have been fixed in this release

- [BCW-5061] - Security improvement

13.74 Version 3.11.1



The following bugs have been fixed in this release

- [BCW-4861] - One internal link inside the Help is not being rendered properly

13.75 Version 3.11.0

New features

- Filters inside Risk and Control Catalogues are now displaying the total number of risks and controls that match each available facet value.
- BIC GRC now automatically resolves inside BIC GRC processes which fields of a risk or control were modified during the process. Only modified fields will be used to update the risk / control at the end of the BIC GRC process.

- A new Action Management Catalogue has been added into *Applications*: it shows dedicated entries for each active or finished Action Management process instance.
- Users chips have been added into all the tasks related views in order to easily identify who is the owner of a task. Depending on the appearance of the chip, the user can distinguish if a task is assigned to a single user  or to a user group .
- The Operational Risk Management fields (**Impact (EUR)** and **Probability (%)**) are now optional inside BIC GRC processes.
- A new chapter has been added into the Help: *BIC Process Design Connector*. This chapter covers the basic information and logic of the BIC Process Design Connector. As part of this, we explain the following topics:
 - Import of risks and controls from BIC Process Design
 - Update of risks and controls in BIC Process Design
 - Some hints regarding the system requirements
- A new chapter has been added into the Help: *BIC GRC Processes*. This new chapter explains BIC GRC Processes in detail and, as part of this, it answers the following questions for each process:
 - Who is involved inside this process?
 - Which tasks are part of this process?
 - When and how is the Action Management process triggered?

The following bugs have been fixed in this release

- [BCW-3947] - The appearance/design of “info” system messages inside the different views of the Administration area was inconsistent
- [BCW-4051] - In some cases, the search service had issues to connect to the workflow service
- [BCW-4106] - When a risk is rated as “Obsolete” all mandatory fields stay mandatory, instead of that in this case only the “Comment Regarding Risk Assessment” must be mandatory
- [BCW-4112] - The user chips inside the “Audit trail” do not show the name of the user / user group as a tooltip
- [BCW-4127] - Listed tasks on “My tasks” view do not show the assigned user
- [BCW-4226] - Listed tasks on “My processes” view do not show the assigned user
- [BCW-4227] - Delegated tasks do not show the assigned user in the “Delegated tasks” view
- [BCW-4255] - When the “Action Management” is started based on a “Performance of Control” process, the “Review due” date is maintained with a wrong date
- [BCW-4309] - When rating a control as “Obsolete” during the “Test of Design” process, some fields get empty when they should not
- [BCW-4321] - When Action Management is started from “New processes” view and a file is attached inside the “Attachments to description” field inside the initial form, the process start fails
- [BCW-4322] - When Action Management is started from “New processes” view, the description of the “Implement action” task is not properly created
- [BCW-4543] - Generated technical docs show chapter numbers twice (doc and PDF)
- [BCW-4544] - Generated technical docs (PDF) do not contain a table of contents
- [BCW-4572] - Comments made to a single task card are not being shown
- [BCW-4579] - When creating a risk with a user group as “Risk Owner” or “Risk Category Responsible”, a member of this user group with the role “Participant” is not able to see it inside the Risk Catalogue

- [BCW-4580] - A “Participant” is not able to see the controls inside the Control Catalogue where he is involved in (only BIC GRC 3.10.0)
- [BCW-4664] - A small typo inside the English risk details view
- [BCW-4666] - Filters in Risk and Control Catalogues show wrong facet values for users with the “Participant” role
- [BCW-4684] - When a user, who is logged in, changes his own email-address, the user is duplicated in the database (since 3.9.0)
- [BCW-4685] - When the Action Management process is triggered as a result of a prior process instance, the “Link to Subject of Corrective Action” contains a /main reference
- [BCW-4691] - “Options” and “Filter” labels inside Risk and Control Catalogues are not properly translated
- [BCW-4692] - Endless loading bar when navigating from Search to a “landing page” view (e.g. “New processes”, “Help” etc.)
- [BCW-4693] - Wrong label for the “Next Performance of Control” field inside the Registration of Controls process
- [BCW-4732] - In some cases the user is redirected to the 404 error page, when accessing “Risk Assessment” tasks

13.76 Version 3.10.1

The following bugs have been fixed in this release

- [BCW-5061] - Security improvement

13.77 Version 3.10.0

New features

- Operational Risk Management fields are now available inside BIC GRC forms. It is possible to maintain the *Probability* in percentage for a risk and its *Impact*, and based on this, the *Risk expectation* will be automatically calculated. These new fields are also part of the available *Export* file and *Risk Control Matrix*.
- Now it is possible to define a hint text for form fields that are shown when the field is editable.
- Redesign of the Log in screen in order to be more aligned to the BIC Process Design product.

The following bugs have been fixed in this release

- [BCW-3812] - Available values for the field “Control Effect” are not properly harmonized between BIC Process Design and BIC GRC
- [BCW-3851] - Sometimes it is possible to set the due date of a task to a date value later than allowed
- [BCW-3953] - Deleting files already attached to a form directly removes them from both Risk and Control Catalogues even without finishing the related task
- [BCW-3958] - When creating a risk or a control through the New Risk and New Control processes, the “History” section inside both catalogues shows a reference to kieserver, instead of showing the initiator
- [BCW-4035] - Some wrong labels inside the “New Control” process form
- [BCW-4131] - Typos in some “Interval for...” and “Reminder” drop-down fields
- [BCW-4270] - Version dashboard showing wrong names for GRC Search, GRC Solr and Help containers

- [BCW-4273] - Performance of Controls process instances show any attachment related to other instances
- [BCW-4276] - LDAP and SSO users are not created internally when they first log in (only 3.9.X)
- [BCW-4317] - When an Action Management is started in the context of risks or controls, the define action task does not contain the proper reference to the risk/control name in all task list views
- [BCW-4336] - User gets a notification on the task that says there is an older instance but has not link and is not accessible
- [BCW-4350] - Excel exported files of both catalogues contain more risks and controls than the corresponding catalogues because of the search index being out of synch
- [BCW-4351] - During the GRC search index creation, the system throws an exception when trying to index an empty field, instead of just handle this situation as an expected situation
- [BCW-4357] - Based on the current deployment approach for a private cloud GRC system, the new online help is not accessible for such systems
- [BCW-4400] - Error in email service trying to send email notifications to user groups which have no user
- [BCW-4514] - When a Participant enters the Risk or Control Catalogue, he is able to see all risks and controls instead of only the ones he is involved in (only affected version 3.9.0)

13.78 Version 3.9.1

The following bugs have been fixed in this release

- [BCW-4337] - Error during the reindex of risks and controls due to unexpected field value format

13.79 Version 3.9.0

New features

- Users can now access the online help, which is integrated inside the *Help* area. It contains information and examples about BIC GRC main features, and also the *Release Notes* for each version.
- It is now possible to filter the entries of the *Risk Catalogue* based on the risks properties. The filtering is located on the right side as part of the Options menu, which now contains two tabs:
 - *Filter*: When entering the Risk Catalogue, the filtering tab will be the active tab.
 - *Options*: This tab still provides the *Export* and *Risk Control Matrix*.
- It is now possible to filter the entries of the *Control Catalogue* based on the control properties. The filtering is located on the right side as part of the Options menu, which now contains two tabs:
 - *Filter*: When entering the Control Catalogue, the filtering tab will be the active tab.
 - *Options*: This tab still provides the *Export* option.
- The *History* view now looks similar to the corresponding *Risk Catalogue* or *Control Catalogue*.
- The stock configuration of the write back mapping for the BIC Cloud Design Connector has been updated.
- It is now possible to maintain user accounts in different tenants with the same email address.

The following bugs have been fixed in this release

- [BCW-3566] - BIC Design Connector: Not supported diagram stereotypes lead to ERROR log entries instead of INFO log entries

- [BCW-3571] - The available values of the “Risk rating” field in BIC Process Design are not mapped properly to the available values for that field in BIC GRC
- [BCW-3715] - Some small typos in process names
- [BCW-3728] - In some cases it is possible that “Analyst” or “Participant” roles are able to see more information inside the Search than their user roles are allowed to
- [BCW-3791] - When uploading a file to “Attachments Regarding Risk Assessment” inside the New Risk process, the attachment is not shown in the risk Details afterward
- [BCW-3813] - Test of Design of Controls not compilable with OpenJDK 11
- [BCW-3848] - There were duplicated localization entries related to facets
- [BCW-3849] - When the user is a “Participant” only involved into a control as “Execution of Control”, he cannot see the control inside the Control Catalogue
- [BCW-3890] - Wrong german headline in MyBIC view in case of no tasks to be shown
- [BCW-3892] - When navigating from Running processes to a landing page like New processes, a loading indicator appears in the header that stays, even if the view is finally loaded
- [BCW-3895] - Flickering panel when switching between tabs inside Running processes
- [BCW-3901] - During the indexation of a task, an error caused by empty data could break the search service
- [BCW-3924] - Filenames not shown after submitting form: Related to permissions problem at the file service
- [BCW-3937] - When trying to remove an attached file during the Action Management process that was just attached one process step before, an error occurred and the file could not be removed
- [BCW-3944] - Some typos inside tasks descriptions with wrong punctuation marks
- [BCW-3988] - Process listener is mandatory in processes to allow task listener to work, which may lead to problems inside customer-specific process definitions
- [BCW-4036] - When a risk is connected to an activity in BIC Process Design, the connector only identifies EPC activities properly. Therefore only, in this case, the activity name appears as “Risk Context” in BIC GRC
- [BCW-4124] - “Risk Rating” is not written back through BIC Process Design Connector
- [BCW-4216] - When opening the details of a user group inside Administration - User groups, an error occurred when there are users already in keycloak but not inside the internal user management (especially in case of a LDAP setup)
- [BCW-4217] - Risk name and Control name are not shown properly inside task descriptions

13.80 Version 3.8.3

The following bugs have been fixed in this release

- [BCW-3901] - During the indexation of a task, an error caused by empty data could break the search service

13.81 Version 3.8.2

The following bugs have been fixed in this release

- [BCW-3907] - When using a customized process, it can happen that the tasks that belong to that process cannot be opened.

13.82 Version 3.8.1

The following bugs have been fixed in this release

- [BCW-3896] - When Action Management process is started based on a workflow like Risk Assessment, the start failed, because the wrong version of Action Management process is used.

13.83 Version 3.8.0

New features

- The Users section has been redesigned. The button for adding new users has been moved to the *Options* menu bar. Also, the current number of all existing users is now being displayed in the header bar, next to the breadcrumb.
- The *Risk Catalogue* desktop view has been redesigned. The *Export* and *Risk Control Matrix* buttons are now available on the *Options* menu bar on the right side.
- The *Control Catalogue* desktop view has been redesigned. The *Export* button is now available on the *Options* menu bar on the right side.
- Users can now filter the tasks that are shown in the *My tasks*, *My processes* and *Delegated tasks* views. The available filter facets are similar to the already known facets from the *Search* view. Based on this new filter options, users can now distinguish in the *My tasks* view between tasks that are assigned to the user itself or assigned to a user group.
- As a system administrator, it is now possible to deactivate and reactivate a tenant. A deactivated tenant is not accessible anymore.

Hint: Please consult the installation manual for further information.

The following bugs have been fixed in this release

- [BCW-3316] - User service write in some cases misleading log error messages, which are not an error
- [BCW-3409] - In some cases, tooltips on the Risk and Control Catalogues appear distant from its cell
- [BCW-3560] - Chiplist in workflow forms are filtered by wrong containerId and processId but should not be filtered at all
- [BCW-3563] - When changing “Risk Context Category” in Registration Of Controls process form, the “2nd Risk Context Subcategory” will not be reset, if it was maintained before
- [BCW-3570] - A customer specific logo picture is not resized respecting the aspect ratio / the width-to-height ratio
- [BCW-3571] - The available values of the “Risk rating” field in BIC Process Design are not mapped properly to the available values for that field in BIC GRC
- [BCW-3585] - After uploading a file to a form, the filename is not shown properly if the form is opened in read-only mode

- [BCW-3596] - Avoid to show sensitive information when logging messages
- [BCW-3597] - When changing the due date of a task in MyBIC view, all tasks in the task list appear temporarily twice
- [BCW-3598] - When opening a form, the check for previous instances takes noticeable long
- [BCW-3599] - When an Action Management group task in process step “Define action” is claimed by a user, the descriptive line changes to “Define action” instead of still showing the initial descriptive line
- [BCW-3600] - When Risk Assessment process is started automatically, the Re-assessment task cannot be reached
- [BCW-3641] - TenantUUID is necessary for tenant creation, but is not mentioned in the installation manual
- [BCW-3711] - Missing authorization control
- [BCW-3712] - Password change without current password
- [BCW-3713] - Remove unnecessary information from user service requests sent back to UI
- [BCW-3717] - The facet value “Done” in the search facet “State” leads to an empty search result list
- [BCW-3718] - Some english typo in the MyBIC view
- [BCW-3719] - It is not possible to claim group tasks
- [BCW-3786] - “My tasks” view do not show group tasks where the user belongs to
- [BCW-3800] - Typo in descriptive line of Action Management (AM) task, if AM was created as a result of Risk Assessment process and the risk has the risk response “Transfer”
- [BCW-3807] - When the “Control Effect” field is changed during Test of Design process, the changed value is not persisted properly inside the control
- [BCW-3814] - Control Catalogue shows controls for one particular risk when navigating from risk details page directly into the Control Catalogue
- [BCW-3818] - In some cases, error log entries in search service do not show a stack trace, when it should have one

System Requirements

14.1 Hardware Requirements User Workstations

BIC Process Control is a browser-based tool and there is no need of a separate client installation. Nevertheless, there are hardware requirements for the computer which runs the web browser.

CPU	RAM	Network data rate
4 CPU cores	8 GB (The user workstation must have 64-bit operating system to be able to use all physical RAM)	10 Mbps or more recommended

On user workstations with less hardware resources performance of BIC Process Control will degrade. Performance may be sufficient for limited use cases.

14.2 Software Requirements BIC Process Control User Workstations

Web Browser	Web Browser Settings	Printing
Supported: Google Chrome, Microsoft Edge in the latest version, Mozilla Firefox (latest ESR) Recommended: Google Chrome	JavaScript and Cookies activated, at least 50 MB free memory for web databases	PDF Viewer (e.g., Adobe PDF)