



Archer® Exchange

Archer® Suite

6.12 P4

Implementation Guide

Individual Accountability
Management

1.0

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Release Notes

Release 1.0

This is a new release.

Chapter 1: Overview of Archer Individual Accountability Management

About Archer Individual Accountability Management

Accountability is quickly becoming a top-of-mind issue for many financial organizations both in Australia and EMEA. With regulations, like SMCR ([Senior Managers and Certification Regime](#)) in EMEA and FAR ([Financial Accountability Regime](#)) in Australia, it is important to understand individual responsibilities (especially Senior Management and/or Executives) and hold them accountable to assigned responsibilities. These regulations were put in place to provide a governance process that will reduce harm to consumers and strengthen market integrity by making organizations hold individuals accountable for their conduct and competence.

Individual accountability is now a global concept and is becoming a regulatory focus area around the world. Regulated firms are being required to identify senior managers, executives, and certain key employees, allocate responsibilities to those individuals, draw together responsibility maps for the firm, and ensure that they are fit and proper for their roles, and meet conduct and certification rules established by the regulator.

The Individual Accountability Management solution provides the framework to manage accountability for key individuals within the organization. It provides confidence and insight into accountability coverage to Executives and Operational Teams. This solution provides full visibility into individual background, eligibility and more.

Key Features and Benefits

With the Archer Individual Accountability Management App-Pack organizations can do the following:

- Identify key individuals and roles within the organization to track accountability.
- Document accountability, attestations, regulatory communication, and related events affecting accountability.
- Define prescribed responsibilities and attach to individual accountability.
- Document and track all notifications and communication with regulators.

Benefits include:

- Give confidence to Executives and operational teams alike with current insights into accountability coverage.
- Full visibility into individual background, eligibility and performance.
- High-level view of organizational accountability coverage.

Prerequisites (System requirements)

Components	Prerequisites
Archer Solution Area(s)	Archer Regulatory & Corporate Compliance Management
Archer Use Case(s)	Archer Business Asset Catalog, Archer Issues Management
Archer Applications	Contacts, Findings
Uses Custom Application	Yes. 4 Applications and 2 questionnaires required for Base Package. 1 Additional Application for FAR Add-On Package.
Requires On-Demand License	This offering does not require On-Demand Licenses, but does require a license to utilize the offering. Please contact your Archer Sales Rep for more information.
Archer Requirements	Archer 6.12 P4 and later
Partner/Vendor Requirements	N/A
Operating System	Windows Server 2012 R2
Database Server	Microsoft SQL Server 2014 (64-bit)
Services Server	Java Runtime Environment (JRE) 8 (64-bit)

Compatible Use Cases and Applications

Related Applications

Application	Use Case	Primary Purpose(s) of the Relationship
Contacts	Business Asset Catalog	<ul style="list-style-type: none"> To identify the Accountable Person.
Findings	Issues Management	<ul style="list-style-type: none"> To identify and track any findings related to accountable persons or accountability statements.
Regulatory Communications	Privacy Program Management (Regulatory & Corporate Compliance)	<ul style="list-style-type: none"> Track any regulatory communications from the compliance officer in relation to the accountability statements and related accountable person

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Incidents	Incident Management (Business Resiliency)	<ul style="list-style-type: none"> Identify and Incidents related to the accountability statements/accountable persons
Control Procedures	<p>Controls Assurance Program Management; Data Governance (Regulatory and Corporate Compliance)</p> <p>or</p> <p>Top-Down Assessment (Operational Risk Management)</p> <p>or</p> <p>IT Controls Assurance; Information Security Management System; PCI Management; IT Risk Management (IT Security Risk Management)</p>	<ul style="list-style-type: none"> You can tie your accountability statements to the control procedures that they are related to.
Control Standards	Policy Program Management (Regulatory and Corporate Compliance / IT Security Risk Management)	<ul style="list-style-type: none"> Identify any obligations related to the accountabilities and accountability statements.
Risk Register	<p>Risk Catalog; Top-Down Assessment (Operational Risk Management)</p> <p>or</p> <p>IT Risk Management; Information Security Management System (IT Security Risk Management)</p> <p>or</p> <p>Operational Scenario Analysis (Operational Scenario Analysis)</p>	<ul style="list-style-type: none"> Identify any risks related to the accountable statements and accountable persons
Evidence Repository	<p>Controls Assurance Program Management (Regulatory and Corporate Compliance)</p> <p>or</p>	<ul style="list-style-type: none"> To identify any sanctions related to an accountable person.

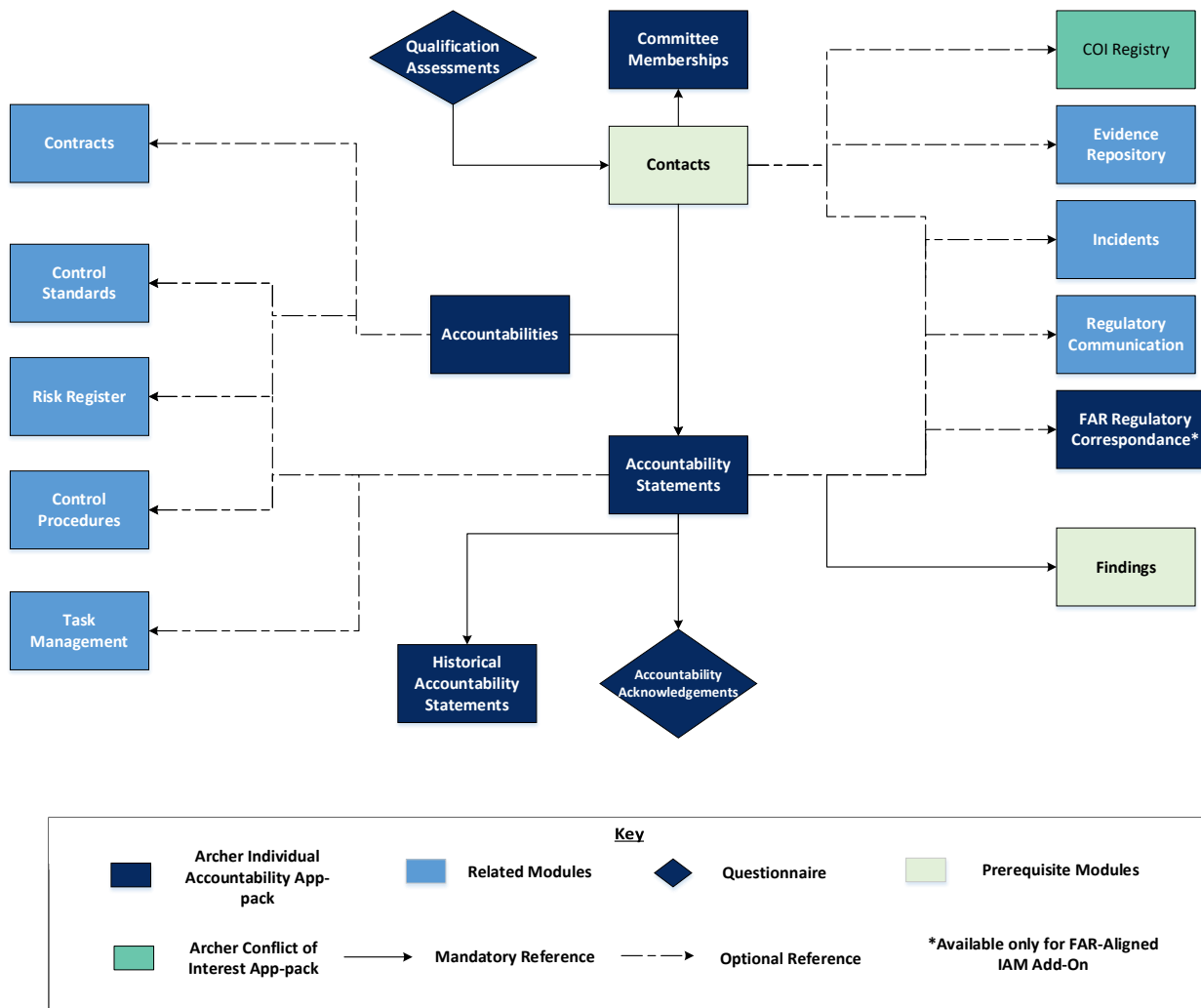
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	IT Controls Assurance (IT Security Risk Management) or Audit Engagements & Workpapers (Audit Management)	
Contracts	Third Party Catalog (Third Party Management)	<ul style="list-style-type: none"> To identify any contracts part of the accountabilities
COI Registry	Archer Conflict of Interest Management App-pack	<ul style="list-style-type: none"> To identify/map any conflicts of interest related to the Accountable Person

Chapter 2: Archer Individual Accountability Management Components

Architecture Diagram

Below shows the architectural diagram for Archer Individual Accountability Management App-Pack.



Note: FAR Regulatory Correspondence application is only available if Archer Individual Accountability Management FAR Add-On package is taken. This application is specific to the Financial Accountability Regime (FAR) of Australia.

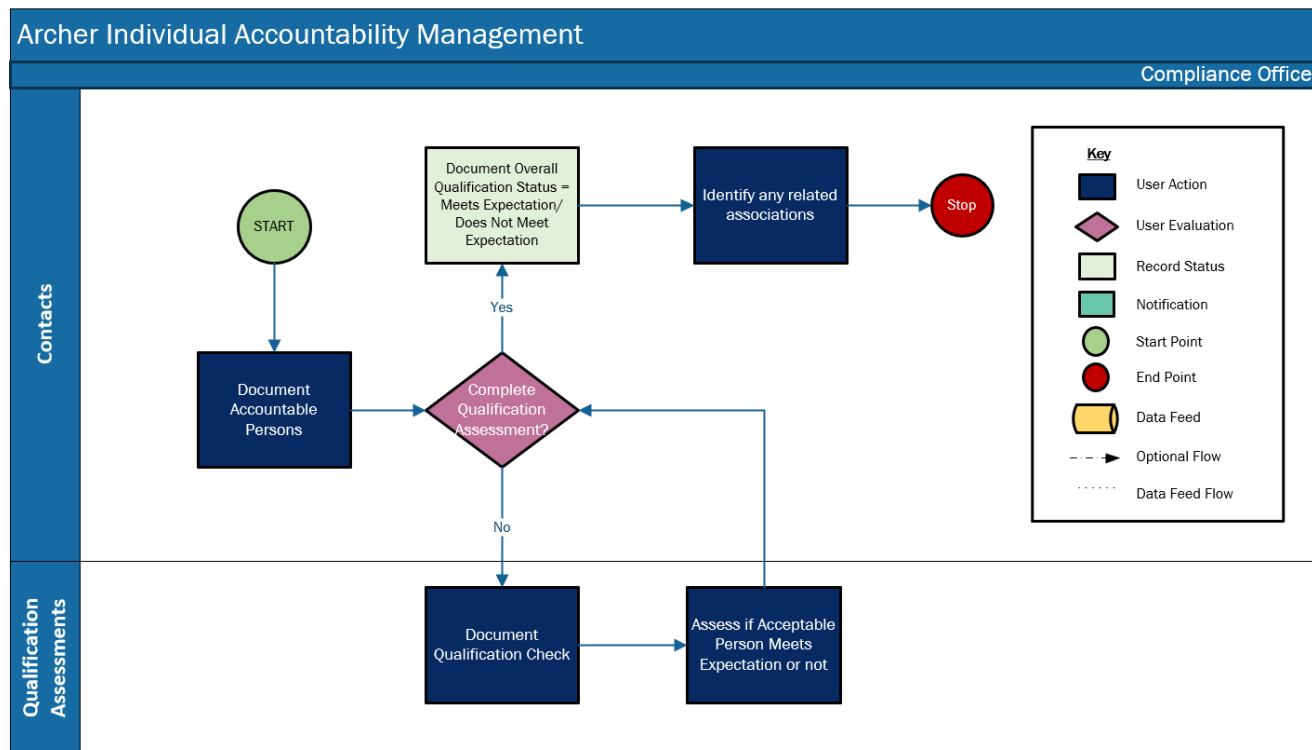
Swim Lane Diagram

The Application process begins when a compliance officer identifies/creates a contact for an Accountable Person. The compliance officer performs and tracks Qualification Assessments (like any background police checks) on the Accountable Person. The compliance officer then identifies any committees the accountable person is a member of in Committee Memberships.

The compliance officer creates an Accountability Statement related to the position and identifies the related accountable person. They'll create or relate any Accountabilities related to the position. They'll fill the record with the other necessary details and notify the accountable person to verify and acknowledge their accountability statement. An accountable Person will verify and acknowledge the statement in Accountability Acknowledgements. Once the statement is acknowledged by the accountable person the compliance officer will notify the regulatory body/contact regarding the accountability statement. The status of the communication will be tracked by the compliance officer in the accountability statement through advance workflow. Once the regulatory body approves the accountability statement will be marked as approved by the compliance officer in the statement. The approved statement will then be captured in the Historical Accountability Statements via a data feed. The statement will be monitored for any changes. If any changes in the accountable person or accountabilities are required the workflow will need to be restarted. If the accountability statement is no longer required, it can be retired.

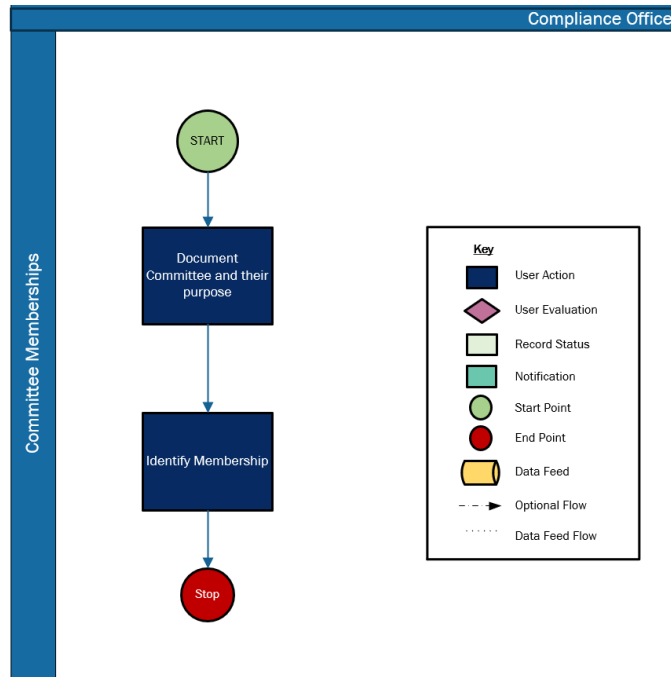
The following diagram shows the general workflow of the applications:

1. Identify the Accountable Person and complete qualification assessment.

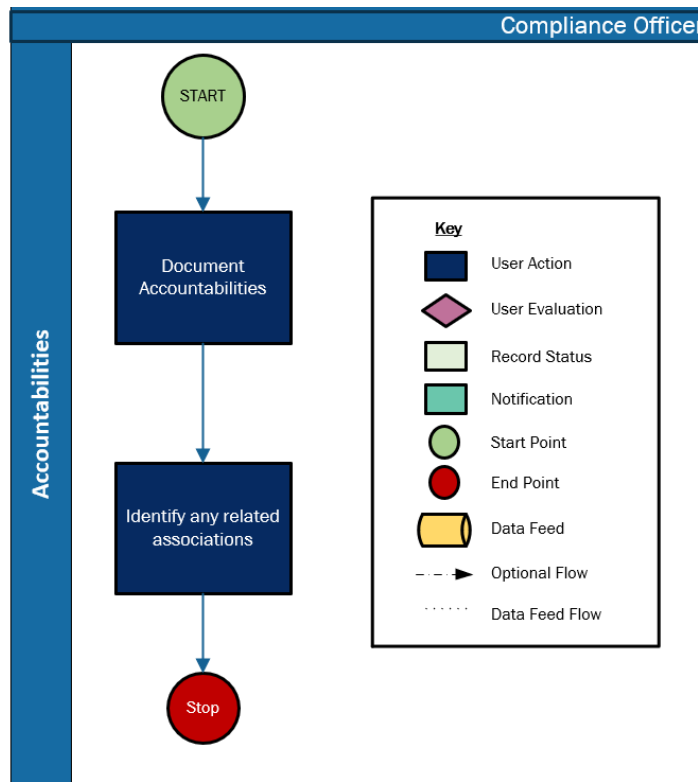


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2. Identifying any committees' accountable persons is a part of.

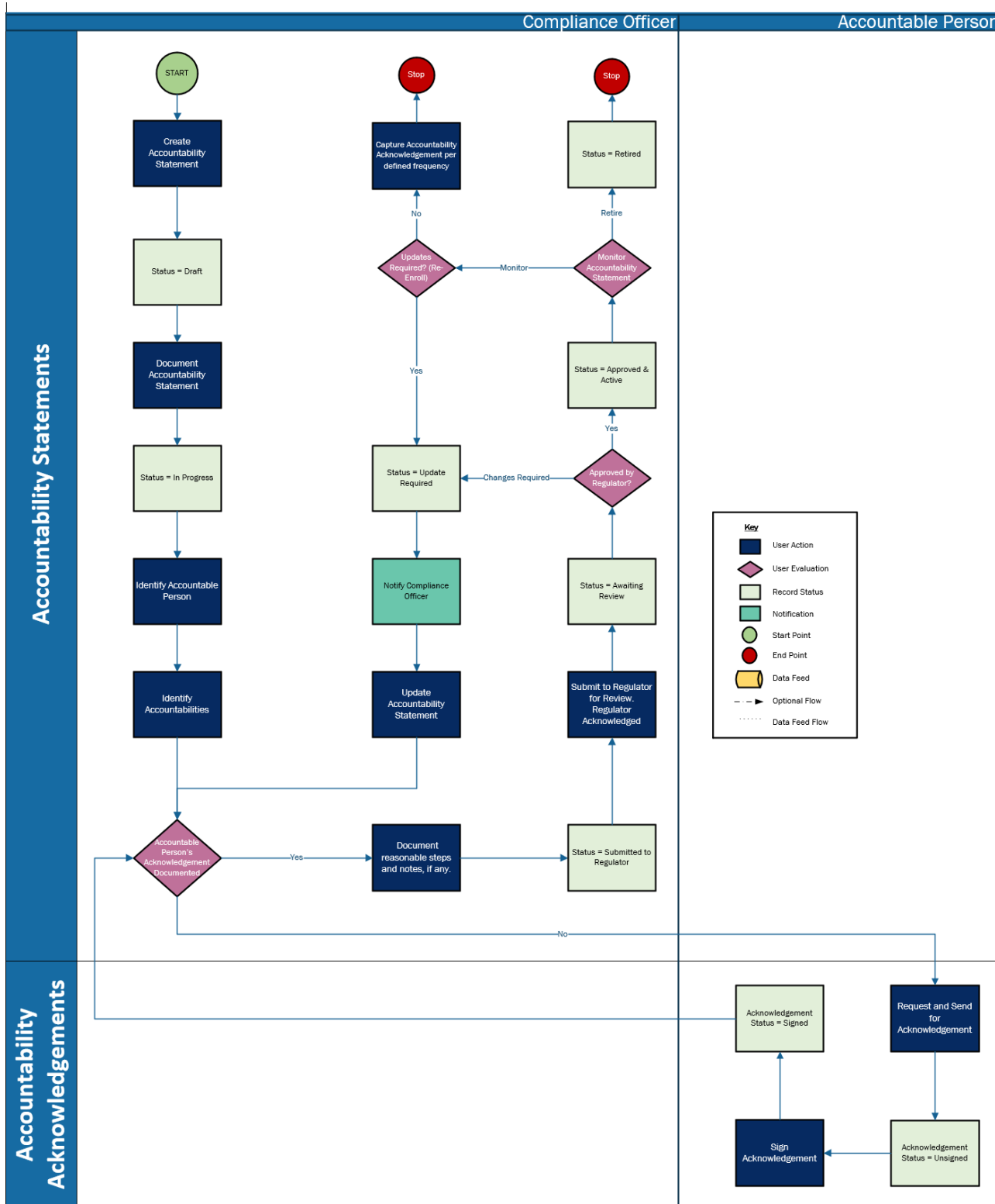


3. Document any accountabilities for the roles.



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- Document Accountability Statement for the role and identify the related accountabilities and accountable person, capture accountability acknowledgements, track Regulatory communication.



Applications

Application	Description
Contacts	The Contacts application is used to identify the Accountable Person. This serves as a central repository for contact information, is utilized across multiple areas of Archer, and contains information that is often leveraged by other use cases.
Accountability Statements	The Accountability Statements application documents the Accountable Person, their accountabilities or responsibilities, and a qualification assessment to determine if the Accountable Person is qualified to perform their role. The Accountability Statement application also identifies delegates for accountabilities and documents the Accountability Statement's review and approvals and communication with the Regulators.
Accountabilities	The Accountabilities application documents the Accountabilities within an organization. It identifies who is responsible for those Accountabilities, tying them to an Accountable Person.
Committee Memberships	The Committee Memberships application documents Committees, their purpose, and members.
Accountability Acknowledgements	The Accountability Acknowledgements questionnaire documents attestation from the Accountable Person for the Accountability Statement.
Qualification Assessments	The Qualification Assessments questionnaire captures required qualification checks and results for the Accountable Person.
Historical Accountability Statements	The Historical Accountability Statements application documents the historic details of the Accountability Statement like Accountable Person, their accountabilities or responsibilities.
FAR Regulatory Correspondence*	*This application is available only in the FAR Add-On package. The FAR Regulatory Correspondence application provides FAR-aligned forms for regulatory communication and submission of Accountable Persons.

Personas and Access Roles

The following table describes the functions that make up the application's organization roles. Depending on the organization of your company, these functions and responsibilities may vary.

Function	Description
Compliance Officer	The Compliance Officer is responsible for documenting the Accountable Persons, responsibilities, impacted areas, reporting structure, and other key information as it pertains to the individual and their responsibilities. They are also responsible for vetting the Accountable Person and providing a statement of responsibilities or accountability statement in the case of a regulatory breach. Compliance Officers are also the point of contact with the Regulators.
Accountable Person	The Accountable Person is assigned responsibilities for their role and will sign the attestation for their role and responsibilities. This person can be an Executive, Senior Manager, or any key individual within the organization that needs to provide and track accountability.

Permissions Chart

Applications	IAM: Admin	IAM: Compliance Officer	IAM: Accountable Person	IAM: Read Only
Accountabilities	CRUD	CRU	R	R
Accountability Acknowledgements	CRUD	CRU	RU	R
Accountability Statements	CRUD	CRU	R	R
Committee Memberships	CRUD	CRU	R	R
Contacts	CRUD	CRU	R	R
Historical Accountability Statements	CRUD	R	R	R
Qualification Assessments	CRUD	CRU	R	R
FAR Regulatory Correspondence**	CRUD	CRU		R
Findings		CRU	CRU	
Business Unit		R	R	
Company		R	R	
Contracts		R	R	
Control Standards		R	R	
Control Procedures		R	R	
Division		R	R	
Evidence Repository		R	R	
Incidents		R	R	
Regulatory Communication		CRU		
Risk Register		R	R	
Task Management		CRU	R	
COI Registry		R		

C = Create, R = Read, U = Update, D = Delete

**Available only in Archer Individual Accountability Management FAR Add-On Package.

Note: For detailed, page-level access rights and record level permissions, see the Data Dictionary. Out of the box, Compliance Officer is granted read, update permissions to all modules in the solution (except for Historical Accountability Statements they are provided read only) and Accountable Person is granted Read access to all modules in the solution along with update access to the Accountability Acknowledgements. Please update them as per your requirement. Users should at least have read access at record level for the applications related to Individual Accountability Management modules to view the related records.

Chapter 3: Installing Archer Individual Accountability Management

Individual Accountability Management Packages:

There are two packages available for installation:

1. Archer Individual Accountability Management 6.12 P4 Install Package: This is the base package which includes the complete flow for this app-pack.
2. Archer Individual Accountability Management FAR Add-On 6.12 P4: This is an add-on package which consists of a single application “FAR Regulatory Correspondence” and Accountability Statement Mail Merge template for FAR correspondence. For FAR regulation, if a separate application is required to track the communication with the regulatory body this package is required. This should be installed after package 1 (base package)

Installation Overview

Complete the following tasks to install the offering.

Step 1: Prepare for the Installation

1. Ensure that your Archer system meets the following requirements:
 - Archer Platform version 6.12P4
2. Obtain the *Data Dictionary* for the app-pack by contacting your Archer Account Representative. The Data Dictionary contains the configuration information for the use case.
3. Read and understand the "Packaging Data" section of the Archer Online Documentation.

Step 2: Install the Package

Installing a package requires that you import the package file, map the objects in the package to objects in the target instance, and then install the package. See [Installing the Application Package](#) for complete information.

Note: The Archer Individual Accountability Management package contains “Contacts” core application. Please refer to Chapter 4 for the list of changes added to the Contacts application. It is recommended that users perform analysis on choosing whether to install the changes through package or perform manual changes.

Step 3: Set up Data Feeds

You must import and schedule each use case data feed that you want to use. See [Setting Up Data Feeds](#) for complete information.

Step 4: Test the Installation

Test the application according to your company standards and procedures, to ensure that the use case works with your existing processes.


Installing the Package

Task 1: Back Up Your Database

There is no Undo function for a package installation. Packaging is a powerful feature that can make significant changes to an instance. Archer strongly recommends backing up the instance database before installing a package. This process enables a full restoration if necessary.

An alternate method for undoing a package installation is to create a package of the affected objects in the target instance before installing the new package. This package provides a snapshot of the instance before the new package is installed, which can be used to help undo the changes made by the package installation. New objects created by the package installation must be manually deleted.


Task 2: Import the Package

1. Go to the Install Packages page.
 - a. From the menu bar, click  .
 - b. Under Application Builder, click Install Packages.
2. In the Available Packages section, click Import.
3. Click Add New, then locate and select the package file that you want to import.
4. Click OK.

The package file is displayed in the Available Packages section and is ready for installation.

Task 3: Map Objects in the Package

Important: This step is required only if you are upgrading to a later version of [ODA name].

1. In the Available Packages section, select the package you want to map.
2. In the Actions column, click  for that package.






The analyzer runs and examines the information in the package. The analyzer automatically matches the system IDs of the objects in the package with the objects in the target instances and identifies objects from the package that are successfully mapped to objects in the target instance, objects that are new or exist but are not mapped, and objects that do not exist (the object is in the target but not in the source).

Note: This process can take several minutes or more, especially if the package is large, and may time out after 60 minutes. This time-out setting temporarily overrides any IIS time-out settings set to less than 60 minutes.

When the analyzer is complete, the Advanced Package Mapping page lists the objects in the package file and corresponding objects in the target instance. The objects are divided into tabs, depending on whether they are found within Applications, Solutions, Access Roles, Groups, Sub-forms, or Questionnaires.

3. On each tab of the Advanced Mapping Page, review the icons that are displayed next to each object name to determine which objects require you to map them manually.

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Icon	Name	Description
	Awaiting Mapping Review	<p>Indicates that the system could not automatically match the object or children of the object to a corresponding object in the target instance.</p> <p>Objects marked with this symbol must be mapped manually through the mapping process.</p> <p>Important: New objects should not be mapped. This icon should remain visible. The mapping process can proceed without mapping all the objects.</p> <p>Note: You can execute the mapping process without mapping all the objects. The  icon is for informational purposes only.</p>
	Mapping Completed	Indicates that the object and all child objects are mapped to an object in the target instance. Nothing more needs to be done with these objects in Advanced Package Mapping.
	Do Not Map	Indicates that the object does not exist in the target instance or the object was not mapped through the Do Not Map option. These objects will not be mapped through Advanced Package Mapping, and must be remedied manually.
	Undo	Indicates that a mapped object can be unmapped. This icon is displayed in the Actions column of a mapped object or object flagged as Do Not Map.

4. For each object that requires remediation, do one of the following:
- To map each item individually, on the Target column, select the object in the target instance to which you want to map the source object. If an object is new or if you do not want to map an object, select Do Not Map from the drop-down list.

Important: Ensure that you map all objects to their lowest level. When objects have child or related objects, a drill-down link is provided on the parent object. Child objects must be mapped before parent objects are mapped. For more details, see "Mapping Parent/Child Objects" in the Archer Online Documentation.
 - To automatically map all objects in a tab that have different system IDs but the same object name as an object in the target instance, do the following:
 - In the toolbar, click Auto Map.
 - Select an option for mapping objects by name.

Option	Description
Ignore case	Select this option to match objects with similar names regardless of the case of the characters in the object names.


Ignore spaces Select this option to match objects with similar names regardless of whether spaces exist in the object names.



c. Click OK.


The Confirmation dialog box opens with the total number of mappings performed. These mappings have not been committed to the database yet and can be modified in the Advanced Package Mapping page.

d. Click OK.

- To set all objects in the tab to Do Not Map, in the toolbar, click Do Not Map.

Note: To undo the mapping settings for any individual object, click  in the Actions column.

When all objects are mapped, the  icon is displayed in the tab title. The  icon is displayed next to the object to indicate that the object will not be mapped.


5. Verify that all other objects are mapped correctly.
6. (Optional) To save your mapping settings so that you can resume working later, see "Exporting and Importing Mapping Settings" in the
7. Archer Online Documentation.
8. Once you have reviewed and mapped all objects, click .
9. Select I understand the implications of performing this operation and click OK.

The Advanced Package Mapping process updates the system IDs of the objects in the target instance as defined on the Advanced Package Mapping page. When the mapping is complete, the Import and Install Packages page is displayed.

Important: Advanced Package Mapping modifies the system IDs in the target instance. Any Data Feeds and Web Service APIs that use these objects will need to be updated with the new system IDs.

Task 4: Install the Package

All objects from the source instance are installed in the target instance unless the object cannot be found or is flagged to not be installed in the target instance. A list of conditions that may cause objects not to be installed is provided in the Log Messages section. A log entry is displayed in the Package Installation Log section.

1. Go to the Install Packages page.
 - a. From the menu bar, click .
 - b. Under Application Builder, click Install Packages.
2. In the Available Packages section, locate the package file that you want to install, and click Install.
3. In the Configuration section, select the components of the package that you want to install.
 - To select all components, select the top-level checkbox.

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- To install only specific global reports in an already installed application, select the checkbox associated with each report that you want to install.

Note: Items in the package that do not match an existing item in the target instance are selected by default.

4. In the Configuration section, under Install Method, select an option for each selected component. To use the same Install Method for all selected components, select a method from the top-level drop-down list.


Note: If you have any existing components that you do not want to modify, select Create New Only. You may have to modify those components after installing the package to use the changes made by the package.

5. In the Configuration section, under Install Option, select an option for each selected component. To use the same Install Option for all selected components, select an option from the top-level drop-down list.

Note: If you have any custom fields or formatting in a component that you do not want to lose, select Do not Override Layout. You may have to modify the layout after installing the package to use the changes made by the package.


6. To deactivate target fields and data-driven events that are not in the package, in the Post-Install Actions section, select the Deactivate target fields and data-driven events that are not in the package checkbox. To rename the deactivated target fields and data-driven events with a user-defined prefix, select the Apply a prefix to all deactivated objects checkbox, and enter a prefix. This can help you identify any fields or data-driven events that you may want to review for cleanup post-install.
7. Click Install.
8. Click OK.

Task 5: Review the Package Installation Log

1. Go to the Package Installation Log tab of the Install Packages page.
 - a. From the menu bar, click .
 - b. Under Application Builder, click Install Packages.
 - c. Click the Package Installation Log tab.
2. Click the package that you want to view.
3. In the Package Installation Log page, in the Object Details section, click View All Warnings.
4. Enable Advanced Workflow in Accountability Statements and Accountability Acknowledgements.

Setting Up Data Feeds

Task 1: Configure the “Historical Accountability Statements” data feed


1. Go to the Manage Data Feeds page.
 - a. From the menu bar, click  .
 - b. Under Integration, click Data Feeds.
2. In the Manage Data Feeds section, locate and select the Historical Accountability Statements data feed.
3. From the General tab in the General Information section, select Active in Active check box.
4. Click the Source Connection tab. Complete the fields in the Log On Properties section as follows:
In the URL field, type: YourServerName/VirtualDirectoryName/ws/search.aspx
5. In the Transport Configuration section User Name and Password fields, type the username and password of a Platform user that has API access and access to all the records on the Platform instance (from which the data feed is coming).
6. In the Instance field, type the name of the Platform instance from which the data feed is coming (this is the instance name as you enter it on the Login window).
7. Verify that except for the Historical Accountability Statements, key field values are not missing from the data feed setup window.
8. Click Save.

Note: If Incidents is available please note, Incidents is mapped to Incident ID (System Tracking ID). Incident ID is Application Tracking Id by default. Create a new System Tracking ID field in Incidents and map to the Incident->field Id from source.

Task 2: Schedule a data feed

Important: A data feed must be active and valid to successfully run.

As you schedule your data feed, the Data Feed Manager validates the information. If any information is invalid, an error message is displayed. You can save the data feed and correct the errors later; but the data feed does not process until you make corrections.

1. Go to the Schedule tab of the data feed that you want to modify.
 - a. From the menu bar, click  .
 - b. Under Integration, click Data Feeds.
 - c. Select the data feed.
 - d. Click the Run Configuration tab.
2. Go to the Schedule section and complete frequency, start and stop times, and time zone.
3. (Optional) To override the data feed schedule and immediately run your data feed, Click Run Now.
4. Click Save.

Chapter 4: Configuring the Archer Individual Accountability Management

Task A: Configure Contacts Application:

If Contacts is not installed through package or only new components are created without layout changes during package install, this section is useful in configuring the changes to the contacts application.

Task 1: Add Contacts to Individual Accountability Management Solution

1. Go to Solutions under Administration Menu: Administration -> Application Builder -> Solutions
2. Open “Individual Accountability Management”.
3. Under Applications section click Add New and select Contacts.
4. Click OK.
5. Verify Contacts is visible in the Application section.
6. Click on Save and Close

Task 2: Update to Existing Fields

Go to Applications under Administration Menu: Administration -> Application Builder -> Applications. Open Contacts Application to make the necessary changes.

1. Type (values list) – This is an existing Field. Add new hierarchical values “Executive Director, Non-Executive Director” under the “Employee” value.
2. Archer User Account – Rename RSA Archer User Account to Archer User Account.

Task 3: New Fields

Go to Applications under Administration Menu: Administration -> Application Builder -> Applications. Open Contacts Application to make the necessary changes.

1. Does Contact Require Accountability Management?
 - a. Field Type: Values list
 - b. Description: This field is used to identify if the contact record is for an Accountable Person
 - c. Values: Yes. If contacts is majorly used for IAM or if required default to Yes.
2. Hire Start Date:
 - a. Field Type: Date
 - b. Description: Used to capture when the hiring process was started for the contact.
 - c. No default value.
3. Overall Qualification Assessment Result:
 - a. Field Type: Values List
 - b. Description: This field is used to display the overall result of the qualification assessments.
 - c. Values: Global Values list “Overall Qualification Assessment Result”
 - d. Calculation:

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```

IF(COUNTA([Qualification Assessments])>0,
IF(COUNTIF(REF([Qualification Assessments],[Qualification
Result]),VALUEOF(REF([Qualification Assessments],[Qualification
Result]),"Ineligible"))>0,
VALUEOF([Overall Qualification Assessment Result],"Does Not Meet Expectation"),
IF(COUNTIF(REF([Qualification Assessments],[Qualification Result]),
VALUEOF(REF([Qualification Assessments],[Qualification
Result]),"Cleared"))=COUNTA([Qualification Assessments]),
VALUEOF([Overall Qualification Assessment Result],"Meets Expectation"),
VALUEOF([Overall Qualification Assessment Result],"Check Pending" ) ),
VALUEOF([Overall Qualification Assessment Result],"Check Pending"))

```

4. Company Name Helper:
 - a. Field Type: Text
 - b. Calculation: REF([Company],[Company])
5. (Optional) Date of Birth:
 - a. Field Type: Date
 - b. **Note:** This field is **required** if Financial Accountability Regime (FAR) is applicable as it is part of the FAR Regulatory Notifications. Field alias should be "Date_of_Birth" for the field value to get populated in the Mail Merge template.
6. (Optional) Former Name(s):
 - a. Field Type: Text
 - b. **Note:** This field is **required** if Financial Accountability Regime (FAR) is applicable as it is part of the FAR Regulatory Notifications. Field alias should be "Former_Names" for the field value to get populated in the Mail Merge template.
7. (Optional) Regulatory Communications:
 - a. Field Type: Cross Reference to Regulatory Communications. If FAR Regulatory Correspondence (IAM Add-On) is needed, then create a cross reference to FAR Regulatory Correspondence.
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Communication ID
 2. Communication Name
 3. Communication Purpose
 4. Communication Type
8. (Optional) Breach Incidents:
 - a. Field Type: Cross Reference to Incidents
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Incident ID
 2. Summary
 3. Date/Time Closed
 4. Date/Time Occurred

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9. (Optional) Conflicts of Interest:
 - a. Field Type: Cross Reference to COI Registry (From Conflicts of Interest app-pack)
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Tracking ID
 2. Conflict of Interest
 3. Type of COI
 4. Overall Status
10. (Optional) Evidence Repository:
 - a. Field Type: Cross Reference to Evidence Repository
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Document Name
 2. Description
11. Findings (Contacts): This field should be available off layout.
 - a. Field Type: Related Records to Findings
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Finding ID
 2. Name
 3. Overall Status
 4. Days Open
 5. Date Closed
 6. Source
12. Committee Memberships: This field should be available post-package installation.
 - a. Field Type: Related Records to Committee Memberships.
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Committee Name
 2. Committee Purpose
13. Accountability Statements: This field should be available post-package installation.
 - a. Field Type: Related Records to Committee Memberships.
 - b. Display Type: Grid
 - c. Display/Look Up Fields:
 1. Position/Role
 2. Status of Accountability Statement
 3. Role Start Date
 4. Role End Date
 5. Accountability Acknowledgement Status
14. Qualification Assessments: This field should be available post-package installation.
 - a. Field Type: Related Records to Committee Memberships.
 - b. Display Type: Grid

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- c. Display/Look Up Fields:
 1. Questionnaire ID
 2. Qualification Check Name
 3. Qualification Date
 4. Qualification Documentation Status
 5. Qualification Result
 6. Findings

Task 4: Layout Changes

Update Layout changes as per your requirements. This can be used as an example.

Go to Applications under Administration Menu: Administration -> Application Builder -> Applications.
Open Contacts Application to make the necessary changes.

The below shows the changes for the Contacts layout included in app-pack:

1. Place Hire Start Date, Does Contact Require Accountability Management? and Division (off layout field) , Date of Birth, Former Name(s) in the General Information Section.
2. Create new tab "Individual Accountability" under Contact Details tab set.
 - a. Create a new section Qualification Assessments
 1. Section Properties: Check "Show Panel Text"
 2. Panel Text: Background checks need to be performed. The employee must clear all checks in order to act as an Accountable Person. In addition to updating the status for each check, please upload any supporting documentation.
 - b. Move the following fields to Qualification Assessments section:
 1. Overall Qualification Assessment Result
 2. Qualification Assessments
 - c. Move Committee Membership, Accountability Statements, Regulatory Communications, Breach Incidents, Findings (Contacts), Conflicts of Interest, Evidence Repository under this tab.

Task 5: Data Driven Events:

Go to Applications under Administration Menu: Administration -> Application Builder -> Applications.
Open Contacts Application to make the necessary changes.

1. Update Existing Action:
 - a. Hide Advanced Contact Fields Action - Do not display Hire Start Date, Division, Date of Birth, Former Name(s) in General Information Section and all new sections under Individual Accountability tab.
2. New Data Driven Events:
 - a. Rule: Is This Contact For Accountable Person = Yes
 1. Criteria: Does Contact Require Accountability Management? = Yes.

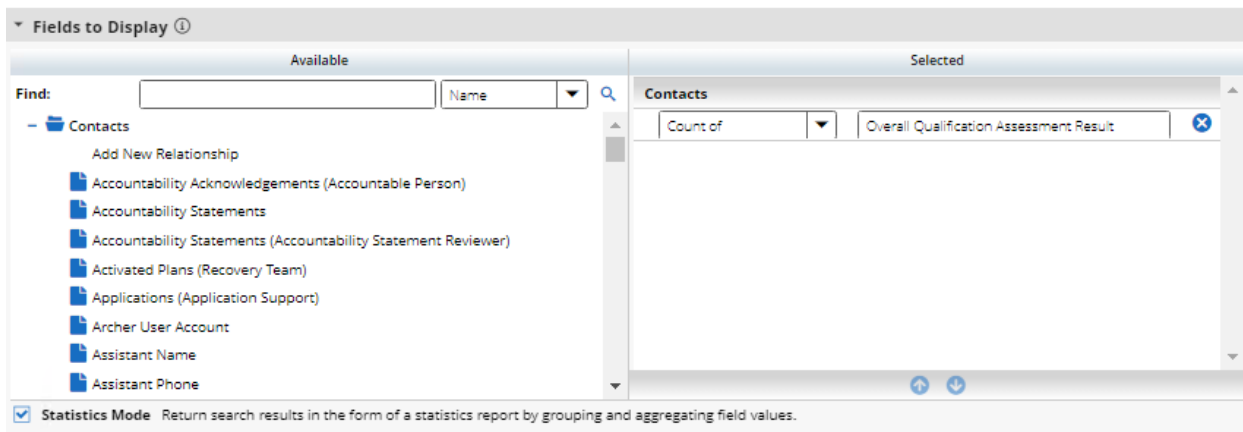
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2. New Action:

1. Action Type: Apply Conditional Layout.
2. Action Name: Accountable Person Layout
3. Layout Configuration: Require Hire Start Date, Employment Status, Company. Display Date of Birth, Former Name(s) and all sections under Individual Accountability tab.
4. Qualified User/Groups:
 1. At minimum: IAM Groups.
 2. Maximum: Everyone

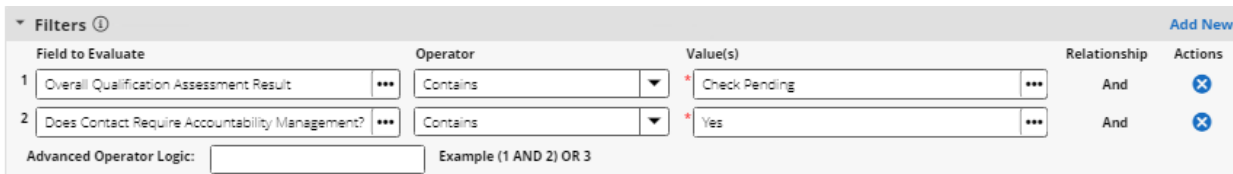
Task 6: Create Pending Accountable Person Qualifications Metric Report

1. Steps to Create Pending Accountable Person Qualifications:
 - a. Go to Contacts Application Advanced Search:
 - b. From the menu bar, click Individual Accountability Management.
 - c. Under Individual Accountability Management Solution, click the Advanced Search beside Contacts application.
2. Select Statistics Mode check box in Fields to display section.
3. Select Count of Exception Description in Fields in Display.



4. In Filters add the following:

- a. Fields to Evaluate:
 1. Overall Qualification Assessment Result Contains Check Pending
 2. Does Contact Require Accountability Management? Contains Yes



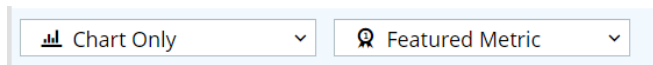
5. In Statistics Drill Down Options select the following fields for display:

- a. Name (Full)
- b. Email (Business)
- c. Qualification Assessments

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d. Overall Qualification Assessment Result

6. Click on Search button.
7. Select “Chart Only” and “Featured Metric” in the Chart tool bar in the search results page.



8. Click on Save.
9. Provide Report Name as “Pending Accountable Person Qualifications”.
10. In Report Type section select “Global Report”.
11. Click on Save.

 A screenshot of the 'Contacts: Save Report' form. The form is titled 'Contacts: Save Report' and has a 'SAVE' button at the top left. It is divided into two main sections: 'REPORT INFORMATION' and 'REPORT TYPE'.

 In the 'REPORT INFORMATION' section, there are fields for:

- Name: Pending Accountable Person Qualifications
- Alias:
- Type: Global
- ID: {06148424-2820-46C0-A5CE-40CD9A453CA1}
- Language: English
- Description:

 In the 'REPORT TYPE' section, there is an information icon and a note: 'Choose the type of report to save. If the report is saved as Global, select the appropriate permissions.' Below this, there are two radio button options:

- Personal Report: If a report is designated as "personal", it is accessible only by you.
- Global Report: If a report is designated as "global," you can grant access rights to specific users and/or groups. By default, global reports are made available to all application users through the built-in "Everyone" group.

 Below the radio buttons is a table for permissions:

Available	Selected
Find: <input type="text"/> Users <input type="button" value="Search"/> <ul style="list-style-type: none"> <input type="checkbox"/> Current User <input type="checkbox"/> Groups <input type="checkbox"/> Users 	Everyone <input type="button" value="X"/>

 At the bottom of the form, there are settings for:

- iView Caching: Enable iView Caching
- Cache Duration: 30 Minutes
- Refresh Rate: Do not refresh

 A red asterisk and the word 'Required' are visible at the bottom left of the form.
Task 7: Update Qualifications Pending iView

1. Steps to update Qualifications Pending iView:
 - a. Go to Administration -> Workspaces and Dashboards -> Global iViews
 - b. Open Qualifications Pending iView.
2. Under Options section select the report “Pending Accountable Person Qualifications.
3. Click Save.

Task B: Update the following if Contacts is not package installed.

Pre-requisite: [Task A: Configure Contacts Application](#)

Due to the missing fields in Contacts application following components will not get installed properly. Following updates are required post package installation:

1. Accountability Statements:
 - a. Field: Qualification Assessment Result:
 1. Calculation: REF([Accountable Person],[Overall Qualification Assessment Result])

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- b. Institution/Employer Name:
 - 1. Calculation: REF([Accountable Person],[Company Name Helper])
- 2. Accountability Acknowledgements:
 - a. Field: Accountable Person (Cross Ref)
 - 1. Add Hire Start Date to the display fields.
- 3. Committee Memberships:
 - a. Field: Members
 - 1. Add Overall Qualification Assessment Result to the display fields.

Task C: FAR Add-On Package: Post installation configuration steps


If Individual Accountability Management – FAR Add-On package is installed, do the following tasks:

1. Contacts: Update FAR Regulatory Correspondence in the Regulatory Communication section.
 - a. Go to Administration -> Application Builder -> Contacts.
 - b. In Individual Accountability tab's Regulatory Communications section, place the FAR Regulatory Correspondence references "FAR Regulatory Correspondence" and "FAR Regulatory Correspondence (Notifications)".
 - c. Remove the Regulatory Communication reference from the section, if available and not necessary.
 - d. Rename the section name to FAR Regulatory Correspondence, if required.
 - e. Save layout changes.
 - f. Note: If the references are placed outside the section, please update the events accordingly.
2. Accountability Statements: Update FAR Regulatory Correspondence in the Regulatory Communication section.
 - a. Go to Administration -> Application Builder -> Accountability Statements.
 - b. In Regulatory Communication tab's Regulatory Communication section, place the FAR Regulatory Correspondence reference "FAR Regulatory Correspondence".
 - c. Remove the Regulatory Communication reference from the section, if available and not necessary.
 - d. Rename the tab and section name to FAR Regulatory Correspondence, if required.
 - e. Save layout changes.
 - f. Note: If the references are placed outside the section, please update the events accordingly.
3. Historical Accountability Statements: Update FAR Regulatory Correspondence in the Regulatory Communication section.
 - a. Go to Administration -> Application Builder -> Historical Accountability Statements.
 - b. In Regulatory Communication tab's Regulatory Communication section, place the FAR Regulatory Correspondence reference "FAR Regulatory Correspondence".
 - c. Remove the Regulatory Communication reference from the section, if available and not necessary.
 - d. Rename the tab and section name to FAR Regulatory Correspondence, if required.

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- e. Save layout changes.
 - f. Note: If the references are placed outside the section, please update the events accordingly. Update the Historical Accountability Statement data feed to copy the FAR Regulatory Correspondence from Accountability Statement.
4. In IAM Task Driver dashboard's Accountability Quick Links iView, add quick link to FAR Regulatory Correspondence new record.
 - a. Go to Administration -> Workspaces and Dashboards -> Global iViews -> select IAM Quick Links.
 - b. Under Configuration section click "Add New"
 - c. Provide the following details in the iView Configuration pop-up:
 1. Name: New FAR Communication
 2. Description: Capture Regulatory Communication as per FAR Regulation
 3. Link: FAR Regulatory Correspondence -> New Record
 4. Primary Graphic: Loudspeaker symbol or any other
 - d. Remove the "New Communications" quick link to Regulatory Communications.
 5. In IAM Task Driver dashboard, update "Your Regulatory Notifications" iView to show the FAR Regulatory Correspondences.
 - a. Go to Reports -> select "Accountability Statement: Your Regulatory Notifications" OR Administration -> Management Reporting -> Reports Listing -> select "Accountability Statement: Your Regulatory Notifications".
 - b. Modify the report.
 1. Click Modify.
 2. In Fields to Display section's Selected column, remove "Regulatory Communications" from, if available.
 3. In Fields to Display section's Available column, select "Add New Relationship".
 4. In Add New Relationship pop-up, select "FAR Regulatory Correspondence".
 5. Select fields Tracking ID, Title, FAR Correspondence Type, Date Sent, Due Date, Status from FAR Regulatory Correspondence.
 6. Click on Search.
 7. Click on Save -> Save Report Changes.
 6. Create Accountability Statement Mail Merge Template:
 - a. A Mail Merge template "Accountability_Statement_Mail_Merge" is included in the FAR Add-On Package. Extract this file and place it in a folder.
 - b. Create a Mail Merge Template:
 1. Go to Administration -> Management Reporting -> Mail Merge Templates page.
 2. Click on Add New .
 - c. Provide the following details in the General Information section:
 1. Name: Accountability Statement Mail Merge
 2. Application: Accountability Statements
 3. Output Type: DOCX
 4. Active: Checked

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- d. Select the “Accountability_Statement_Mail_Merge” file in the Report Template section.
 1. Click on the add or replace button  .
 2. Select the file to upload and click on “Upload”.
- e. In Access Section, if the access is to be restricted select Private and select the users/groups. Else the selection would be Public.
- f. Click on Save and Close.
- g. To test the mail merge template, open a record in Accountability Statements click on Export and select the “Accountability Statement Mail Merge”.

Chapter 6: Using Archer Individual Accountability Management

Task 1: Create Accountable Person

User: Compliance Manager

1. Create a new Contacts Record.
 - a. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
 - b. Under Individual Accountability Management -> Contacts, click on New Record.
2. Provide the following information:
 - a. In the General Information Section:
 - i. Select “Yes” in “Does Contact Require Accountability Management?” field.
 - ii. Enter data in fields “Name (First)”, “Name (Last)”, “Email (Business)”, “Hire Start Date”, “Employment Status”, “Company”.
 - iii. Provide any other details available.
 - b. In Individual Accountability Tab:
 - i. Identify any related committee memberships, incidents, conflicts of interest, findings, sanctions etc., if available.
3. Click on Save.

Task 2: Create Committee Memberships

User: Compliance Manager

1. Create a new Committee Membership Record.
 - a. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
 - b. Under Individual Accountability Management -> Committee Memberships, click on New Record.
2. Enter data in fields “Committee Name”, “Committee Purpose”, “Committee Date Formed”, “Members”.
3. Click on Save.

Task 3: Conduct Qualification Assessments for Accountable Person

User: Compliance Manager

1. Create a new Qualification Assessment Record.
 - a. Method 1:
 - i. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
 - ii. Under Individual Accountability Management -> Qualification Assessments, click on New Record.

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- iii. Select the target accountable person.
 - iv. Click on Apply.
 - b. Method 2:
 - i. Edit an Accountable Person's Contact record.
 - ii. Under the Individual Accountability tab Qualification Assessments section, click on Add New for Qualification Assessments.
2. Provide the following information:
 - a. Enter data in fields "Qualification Check Name", "Qualification Date", "Qualification Expiration Date", "Qualification Result", "Qualification Documentation Attachment" or "Qualification Documentation (Link)" in Qualification Check section.
 - b. Add comments if any under Comments section.
 - c. Click Save.
3. Overall Qualification Assessment Result is displayed in the Qualification Assessments section of Contacts record.

Task 4: Create Accountabilities

User: Compliance Manager

1. Create an Accountability Record.
 - a. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
 - b. Under Individual Accountability Management -> Accountabilities, click on New Record.
2. Provide the following information:
 - a. Enter details in fields "Accountability Name", "Accountability Description" in General Information section.
 - b. Add related risks, controls (Control Procedures), obligations (Control Standards), Third Party Contracts if any.
3. Click on Save.

Task 5: Create Accountability Statements

User: Compliance Manager

1. Create an Accountability Record.
 - a. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
 - b. Under Individual Accountability Management -> Accountability Statement, click on New Record.
2. Provide the following information:
 - a. Enter details in the Accountable Person & Position section. "Position/Role" and "Accountable Person" fields are required.
 - b. Enter data in field "Accountabilities" in Accountabilities section.
 - c. Provide any additional information as needed on the Accountability Statement and click Save.

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3. Click on Save.
4. The record will be enrolled in the workflow to track the progress.

Task 5: Add Delegates if any to Accountability Statements

User: Compliance Manager

1. Edit an Accountability Statement.
2. Click Add New under Delegates section.
3. A new Accountability Statement record will open.
4. Select "Yes" in the field "Is this Accountability Statement for Delegation?", under General Information & Review section.
5. Select the Type of Delegation:
 - a. Temporary - Select if delegate is temporary.
 - b. Permanent - Select if delegate is permanent.
6. Enter data in fields "Accountable Person", "Position/Role", "Role Start Date", "Role End Date" in the Accountable Person & Position section.
7. Select the delegated accountabilities in field "Accountabilities" in Accountabilities section.
8. Provide any other necessary details.
9. Click on Save and Close.
10. If it is for a temporary delegate, no workflow is applicable.
If the delegate is permanent, Accountability Statement workflow is applicable.
11. Save the main Accountability Statement.

Task 6: Get Acknowledgement for Accountability Statements

Through Accountability Acknowledgement Assessment:

If Accountability Acknowledgements questionnaire is used to capture the acknowledgement do the following:

Task A: Create Accountability Acknowledgement

User: Compliance Manager

1. Create a new Accountability Acknowledgements Record.
 - a. Method 1:
 - i. From the menu bar, click on the dropdown beside Individual Accountability Management Workspace.
 - ii. Under Individual Accountability Management -> Accountability Acknowledgements, click on New Record.
 - iii. Select the target accountability statement.
 - iv. Click on Apply.
 - b. Method 2:
 - i. Edit a fully defined Accountability Statement.

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- ii. Click on “Add New” in “Accountability Acknowledgements” field in Acknowledgement section.
2. Provide due date, if any, in field “Due Date” in General Information section.
3. Click on the “Send Acknowledgement” button at the top of the record.
4. An accountable Person will be notified that Accountable Statement is ready for Acknowledgement.

Task B: Acknowledge Accountability Statements in Archer

User: Accountable Person

1. Edit Accountability Acknowledgement.
2. Verify the Accountability Statement.
3. Under Action dropdown at the top, select “Sign Acknowledgement”.
4. In the Signature pop-up, provide password and click on OK.
5. Acknowledgement Status shows Approved.

Task C: Verify Acknowledgement for Accountability Statements in Archer

User: Compliance Manager

1. Edit Accountability Acknowledgement.
2. Verify the Accountability Acknowledgement.
3. Select “Approved” in field “Review Status” in General Information section.
4. Acknowledgement Overall Status is marked as Approved.

Import Scanned Accountability Statement:

If Accountability Acknowledgements is captured outside of Archer do the following:

User: Compliance Manager

1. Edit an Accountability Statement.
2. Click “Add New” in the field “Scanned Accountability Statement” under Acknowledgement section.
3. Click on “Select File(s)” button in the pop-up window and import the scan copy of the acknowledged and signed accountability statement. Click on OK.
4. Click on Save.

Task 7: Track Regulatory Communication

User: Compliance Manager

1. Edit an Accountability Statement.
2. Notify the Regulator of the Accountability Statement update.
3. Click “Add New” for Regulatory Communication/FAR Regulatory Correspondence** under the Regulatory Communication tab to track the regulatory communication.

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4. Click on “Submitted to Regulator” under Actions dropdown.
5. Track the right status of the Regulatory Communication by selecting the right status from the Actions drop-down:
 - a. Awaiting Review - after receiving confirmation from Regulator.
 - b. Changes Required - when changes are required to the Accountability Statement. The Status of Accountability Statement will go to Update Required while the Compliance Officer works on the changes to submit back to the Regulator.
 - c. Approved & Active - when the regulator has completed the review and approved the Accountability Statement. A copy of the Accountability Statement will be captured under the Historical Accountability Statement tab.
6. Once the record is Approved & Active, it will be copied and captured in the Historical Accountability Statements.

**Available only if FAR Add-On package is installed.

Task 8: Update Accountability Statements

User: Compliance Manager

1. Edit Approved Accountability Statement.
2. If any changes are needed, click on the button "Update Required". Record will re-enroll in workflow and changes can be made.

Task 9: Retire Accountability Statements

User: Compliance Manager

1. Edit Approved Accountability Statement.
2. To retire the accountability statement, select "Yes" in field "Retire Accountability Statement?" in the General Information Section and click on Save.

Appendix A: Certification Environment

Date Tested: 15 February 2023

Product Name	Version Information	Operating System
Archer	6.12 P4	Windows