RiskPolicy.CBA   
User Guide for   
Approvers

Risk Policy Operations

Riskpolicyoperations@cba.com.au

Version: 1.3

FINAL DRAFT

Table of Contents

[Introduction 2](#_Toc528913134)

[Support 2](#_Toc528913135)

[Edit a policy 3](#_Toc528913136)

[Approval/Rejection process for the approver 4](#_Toc528913137)

[Approve a policy 5](#_Toc528913138)

[Reject a policy 6](#_Toc528913139)

# Introduction

Welcome to the RiskPolicy.CBA User Guide for Approvers.

This user guide is designed to provide instructions for those with approval access in RiskPolicy.CBA to edit and approve/reject documents.

# Support

For support on RiskPolicy.CBA as a user please refer to the User Quick Reference Guide.

For support on authoring documents, please refer to the RiskPolicy.CBA User Guide for Authors/Owners.

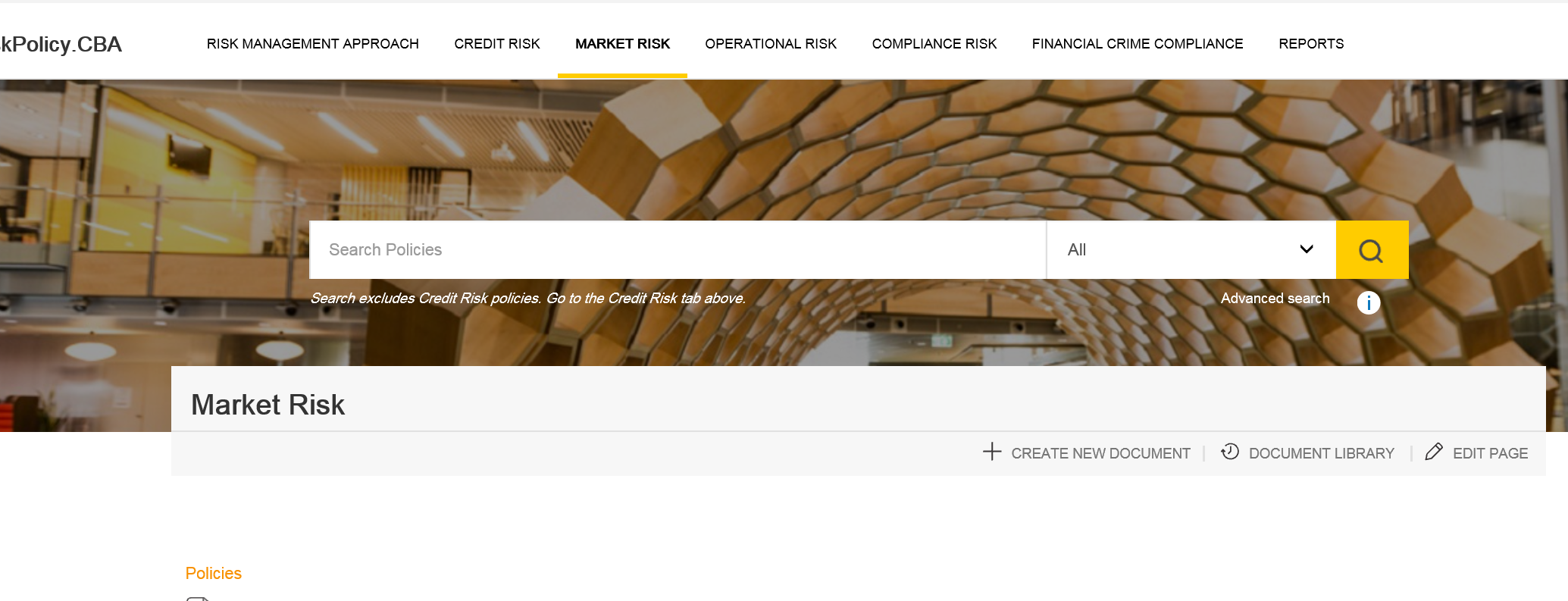
If you have any other questions about using RiskPolicy.CBA please contact the Risk Policy Operations team.

Riskpolicyoperations@cba.com.au

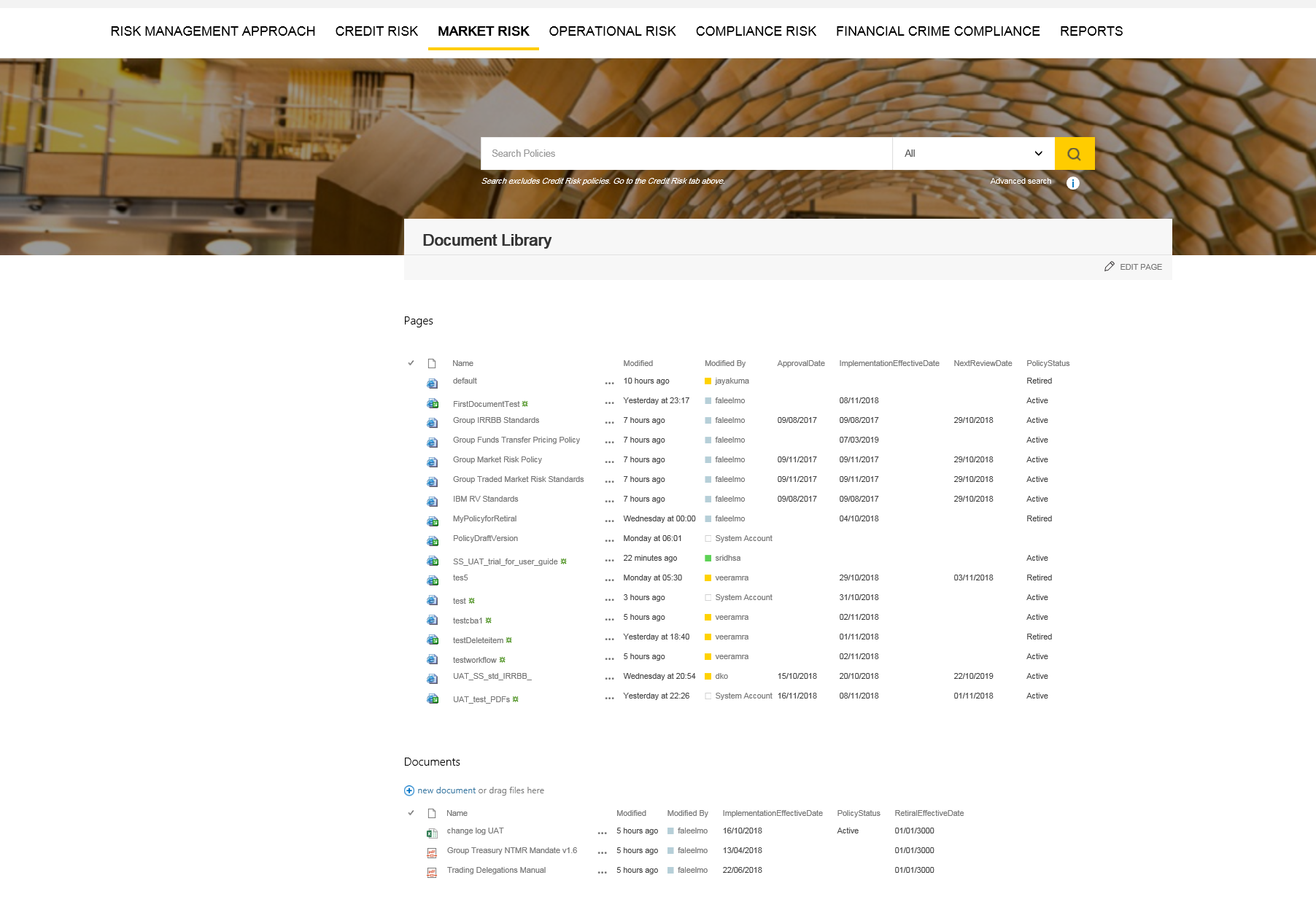
# Edit a policy

This topic will cover how to edit existing HTML documents created in RiskPolicy.CBA.

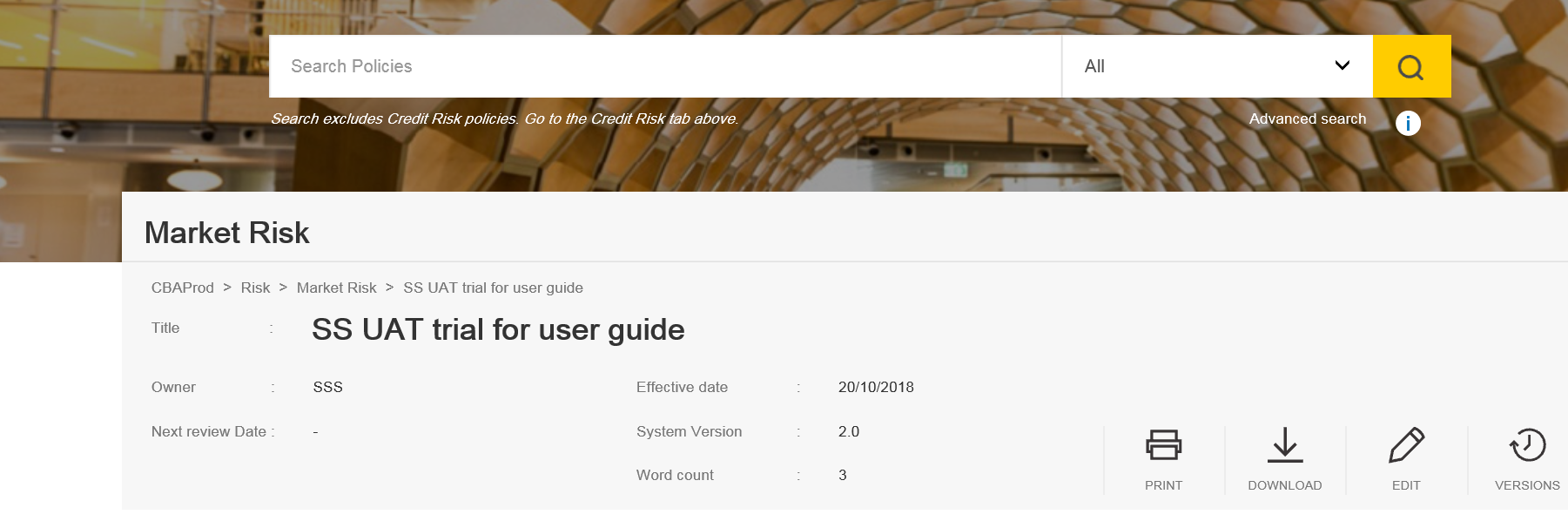
1. Click on **View Draft Versions** from the risk category landing page.



1. All policies currently in draft versions will be displayed. Select the draft policy you’re after.



1. You will be redirected to the policy page where you can view and edit the policy. Click **Edit** to begin editing the document. You will be able to change any of the existing policy details. See the table below for the mandatory fields that must be filled in.



|  |  |
| --- | --- |
| Field | Description |
| Title\* | Name of the document (255 character limit) |
| Owner\* | Name of the document owner (255 character limit) |
| Effective date\* | Date the document will be available in search results |
| Next Review Date | Date for the next review. This date will help to setup auto alerts. One alert will be roughly three months before actual review date [83-90 days] and other alert will be sent roughly one month (22-30 days) before actual review date |
| Workflow Type\* | Select from the following: Create/Edit/Retire  Create when document is created for the first time, edit when next version or update to the document is needed and retire when the document is no longer needed. Selecting this is important as it will help in audit trails and customized mail alerts to author/Approver |
| Document Summary | Provide brief overview of the document |
| Contact Email\* | Name of the policy contact (255 character limit). Multiple email id’s can be provided and they need to be semicolon separated .All feedbacks will be sent to this mail |
| Document type\* | Select from the following types:   * Policy * Standard * Framework * Supporting Document |
| Sub category | Having subcategory will help in better search. There are predefined sub categories only for Compliance, IBM&BPB compliance and financial risk. You can select multiple subcategories from this list. If new one is required, then a request has to be raised to the siteadmin |
| Approving Body | Approving body (255 character limit) |
| Approval Documentation | This is the approval documentation to support document approval. It can be a mail, a Minutes of meeting document. You can upload multiple files. The process to upload multiple files is select one document, upload and then select next document |
| Legislation Flag | If there are any regulatory compliance (mainly setup for credit risk), it can be yes/no |
| Applies to\* | Whether document is applicable group wide or for only business unit |
| Keywords | Keywords to help effective search. It should be ideally be words to uniquely identify the document. It could be multiple words which should be separated by comma.  (255 character limit) |
| Document Content | This is the actual policy/standard/framework/supporting document content |
| Related information | This can be any information needed for supplementing the document. It could be a policy within the policy portal, it could be a link to any site within CBA, it could be a document etc. You can add multiple links/docs here |
| Retire Effective Date | Select this only if you wish to retire the document. Before setting this date, you need to select workflow type to retire. Once the date has been set, the document will no longer appear in search from that date onwards. Also do remove reference to this document, if any, in the landing page since that needs to be done manually |
| Retire Approval Documentation | This is the approval documentation to support document retiral. It can be a mail, a Minutes of meeting document. You can upload multiple files. The process to upload multiple files is select one document, upload and then select next document |

\*mandatory fields

# Approval/Rejection process for the approver

This topic will cover the steps that occur for the approver when the approval workflow is triggered.

|  |
| --- |
| When is the approval workflow triggered/initiated?  When the author clicks Publish from the document page or after the document has been checked in. You will receive an email notifying you that approval for a policy has been requested. |

1. Click the link in the approval request email to view the policy to be approved.

Please Approve creation of UAT\_SS\_Supporting\_doc\_trial

**Policy URL:**[**UAT\_SS\_Supporting\_doc\_trial**](http://10.39.14.72/sites/CBAProd/Risk/marketrisk/Pages/UAT_SS_Supporting_doc_trial.aspx)

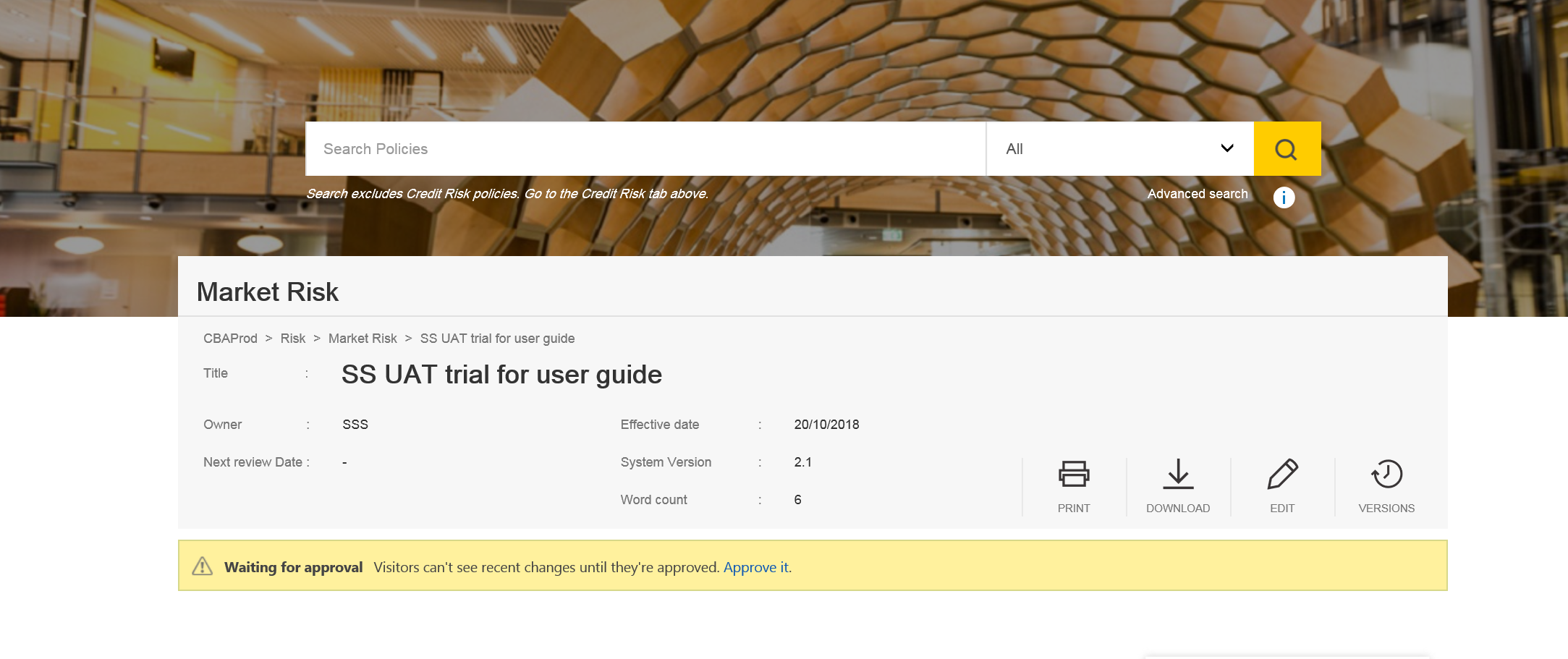
**Help & Support:**  
Refer to the Help & Support section of [RiskPolicy.CBA](http://10.39.14.72/sites/CBAProd/Risk/marketrisk)

Thank you  
RiskPolicy.CBA  
[riskpolicyoperations@cba.com.au](mailto:riskpolicyoperations@cba.com.au)

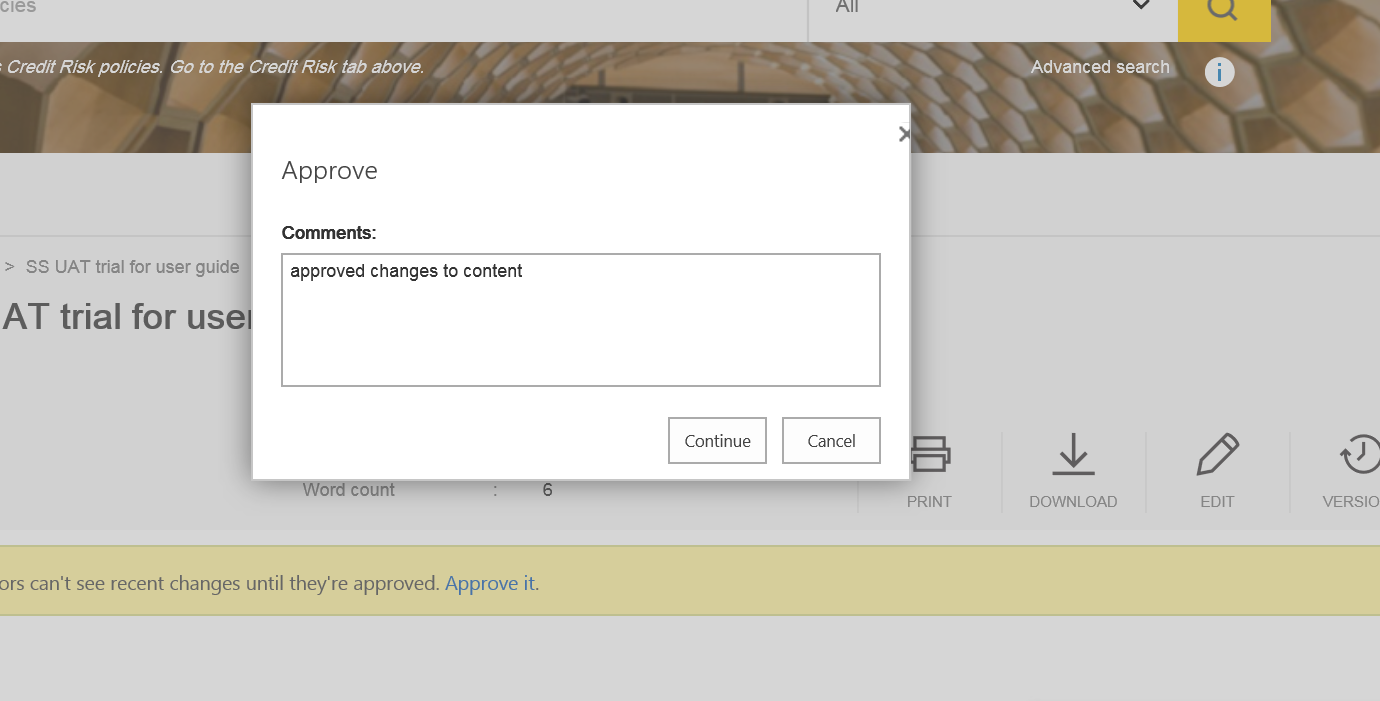
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[View the workflow history.](http://10.39.14.72/sites/CBAProd/Risk/marketrisk/_layouts/15/WrkStat.aspx?List=ecda02c6%2D2178%2D4b46%2D89e9%2D4b76ca381940&WorkflowInstanceID=0ddf1e57%2Dc8a9%2D4735%2Db7f4%2D05a372905faa)

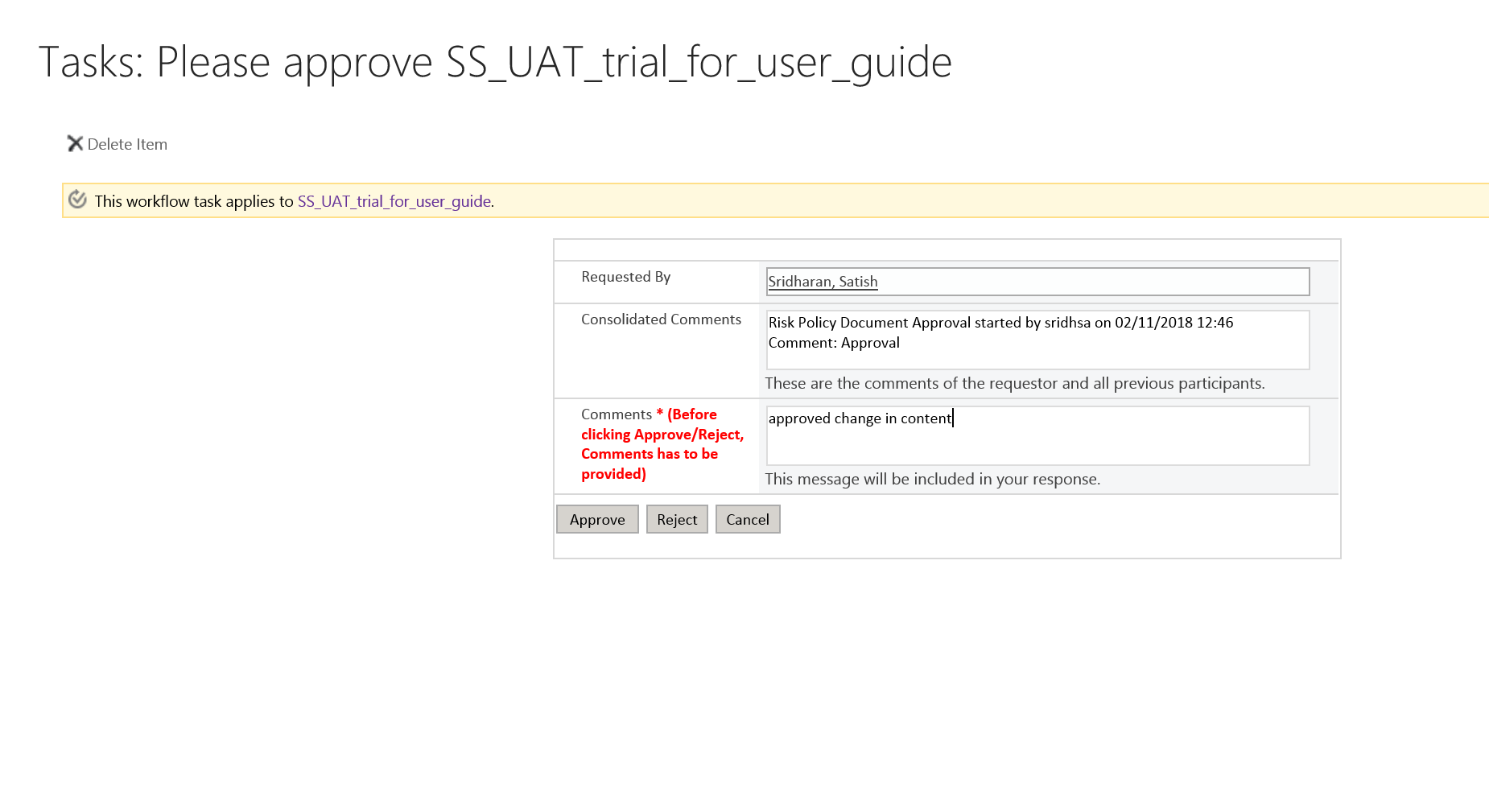
1. You will be taken straight to the document page.
2. You can approve directly from the **Approve It** message marked in yellow.
3. If you wish to edit the policy, click on edit, then check in and publish. It will again show up as approve.



1. Click **Approve** to add general comments in the popup box.
2. Click Continue.



1. Please add comments since it will not go to approve or reject till it is done and do mention approve or rejected.



1. Select either **Approve** or **Reject**.

## Approve a policy

If you have selected Approve, an email will be automatically sent to the author notifying them that the policy has been approved.

Please Approve creation of UAT\_SS\_Supporting\_doc\_trial

**Policy URL:**[**UAT\_SS\_Supporting\_doc\_trial**](http://10.39.14.72/sites/CBAProd/Risk/marketrisk/Pages/UAT_SS_Supporting_doc_trial.aspx)

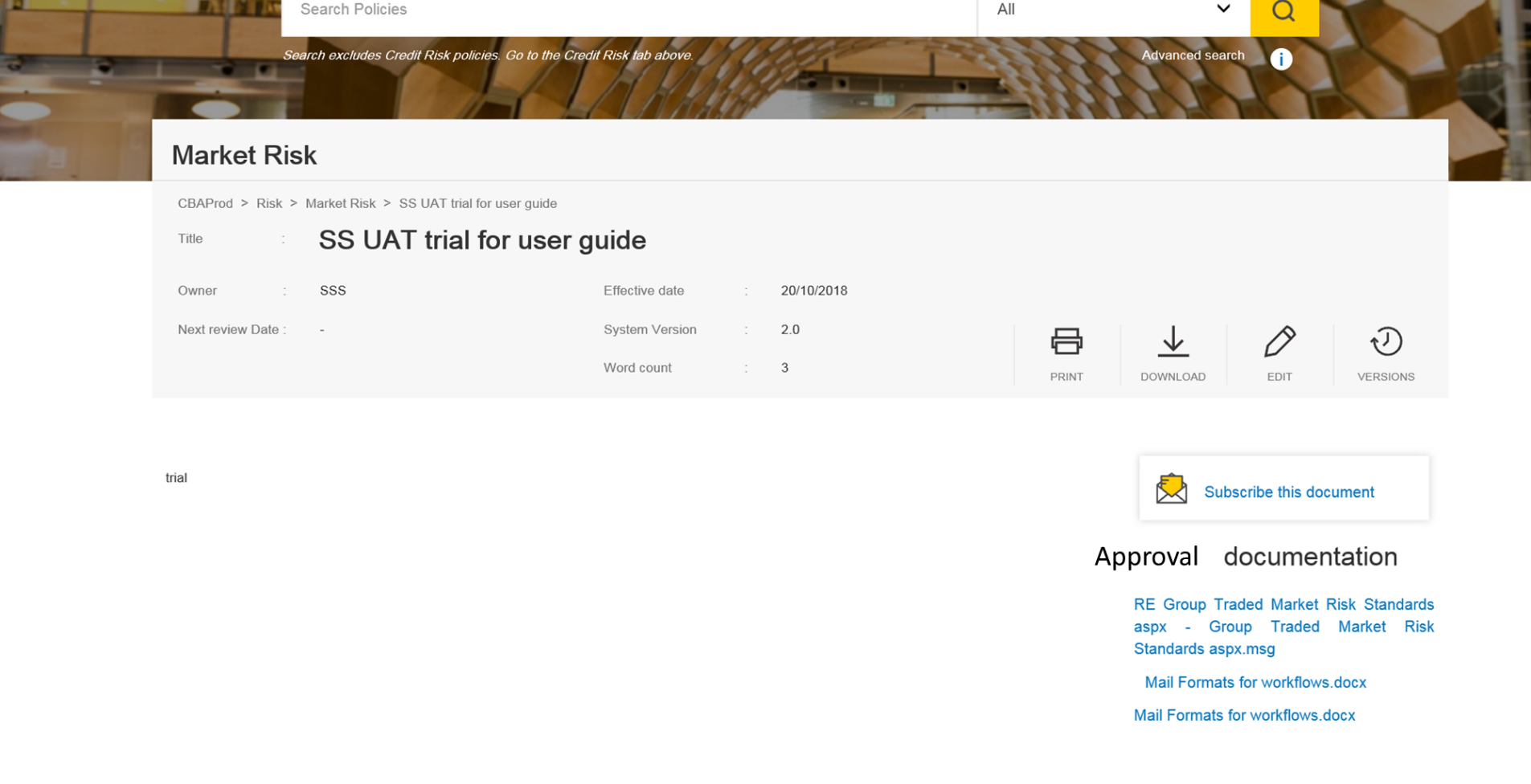
**Help & Support:**  
Refer to the Help & Support section of [RiskPolicy.CBA](http://10.39.14.72/sites/CBAProd/Risk/marketrisk)

Thank you  
RiskPolicy.CBA  
[riskpolicyoperations@cba.com.au](mailto:riskpolicyoperations@cba.com.au)

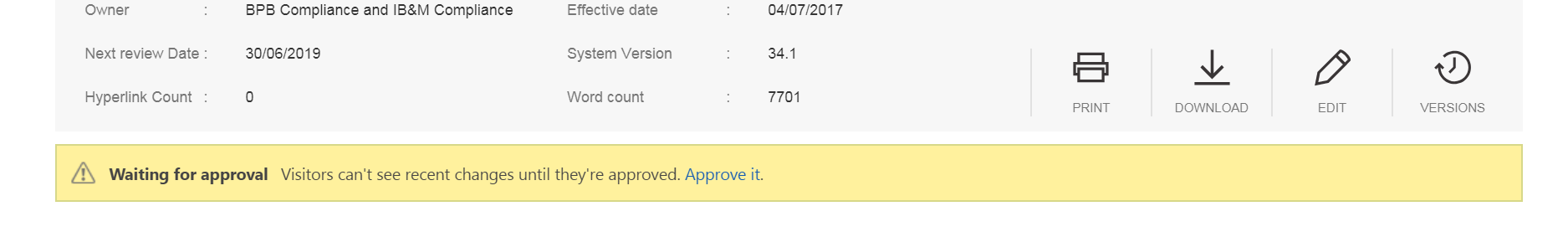
\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

[View the workflow history.](http://10.39.14.72/sites/CBAProd/Risk/marketrisk/_layouts/15/WrkStat.aspx?List=ecda02c6%2D2178%2D4b46%2D89e9%2D4b76ca381940&WorkflowInstanceID=0ddf1e57%2Dc8a9%2D4735%2Db7f4%2D05a372905faa)

All approval records can be viewed by the author on the policy dashboard page.



Please note that approval may take some time to reflect in the system. So you would still see the yellow message saying



Please do not click on it as the system will not reflect real time. Check the same document after 10 minutes

If the document has an implementation effective date of future, you will see this yellow message after approval and this message will still be there after 10 minutes .This is because it is applicable on a future date. The system will pause the approval completion and it will be completed on that date. For example, on 21 November 2018, you approved a new version of the document which has implementation effective date of 30 November 2018. The approval will complete on 30 November 2018. On 30 November 2018 if you were to check the document page you would no longer see the yellow message to approve it.

Please note that this rule also applies for documents that are being retired. The document will be retired on the future date if future date is set for retirement effective date.

## Reject a policy

If you have selected Reject, an email will be automatically sent to the author notifying them that the policy has been rejected.

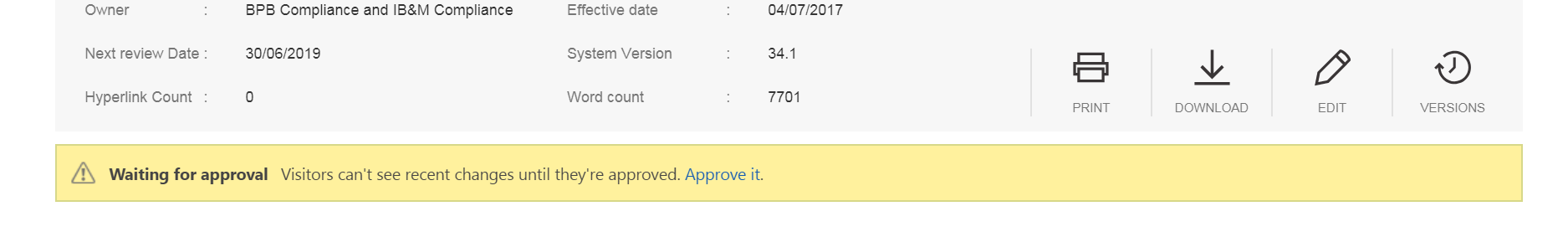
Your request to create SS\_UAT\_trial\_for\_user\_guide has been rejected

**Policy URL:**[**SS\_UAT\_trial\_for\_user\_guide**](http://10.39.14.72/sites/CBAProd/Risk/marketrisk/Pages/SS_UAT_trial_for_user_guide.aspx)

**Help & Support:**  
Refer to the Help & Support section of [RiskPolicy.CBA](http://10.39.14.72/sites/CBAProd/Risk/marketrisk)

Thank you  
RiskPolicy.CBA  
[riskpolicyoperations@cba.com.au](mailto:riskpolicyoperations@cba.com.au)

NOTE: Rejection will take some time to reflect in the system .So you would still see the yellow message saying



Please do not click on it as the system will not reflect real time. Check the same document after 10 minutes

The author will need to action any comments and begin the approval process again.