Account Admin > Admin Reviews

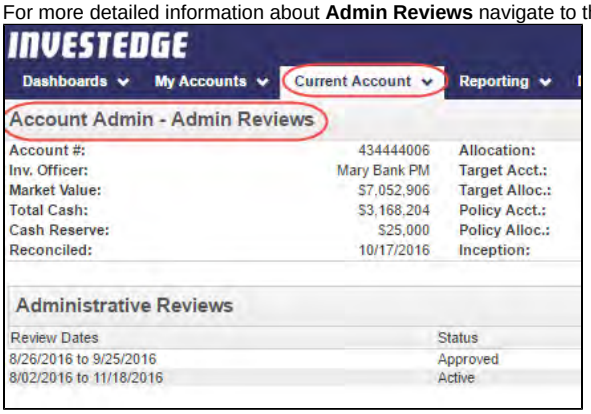
This page describes the Pre-CMOM functionality.

The **Admin Reviews** screen allows you to:

1. View **Admin Reviews** for the current **Account**
2. Edit **Admin Reviews** for the current **Account**

The screen initially displays the current active **Review** and the historical **Reviews** stored in the system for the **Account.**

For more detailed information about **Admin Reviews** navigate to the About: Administrative Reviews.

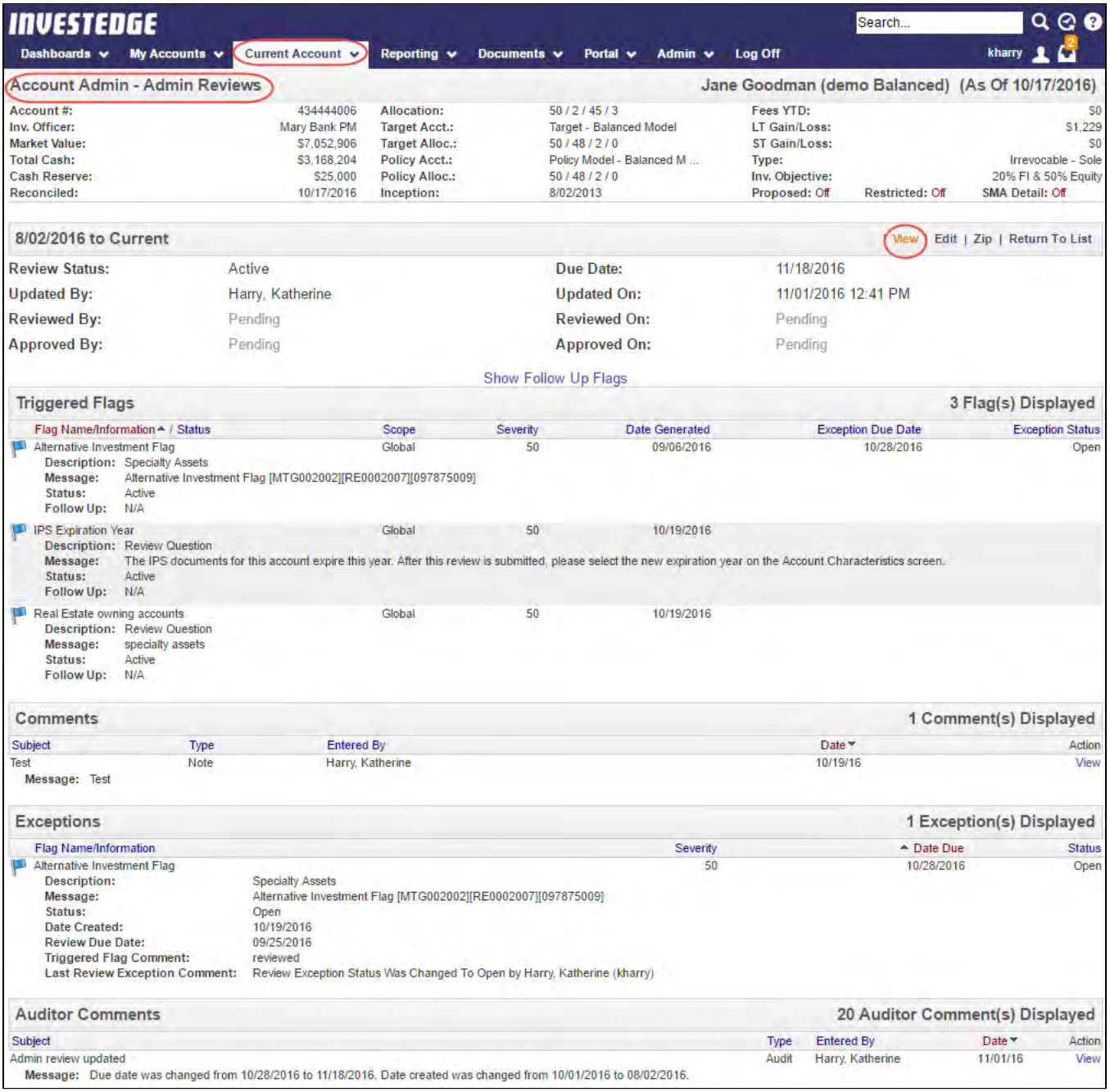


View the Rights associated with Admin Reviews.

Viewing an Admin Review

To view an **Admin Review,** click the **View** link for the **Review**

You can then view the **Review's Triggered Flags, Exceptions** and any **Comments** that have been added to the **Review.**



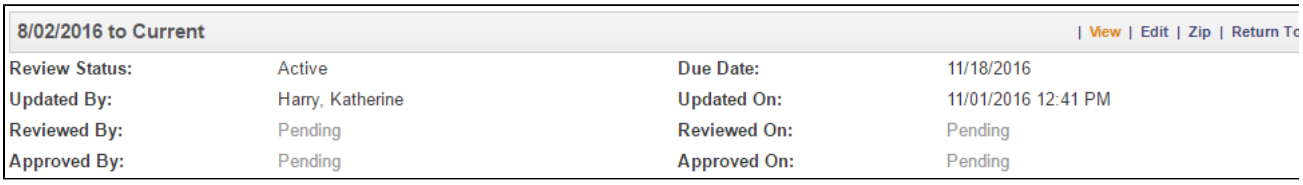
Admin Review Details

You can view the completed **Admin Review** report that was generated and stored with the **Review** when it was submitted.

The **Due Date** is system-populated based on a pre-defined number of calendar days set by the administrator. It is calculated using the date

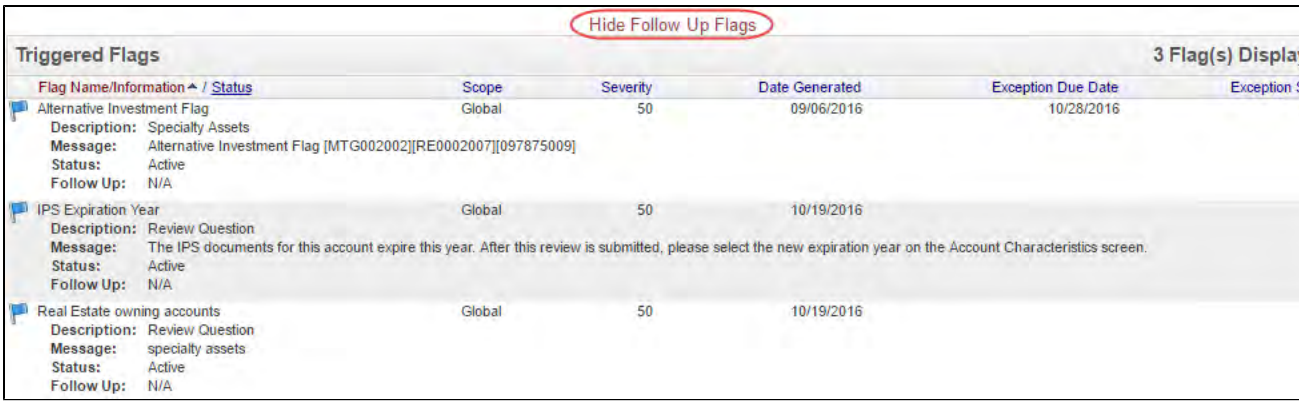
the **Review** is submitted (not the approval date). While a **Review** is active, the **Report Run Date**, **Status** and **File** fields are not shown (the **Rep ort** and

its details are generated when the **Review** is submitted).



Showing and Hiding Follow Up Flags

Click the **Show/Hide Follow Up Flags** link to display or hide any **Triggered Flags** marked as follow up.



Triggered Flags

Flags are sorted in descending order by **Severity,** but the list can be sorted in ascending or descending order by clicking any column heading.

Triggered Flags associated to **Investment Reviews** are always generated by **Global Flags** designated as compliance.

There are **Exception Due Date** and **Exception Status** columns if a **Flag** has been designated as an **Exception.**

Comments

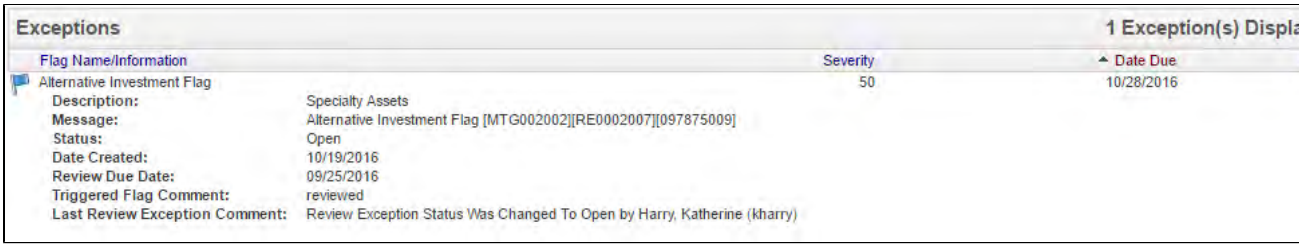
The **Comments** section lists any **Comments** that have been associated with the **Investment Review. Comments** can be manually added or imported

from a previous **Review.** Click the **View** link for any **Comments** to view further details.

Exceptions

This section displays any **Review Exceptions** that have been created for the **Review.** The **Flag Name, Severity, Due Date** and **Status** of

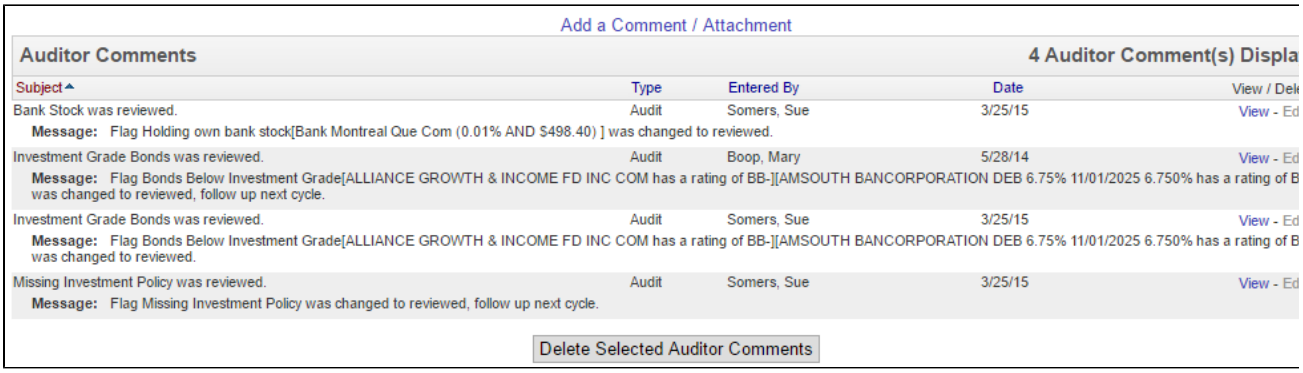
the **Exception** are displayed. There can only be one **Review Exception** per **Configured Flag.**



Auditor Comments

The **Auditor Comments** section lists any notes that have been associated with the **Investment Review.**

- **Users** with the **Accounts – Investment Review Auditor** or **Accounts – Admin Review Auditor** right can add **Comments** in this section, even after the **Review** is approved.
- The **Auditor Comments** section will act as a date/time-stamped audit trail of changes to the **Review** whenever a user updates the **R eview:**
  - **Due Date** changed
  - **Review** rejected
  - **Review** submitted
  - **Review** approved
  - Changes made to the **Due Date,** creation date or **Review Type** on the **Review Admin** screens.



NOTE:

- System-generated **Audit Comments** cannot be deleted or modified.
  Similar to regular **Review Comments,** you can only modify, edit and delete your own **Comments.**
  - This works in conjunction with the **Platform Admin Configuration.**
  - New items will be added to the **Event Log** for the following activities for rejections and submissions/resubmissions.

Review Reports

There are 2 **Reports** associated with **Reviews: Submitted Investment Review** and **Approved Investment Review.**After a **Review** is approved, a 2nd

review **PDF** is generated. This **PDF** includes the approver name, approval date, and approver comments. **Review**

PDFs can be zipped for auditors. The zip file includes the **Review PDF** from when the **Review** was submitted and the **Review PDF** from when the

Review was approved. It will also include any account documents that are attached to the **Review.** There is an entry in the **Event Log** when

a **Review** is created.

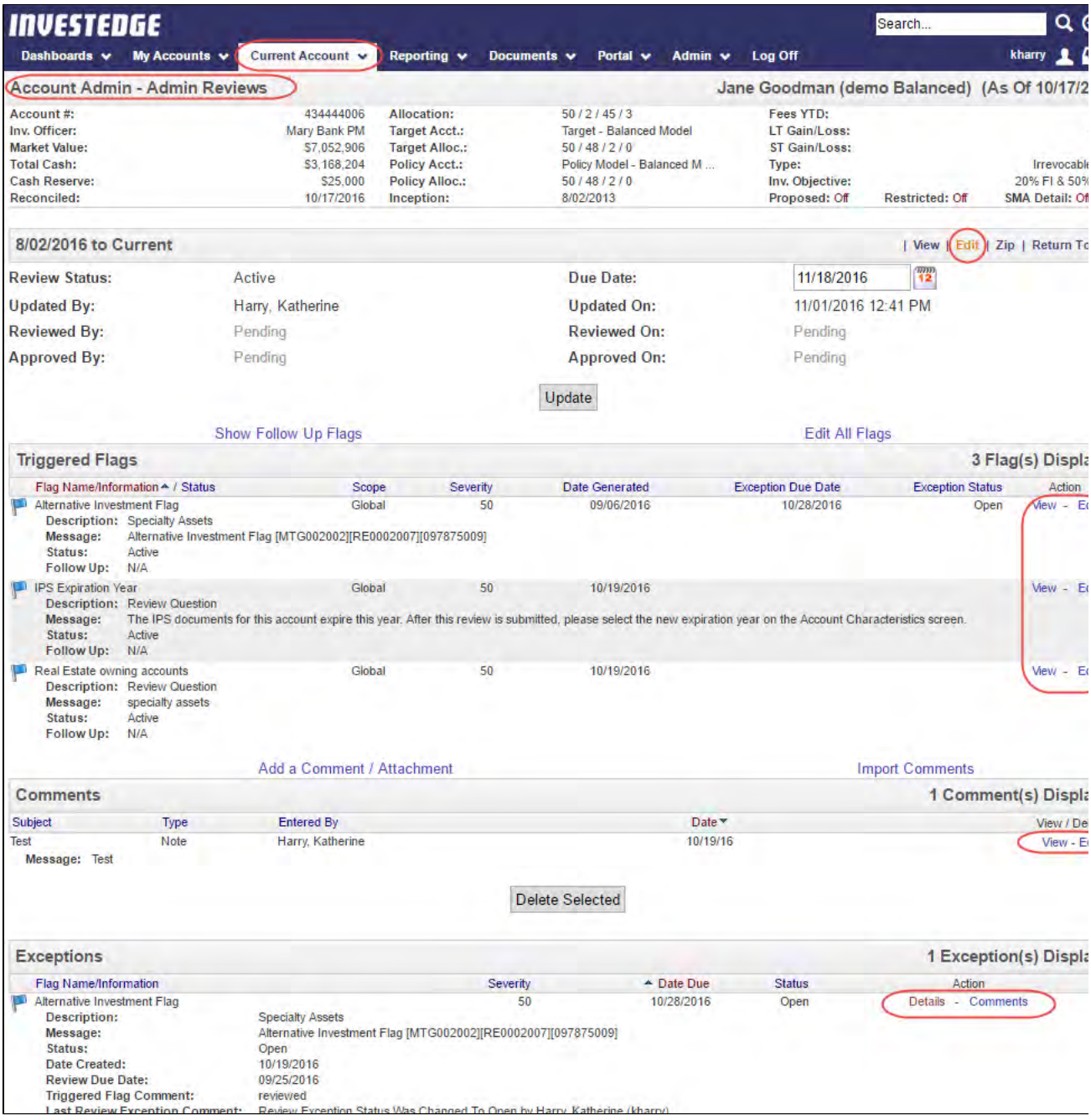
There is a site configuration related to this functionality. Contact client services for further information.

Editing an Admin Review

To make changes to the selected **Admin Review** including the **Triggered Flags, Comments, Exceptions**, and **Auditor Comments:**

- Click the **Edit** link for the **Review.**

You can modify the **Due Date** in the top section of the **Review** and view details about the **Admin Review**. When the desired changes are made, click the **Update** button.



About Due Dates

The **Due Date** is system-populated based on a pre-defined number of calendar days set by the administrator. The **Due Date** is based on the previous

review's **Due Date**. The **User** has the ability to modify the **Due Date,** but can only set the date earlier than the system-calculated date. If a **User** does not

have the **Account – Admin/Investment Edit Due Date** right the **Update** button is not displayed.

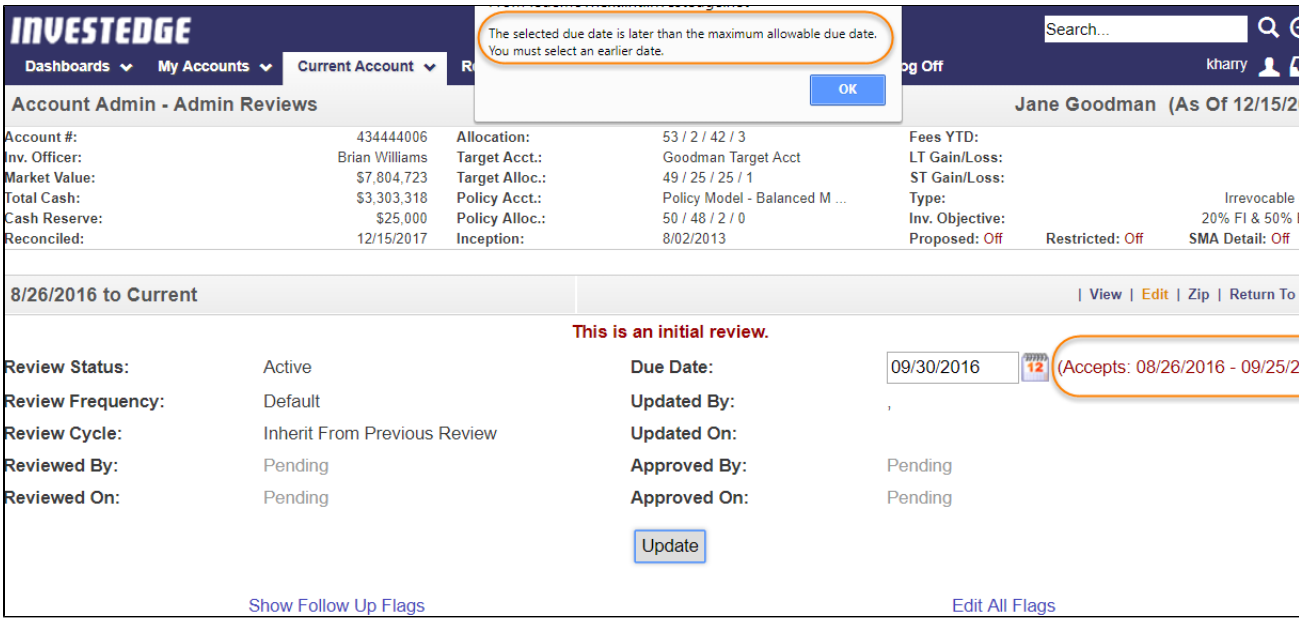
Acceptable Due Dates

When viewing an **Active Review,** you can see the **Minimum** and **Maximum Due Dates** that are acceptable based on the **Review**

Frequency and **Review Cycle.** You will be notified with a message when you manually override a **Due Date** that is not within the normal **Revie w**

Cycle. When a change is manually done to the **Due Date** on an **Active Review,** it does not change the **Review Frequency** and **Review Cycle** for

future **Reviews.** It is a 1-time change.



Primary/Associated Account Identifier

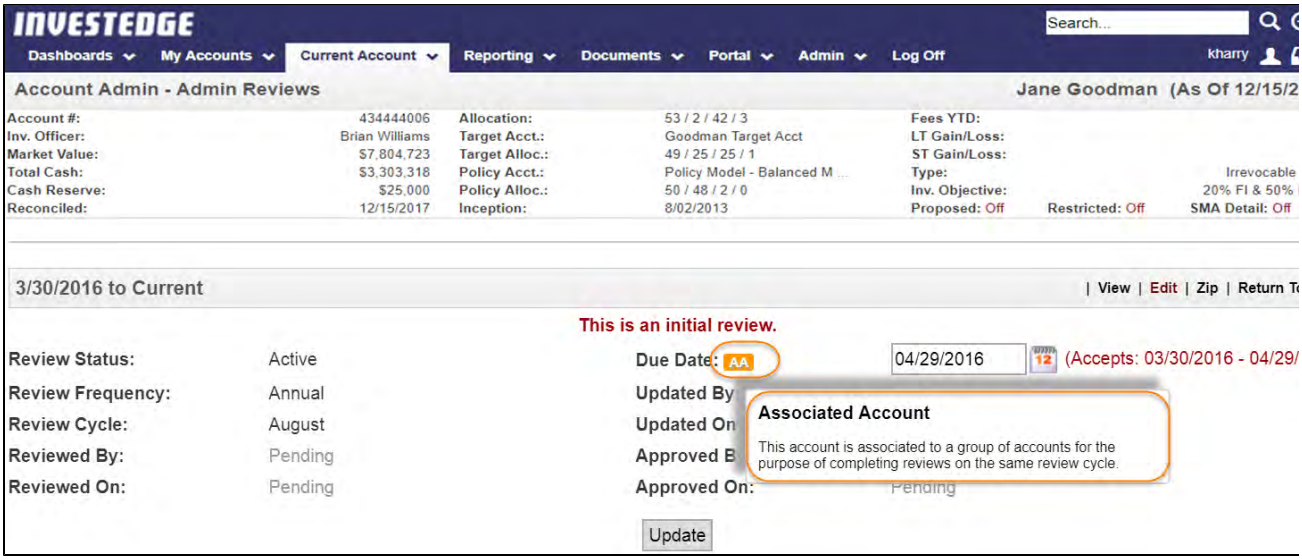
When the **Due Date** is updated due to an **Account** being added as an **Associated Account,** the **Auditor Comment** will reflect the **Primary**

Account Number in the message.

Example: ***Due date was changed by the system from 5/1/2018 to 2/1/2018 due to Primary account (116947-000) Update.***

There is also a notification with hover text that explains why the **Due Date** is different than the **Review Cycle.**

Text: ***This account is associated to a group of accounts for the purpose of completing reviews on the same review cycle.***



There is a user right you must be assigned to edit the **Due Date.** Contact your administrator for further information.

- While a **Review** is **Active,** the **Report Run Date**, **Status**, and **File** fields are not displayed (the **Report** and its details are generated when the **Review** is **Submitted).**
- If a **Review** is **Submitted** and the PDF report returns an error, unknown status, or file not found status, a **Regenerate** button is displayed below the report error message.

- When displaying or editing an **Admin Review** that has the initial indicator set to **TRUE**, a **Message** is displayed on the screen indicating that the **Review** is an **Initial Review.**
- A site configuration is available for **Initial Admin Review # Days**. This **Parameter** is used to calculate the **Due Date** for **Initial Reviews** creat ed by the **Dataload** and is used to validate **Admin Review Due Date** overrides entered by users.
- There is an edit check available so that when a **User** has the right to override a **Review Due Date** and the **Admin Review** is marked as **Initia l,** the **User** cannot change the **Due Date** beyond the **Review Date** created + **Initial Review** # days defined by the site configuration.
- A site configuration available that allows screens to designate whether or not to enforce the edit check that prohibits the submission of a **Revi ew** due in a future calendar year for **Reviews** marked as **Initial Reviews.** When this configuration variable is set to **TRUE, Initial Reviews** du e in future calendar years can be submitted.
- There is a site configuration that allows for the option to set the **Active Review's** beginning date to the current date when the rejected **Review** is resubmitted.
- The data in the **Report** will reflect the account information at the time the **Report** is regenerated and could differ from the time the **Review** wa s initially submitted.

Viewing Triggered Flags

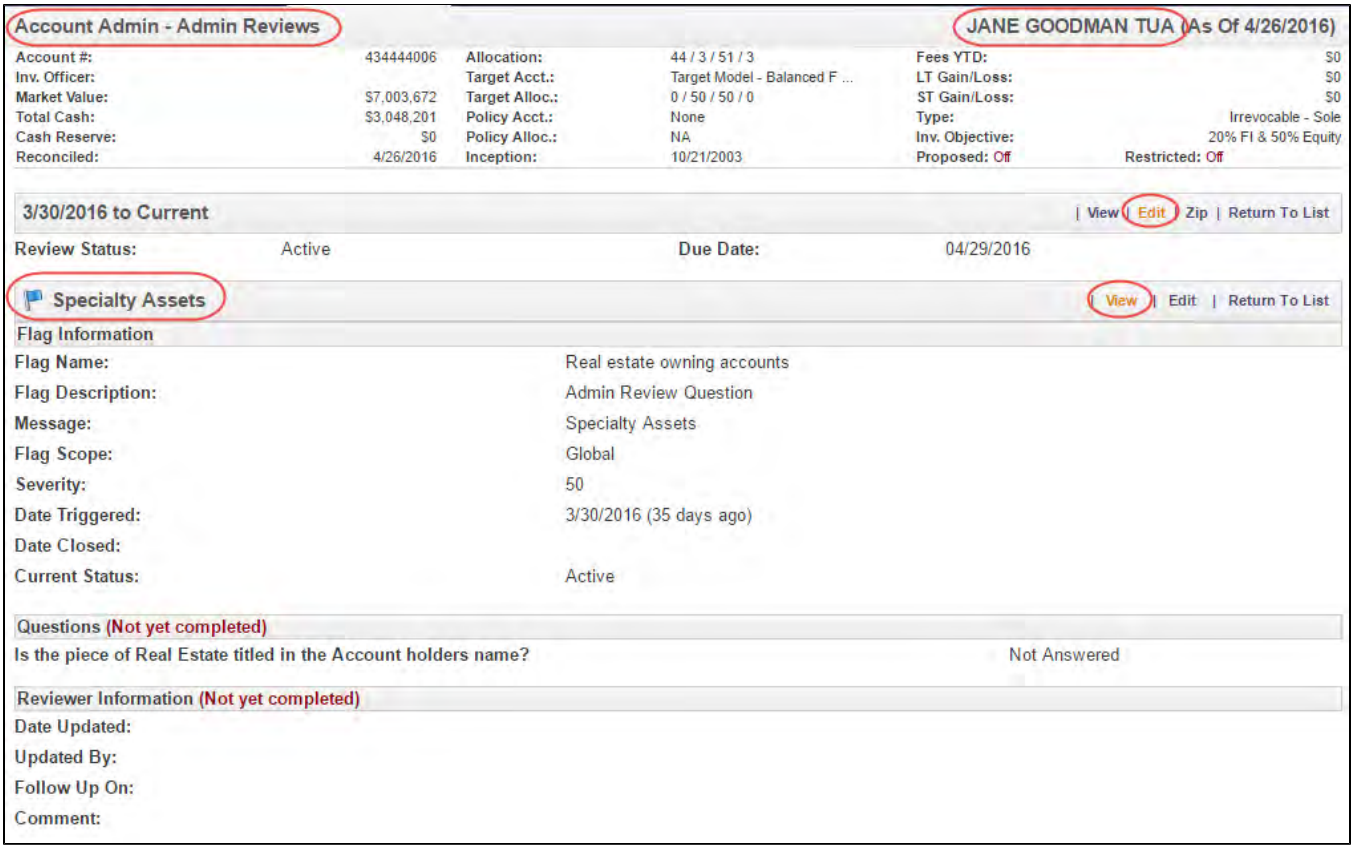
To view the **Flag** information, status, and the **Admin Review** status:

- Click the **View** link for the **Flag**

Flags are sorted in descending order by **Severity** but can be sorted by clicking any column heading. **Triggered Flags** associated to **Admin Reviews** are

always generated by **Global Flags** that are designated as global. All **Flags** must be addressed before the **Review** can be submitted.

The **Reviewer Information** section reflects updates to the **Triggered Flag** or updates as a result of submitting the **Admin Review.**



Editing Flags

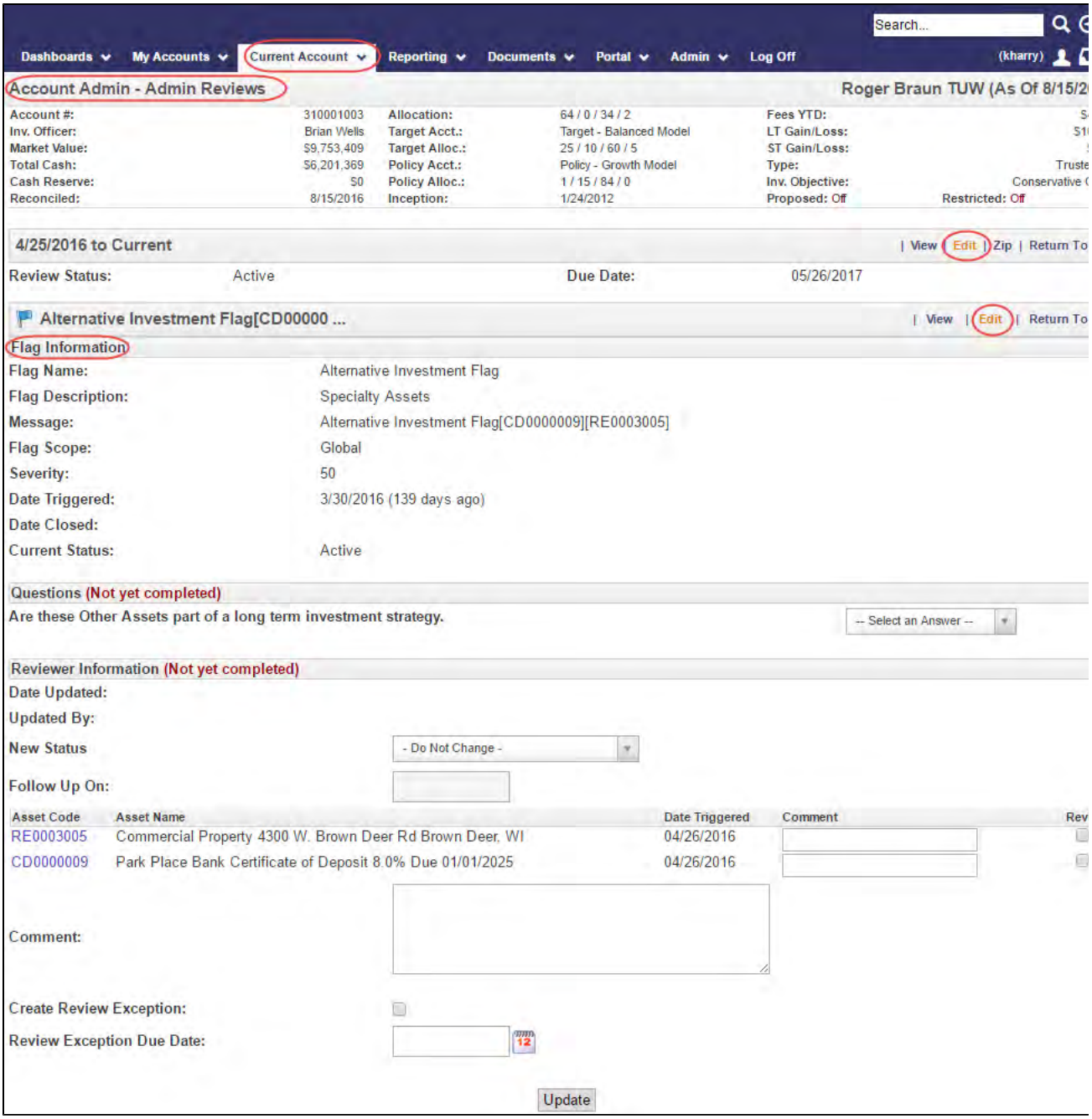
To edit **Flags** in order to submit a **Review:**

1. Click the **Edit** link for a **Flag**
2. Address all **Flags** within the **Review.** Correct the conditions that triggered the **Flag** causing the **Flag** to close or by acknowledging the **Flag** an d marking it as **Reviewed** or **Reviewed, Follow Up Next Cycle** for future resolution.
3. Select a **Follow-Up Date**
4. Add a descriptive **Comment**
5. Click the **Update** button.

When editing/viewing a **Specialty Asset Triggered Flag,** the screen will individually list each **Asset** considered a specialty **Asset** based on

the **Configured Flag Parameters** held by the **Account.** The **Reportable Asset Flag** has a configuration option to require **Users** to mark each **Asset** as

reviewed as well.



Flag Statuses and Editing Access:

Flag Status	Edit Access
Active (comments entered or not)	Any user with appropriate user security.
Closed	Not editable by any user.
Reviewed	Editable when the user attempting to edit the flag was the last user to record an update on the triggered flag.
Archived	Not editable by any user.
Submitted	Not editable by any user.
Follow Up	Any user with appropriate user security.
Reviewed, Follow UpNext Cycle	Editable when the user attempting to edit the flag was the last user to record an update on the triggered flag.
Reviewed by Second Person	

	ONLY the 2nd reviewer information is editable, and only by the person who owns that 2nd revie w.
Reviewed by SecondPerson, FollowUpNext Cycle	ONLY the 2nd reviewer information is editable, and only by the person who owns that 2nd revie w.
Rejected	Any user with appropriate user security.

2nd Reviewers for Flags

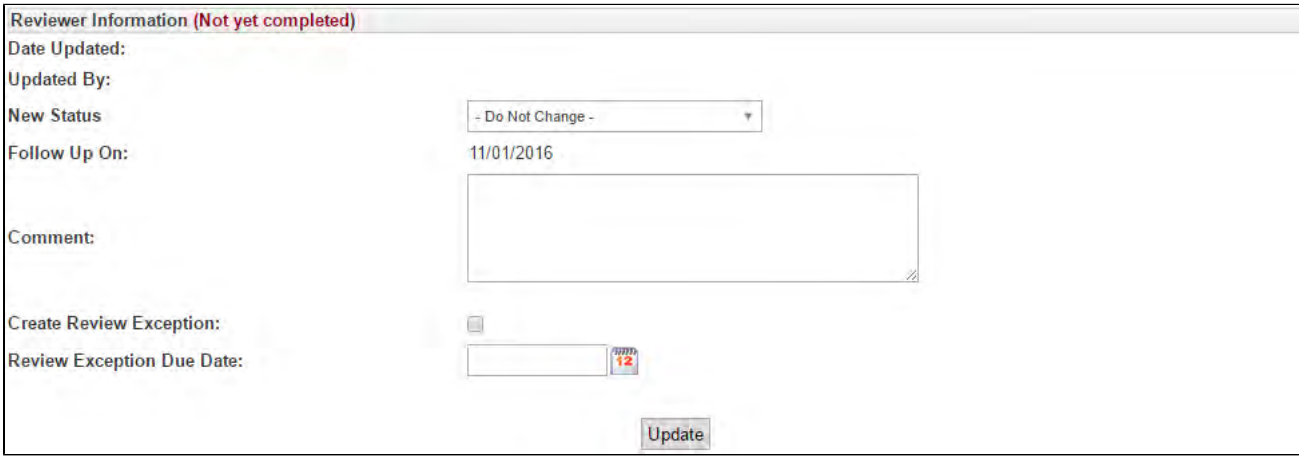
> You must be assigned the **Admin Review 2nd Reviewer** user right to complete this section. Contact your administrator for further information.

If a **Flag** is configured to require a 2nd reviewer, a section for their update is displayed under the main reviewer information. Once the first reviewer

updates the **Flag,** the 2nd reviewer can complete their **Review.** They must select a **Flag** status from the drop-down menu, enter a **Comment,** an d click

the **Update** button. The status options available to the 2nd reviewer are dynamic and dependent on the **Status** selected by the first reviewer.

- When the 1st reviewer sets the **Status** as **Reviewed Follow-Up Next Cycle**; the 2nd reviewer can only set the status as **Do Not Change**, **Reviewed By Second Person**, **Follow Up Next Cycle**, or **Rejected**.
- When the 1st reviewer sets the **Status** as **Reviewed**; the 2nd reviewer can only set the status as **Do Not Change**, **Reviewed By Second Person**, or **Rejected**.
- When the 1st reviewer sets the **Status** as **Follow-Up**; the 2nd reviewer can not review the **Flag** until the status is set to **Reviewed**.



Once all **Flags** have been addressed (marked as **Reviewed** or **Reviewed, Follow-up Next Cycle),** the **Review** can be submitted. Once

a **Review** is **Submitted** or **Approved,** the **Triggered Flag** can no longer be edited.

Editing All Flags

To edit details about all **Flags:**

- Click the **Edit All Flags** link

All **Flag Statuses** can be changed using the **Bulk Status Update** functionality.

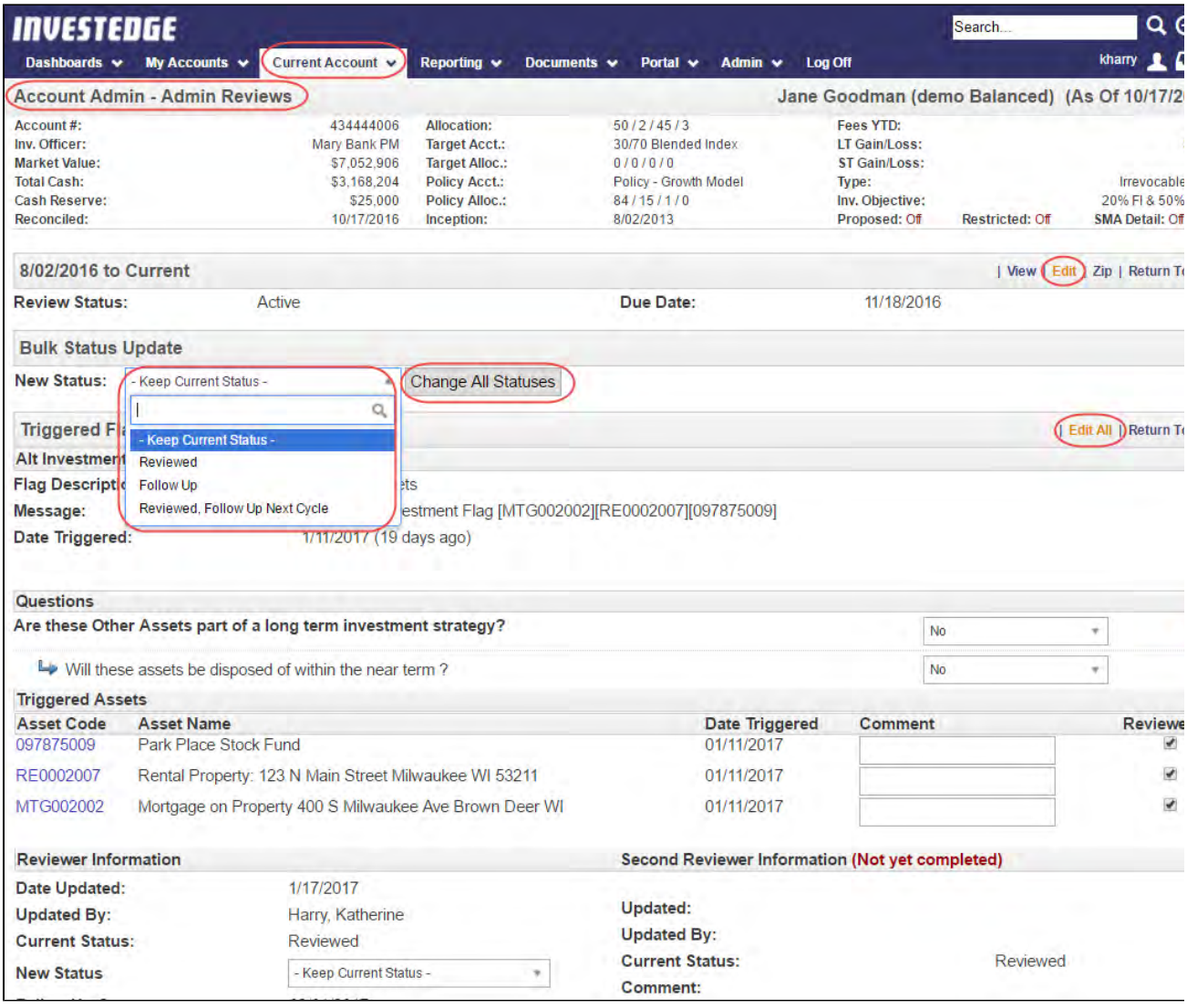
1. Select a **New Status** from the drop-down menu
2. Click the **Change All Statuses** button

There still may be questions and comments that need to be completed for the **Flag** before the **Review** can be submitted. You can only modify, edit and

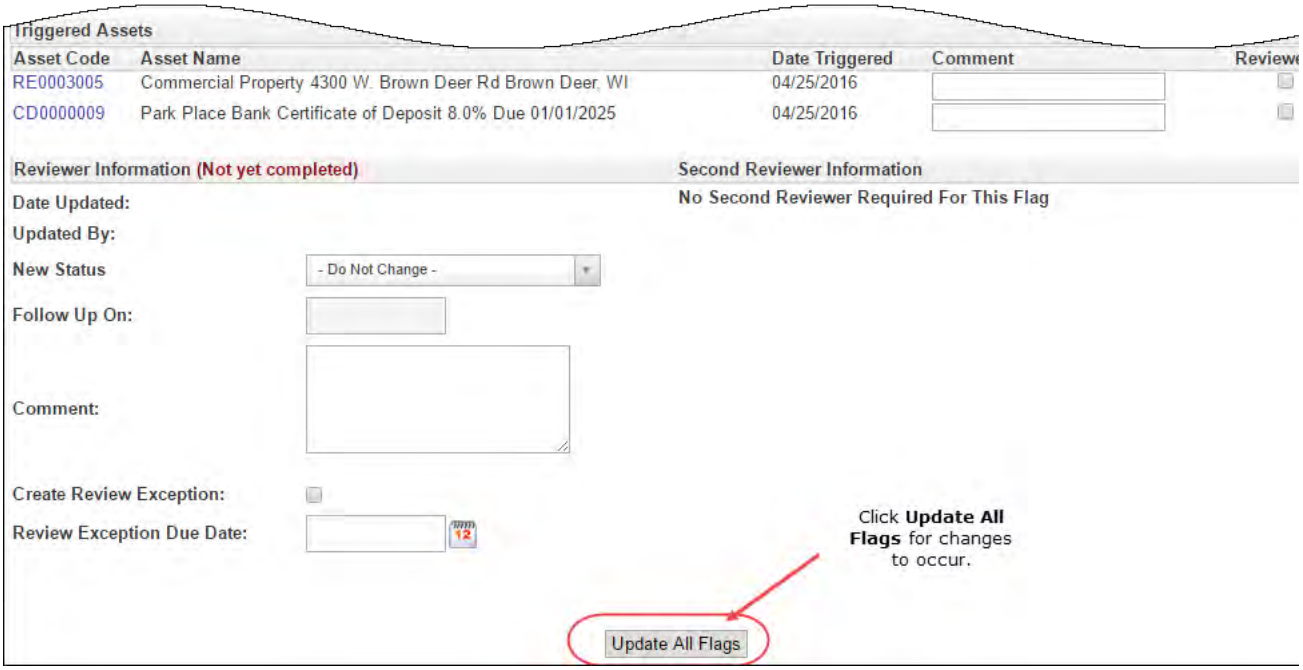
delete your own **Comments.** System-generated **Audit Comments** cannot be deleted or modified. New items are added to the **Event Log** for rejections

and submissions/resubmissions.

Once a **Flag** is marked as **Reviewed** by a **User,** another **User** cannot bulk update the **Status** of that **Flag.**

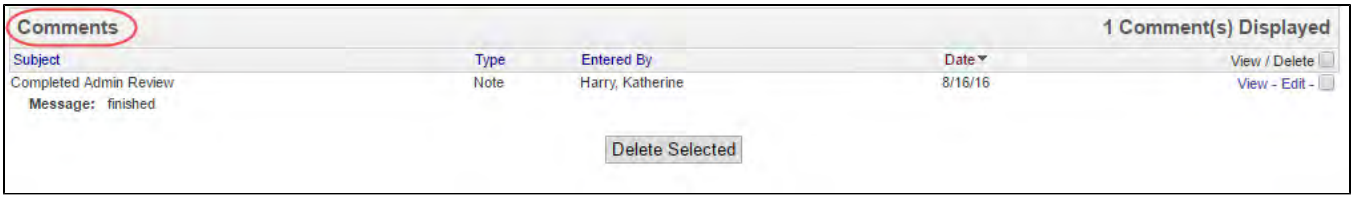


After completing the **Review,** click the **Update All Flags** button at the bottom of the screen.


Triggered Assets
Asset Code
Asset Name
Date Triggered
Comment
Reviewe
RE0003005
Commercial Property 4300 W. Brown Deer Rd Brown Deer, WI
04/25/2016
CD0000009
Park Place Bank Certificate of Deposit 8.0% Due 01/01/2025
04/25/2016
Reviewer Information (Not yet completed)
Second Reviewer Information
Date Updated:
No Second Reviewer Required For This Flag
Updated By:
New Status
- Do Not Change -
Follow Up On:
Comment:
Create Review Exception:
Review Exception Due Date:
Click Update All Flags for changes to occur.
Update All Flags

Comments/Attachments

You can only add/edit/delete review level **Comments** and **Import Comments** on **Active** and **Rejected Reviews,** or add/edit/delete **Auditor's Comments** (as described below). All **Comments,** except **Audit Type Comments,** are displayed in descending order by date in the **Exceptions** section of a **Review.** **Comments** that are written by the 2nd Reviewer for **Triggered Flags** are also displayed in the **Triggered Flags** section of a **Review.**

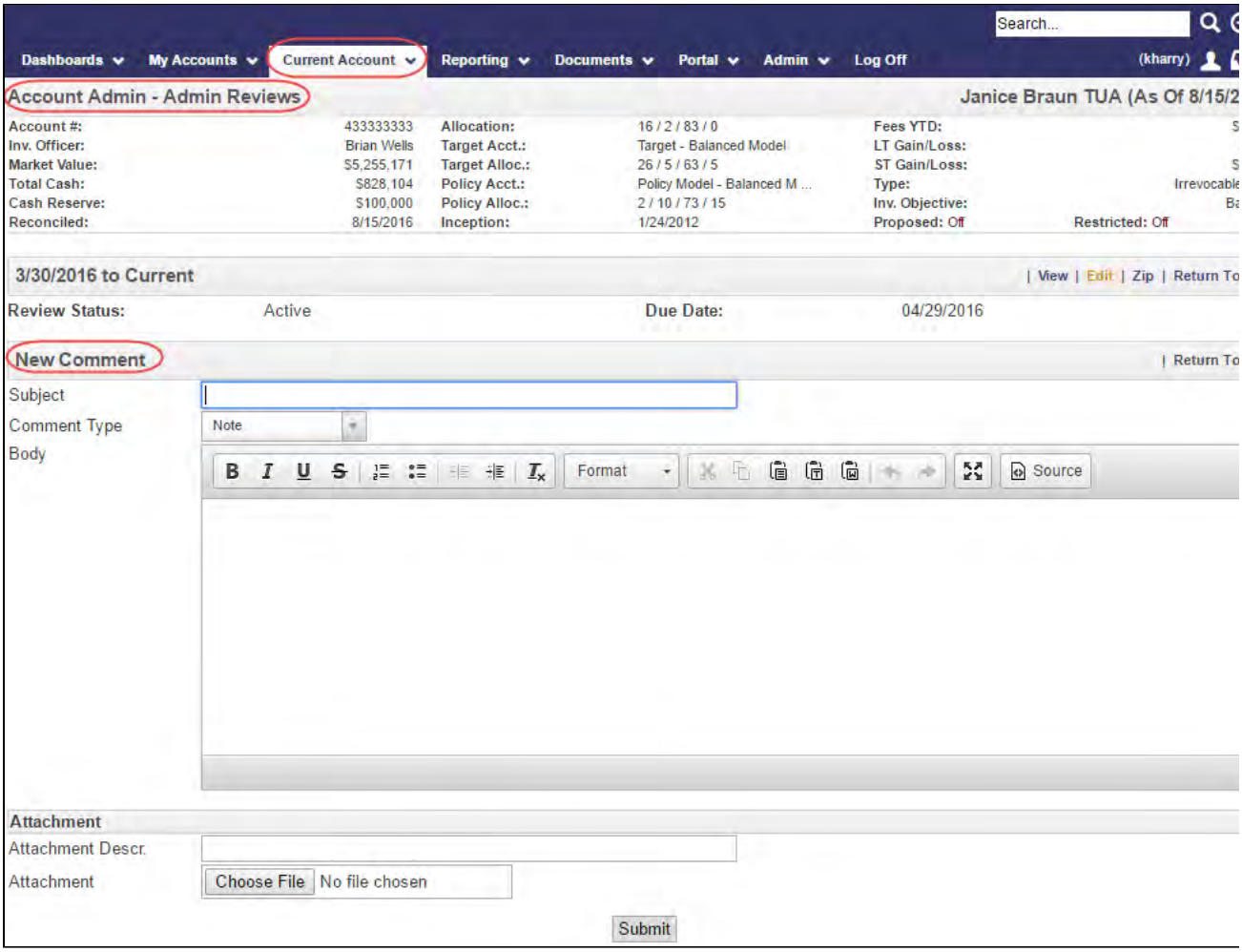


Adding Comments to a Review

To associate a **Comment** & **Attachment** to the current **Admin Review:**

1. Click the **Add A Comment/Attachment** link
2. Enter the subject and message text
3. Select a **Comment Type**
4. Enter an **Attachment Description** and select a file to attach if applicable
5. Click the **Submit** button

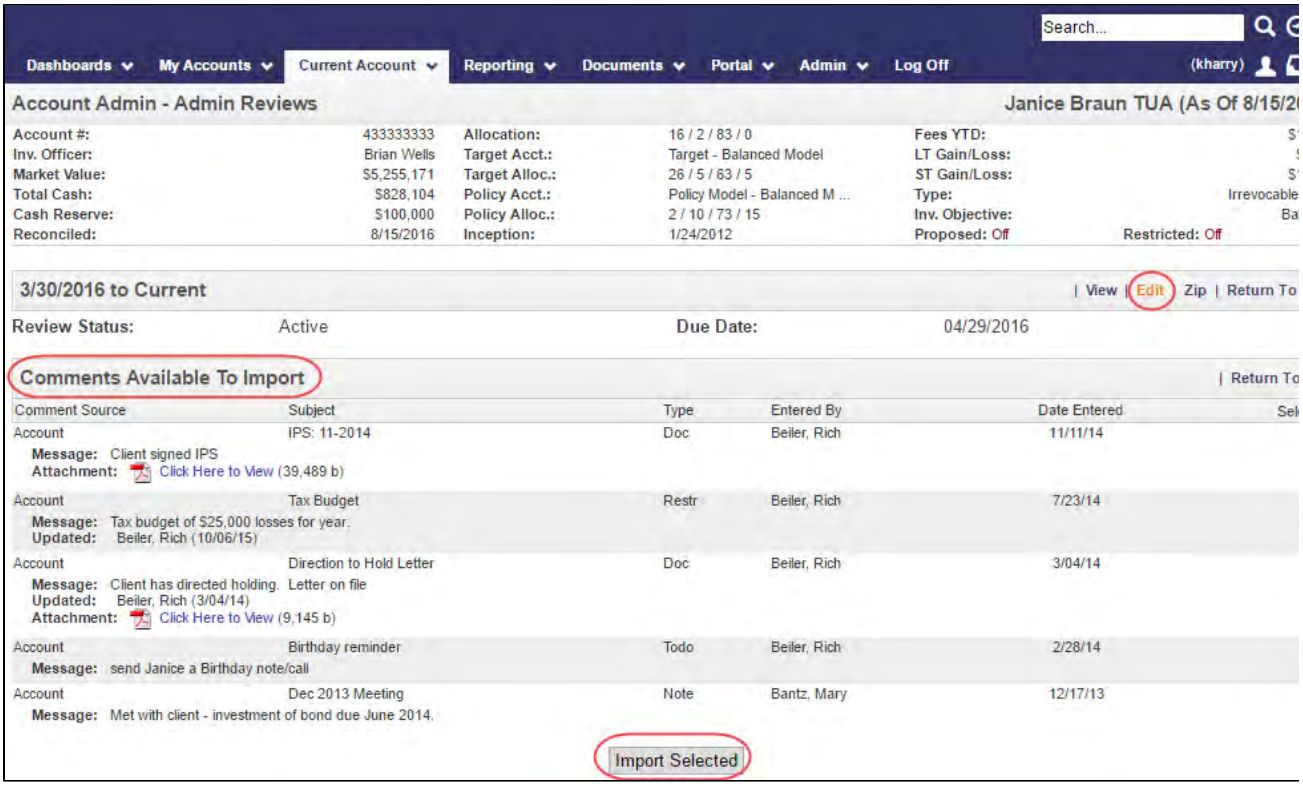
> ⚠ These **Comments/Attachments** will not be viewable on the **Account Comments/Attachments** screen



Importing Comments

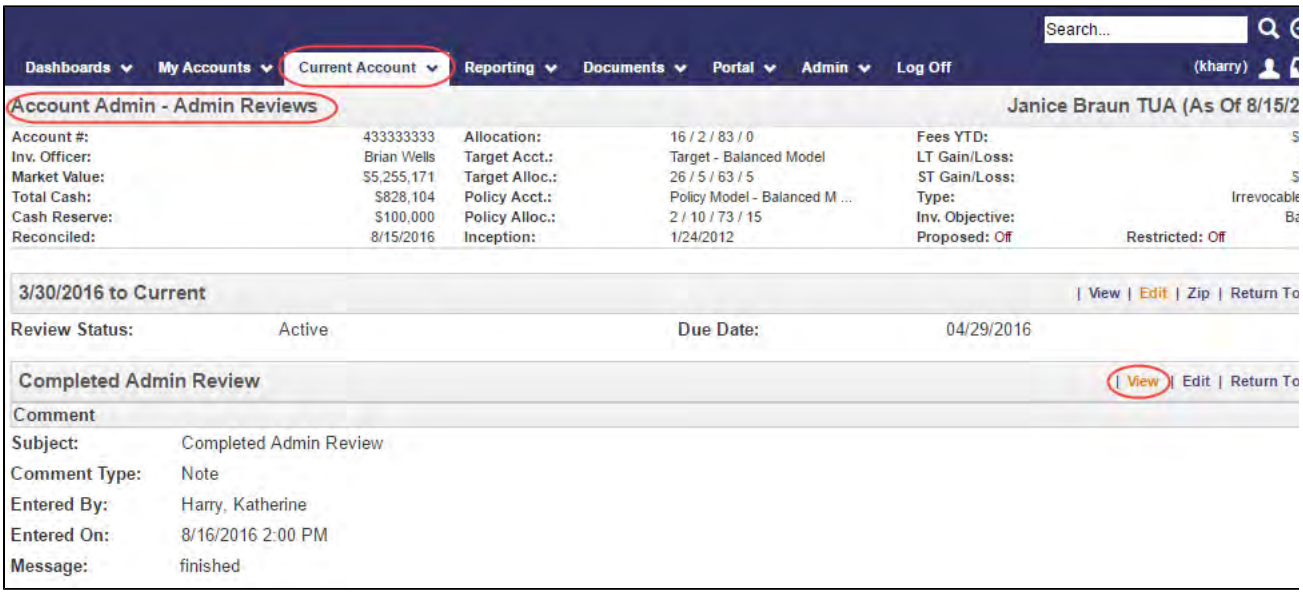
You can import **Comments** associated to the last **Review** record or **Comments** associated directly to the **Account:**

1. Click the **Import Comments** link
2. Select **Comments** to attach to the **Review**
   The **Comments** listed as available for import include all **Comments** associated to the **Account** (the non-IPS comments that can be reviewed and maintained on the **Comments/Attachments** screen) and all **Comments** associated with the prior review record (the prior review record is listed directly below the **Current Review** on account's **Compliance Reviews/Admin Reviews** screen.
3. Click the **Import Selected** button



Viewing Comment Details

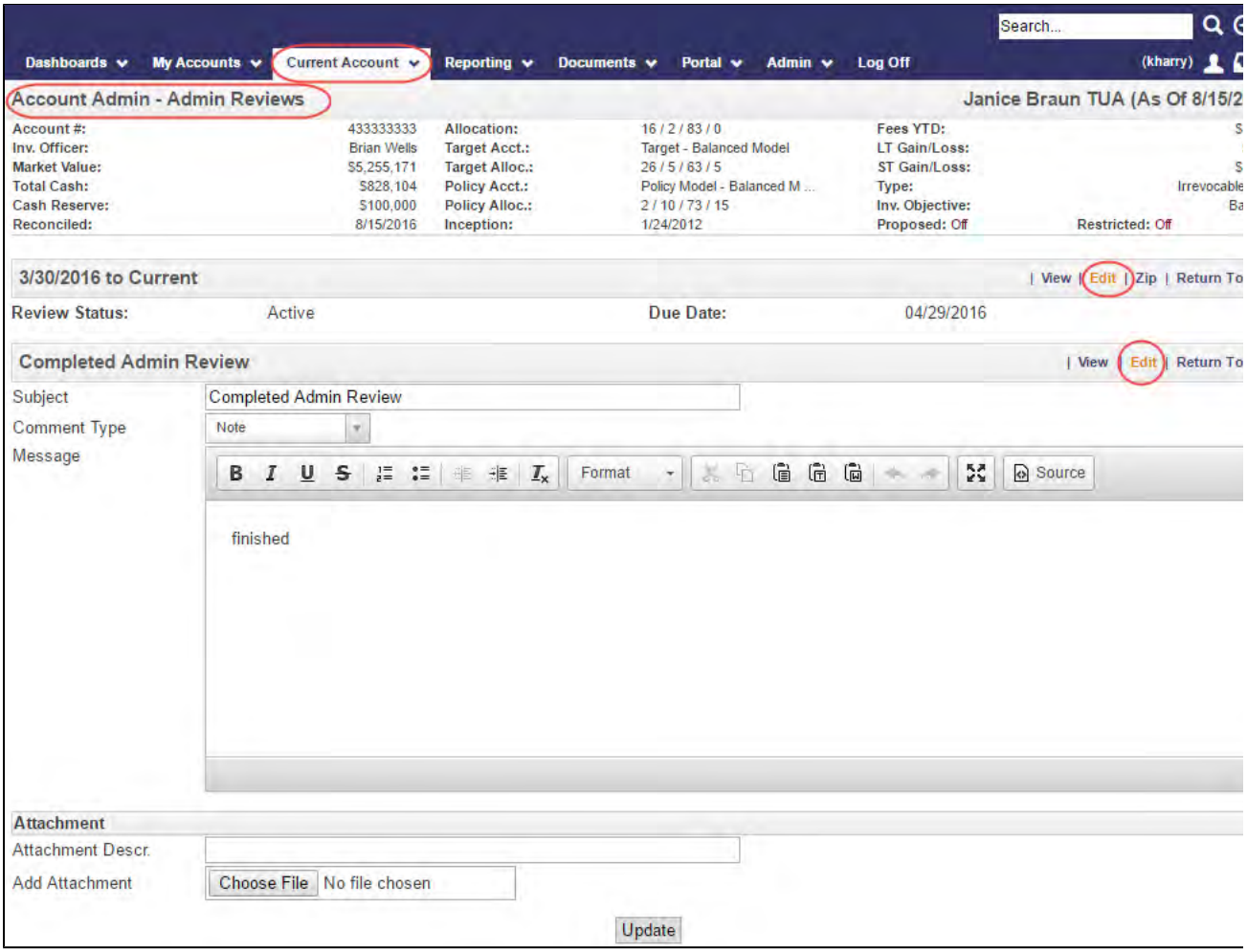
To view the **Comment Details** screen for any **Comment** click the **View** link.The **Comment Subject, Type, Author,** post date/time, and entire **Message** are displayed, along with the **Status** and **Due Date** of the **Admin Review.**



Editing a Comment

To modify the details of a **Comment:**

1. Click the **Edit** link
2. Make changes to the **Subject, Comment Type, Message** or **Attachment**
3. Click the **Update** button



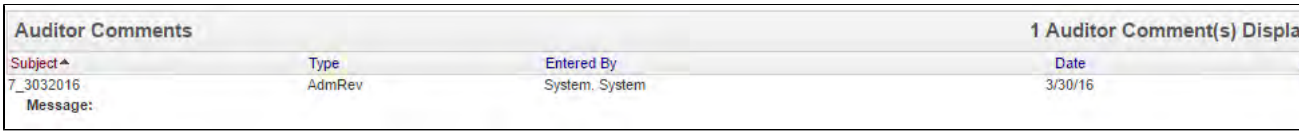
Deleting Comments

To delete a **Comment**, select the **Delete** checkbox to the right of the **Comment** and click the **Delete Selected** button.

Auditor Comments

The **Auditor Comments** section lists any notes that have been associated with the **Admin Review.**

- **Users** with the **Accounts – Investment Review Auditor** or **Accounts – Admin Review Auditor** right can add **Comments** in this section, even after the **Review** is approved.
  This section will act as a date/time-stamped audit trail of changes to the **Review** whenever a **User** updates the **Review:**
  - Due date changed.
  - Review rejected.
  - Review submitted.
  - Review approved.
  - Changes made to the due date, creation date or review type on the **Review Admin** screens.



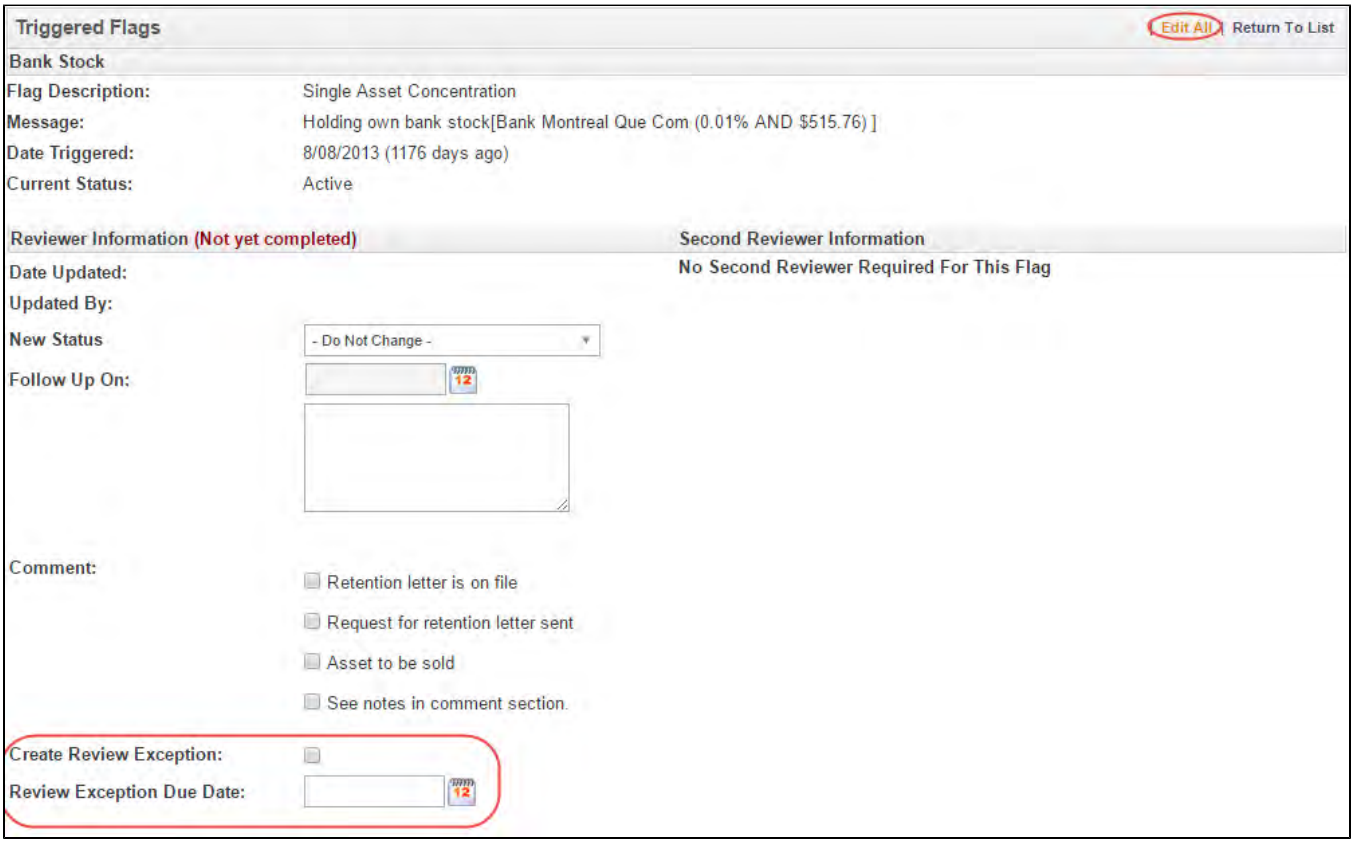
Creating a Review Exception

A **Review Exception** is a record in the system used to force follow-up of open issues from a **Triggered Configured Flag.** This allows for explicit tracking of open issues until their **Due Dates.**

To create a **Review Exception** for a **Flag:**

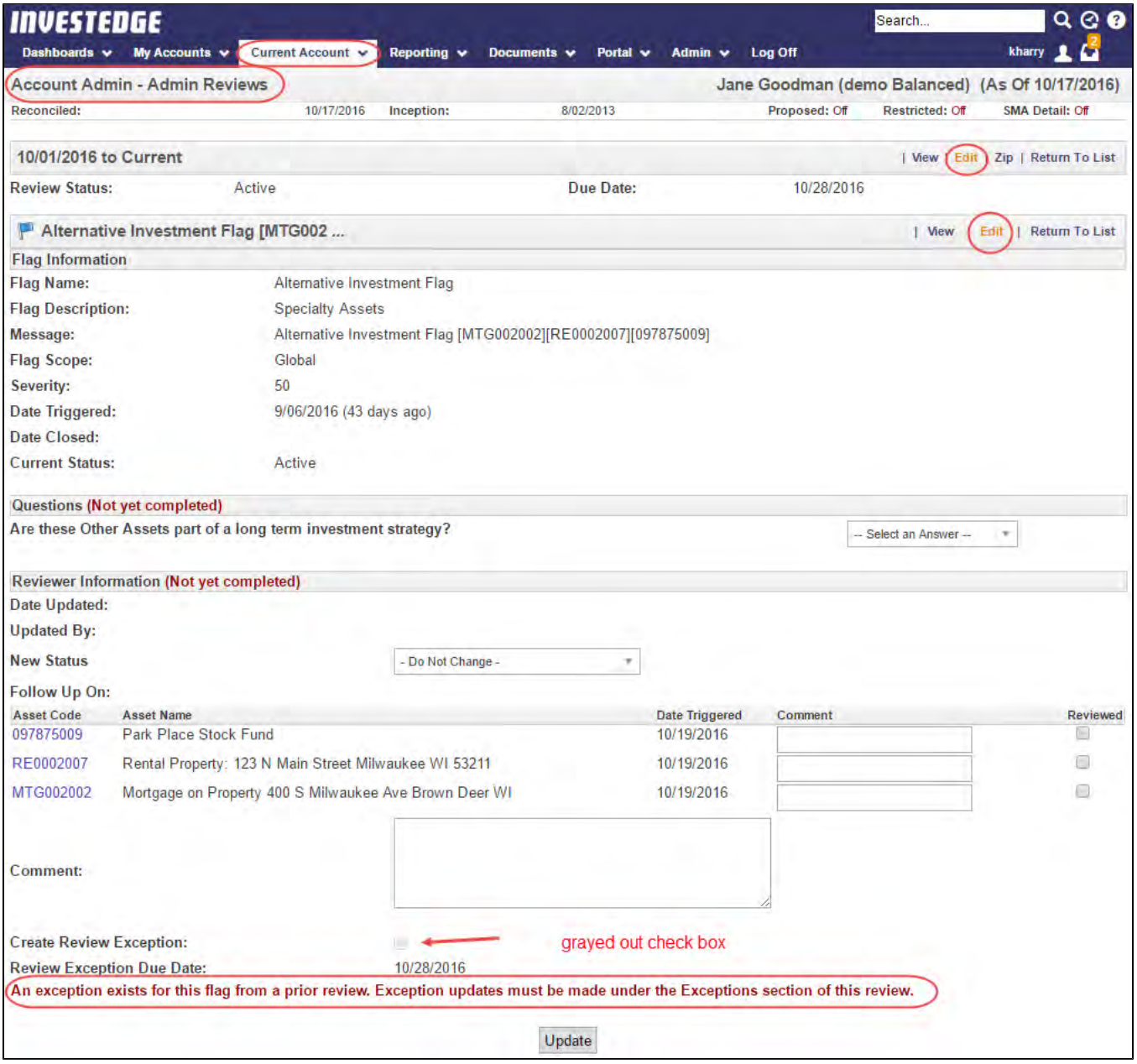
1. Select the **Create Review Exception** checkbox
2. Select or enter a **Review Exception Due Date**
3. Click the **Update** button

When you select the **Flag Status** of **Reviewed, Follow Up Next Cycle** it requires the creation of a **Review Exception.** The **Create Review Exception** checkbox will be selected and grayed out. It can not be deselected. A **Flag** must be configured by an administrator at the watch level to allow **Users** to override the creation of a **Review Exception.**

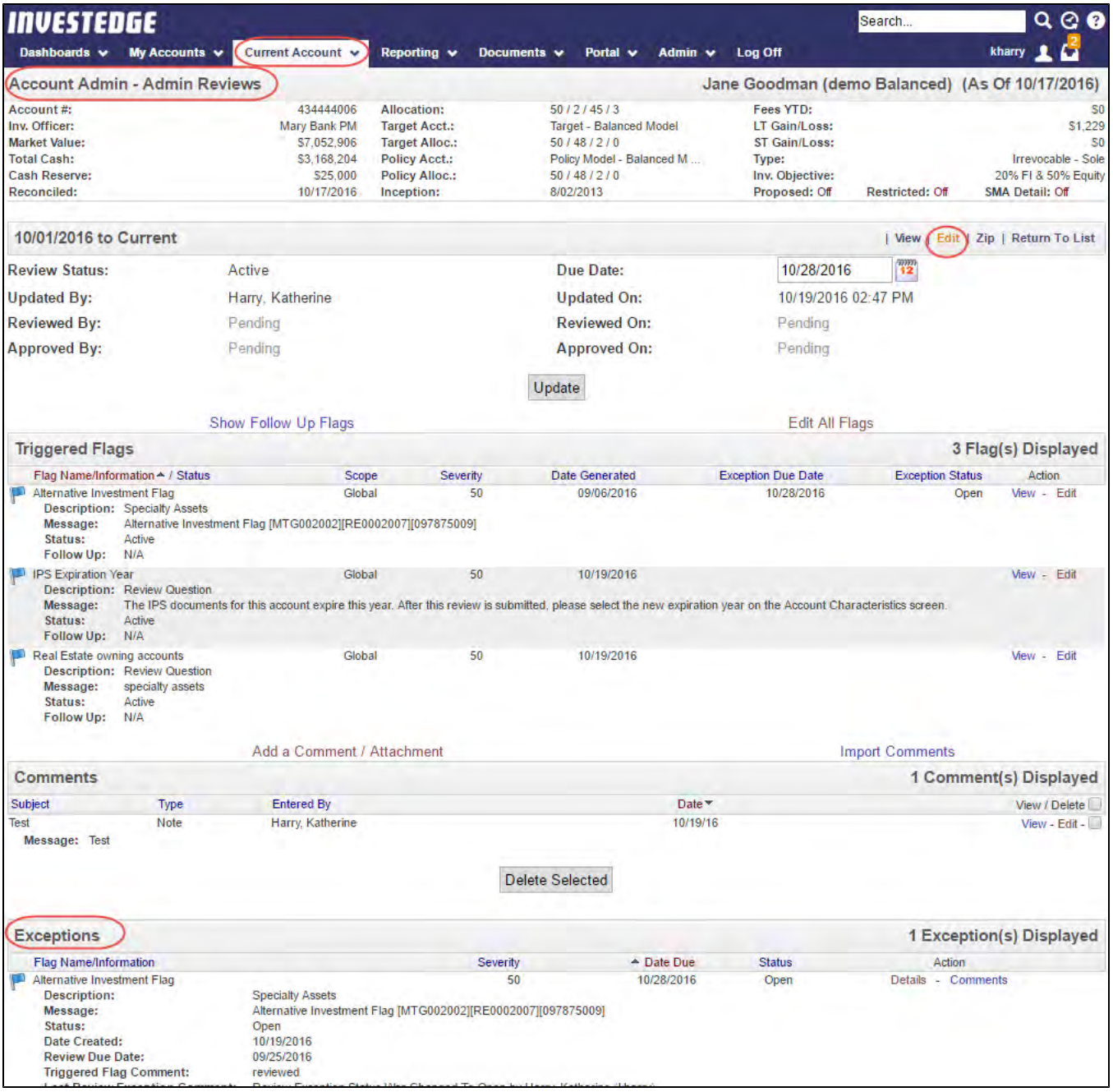


You will be notified when a **Review Exception** already exists and are unable to create another **Exception.**

Notification to the User that there is an existing Review Exception:



After a **Review Exception** is created it is displayed in the **Exceptions** section of the **Admin Review.**



For more information on Review Exceptions: Review Exceptions Workflow Tutorial.

Submitting and Approving a Review

The **Review Submission and Approval** section displays the **Submission/Approval** options for the current **Review.** When a **Review** is

still **Active,** you must review all **Flags** within the **Review** before any submission/approval options are available. **Active Reviews** can not be submitted until all

previous **Reviews** are **Approved,** even if all **Triggered Flags** are marked as **Reviewed**. When this condition exists, a **Message** is displayed at **Messa ge** at

the bottom of the edit **Review** screen in the **Review Submission** and **Approval** section.

Once all **Flags** have been addressed (marked as **Reviewed** or **Reviewed, follow up next cycle),** click the **Submit** button. The language displayed on this

screen is configurable. The **Admin Review** PDF is created and the **Review** is ready to be approved or rejected), and the approve/reject radio buttons are

displayed.

> You need to be assigned the **Accounts** - **Admin Review Administrator** user right to approve or reject a **Review.** Contact your administrator for further information.

Rejected Reviews

Flags are run on the **Review** that was rejected real-time in order to clean up **Flags** on the **Rejected Review** so that when it is submitted again,

the **Triggered Flags** match the current data and are not stale, and any new conditions are included with the next submission. If

a **Review** is **Rejected,** all **Flags** within the **Review** are marked as **Rejected** and the **User** must re-address the **Flags** and mark them as reviewed or

follow up before continuing.

> There is a dataload configuration to enable email notifications for rejected **Admin Reviews.** Contact client services for further information.

Approved Reviews

When a **Review** is **Approved,** the **Flags** are marked as **Archived** and can no longer be edited.

Editing **Comments** is not allowed once a **Review** is approved.

Submitted Reviews

Submitted Reviews can not be approved unless a review report PDF is generated successfully.

Zipping Reviews and Attachments

Click the **ZIP** link in the review header to view or save all **Comments** associated with the **Review.** All attached files are included: All review PDF's generated

through the review life cycle (if the **Review** was rejected and re-submitted, both review documents are included in the zip)- All attachments added through

comments- All attachments added through auditor comments.

User Rights

User Rights need to be set by your administrator. Contact client services for site and dataload configuration setup related to Admin Reviews.

User Rights

User Rights	Definition
Accounts - Admin Review 2nd Reviewer	Ability to perform second-level review for triggered admin review flags. Note: This right does not provide access to any specific screen. A user must have access the appropriate account and search screens to execute a 2nd level review of a triggered flag.
Accounts - Admin Review Administrator	Ability to approve/reject account Admin Reviews. Note: This right does not provide access to any specific screen. A user must have access the appropriate account and search screens to execute reject/approve an account Admin Review.
Accounts - Admin Review Auditor	Ability to add a new comment after an administrative review has been approved.
Accounts - Admin Review Edit DueDate	Ability to edit the review date on Admin Reviews
Accounts - Admin Review Reviewer	Ability to access the Admin Review search and the account Admin Review screens. Note: This right also allows a user to submit an Admin Review for approval.
Accounts - Admin Review Viewer	Ability to access the Admin Review search and the account Admin Review screens. Note: This right only allows for viewing the reviews, not submitting or modifying them.
Administration - Admin Review Maintenance	Ability to update admin review dates in bulk.