

HR Quick Reference Guide

How to record an HR Operating Instance into **Quell** risk management system.



Quick Reference Guide

QRG Overview

Use this step-by-step Quick Reference Guide to enter HR Operating Instances into the Quell risk management system. As a reminder, a Date Disclosure Instance is reported separately by opening a ServiceNow ticket.

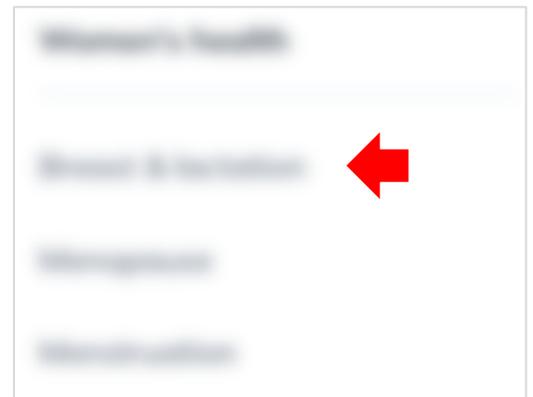
Initial Information

STEP 1: START

Launch [Quell](#) via the Wizard tool bar.

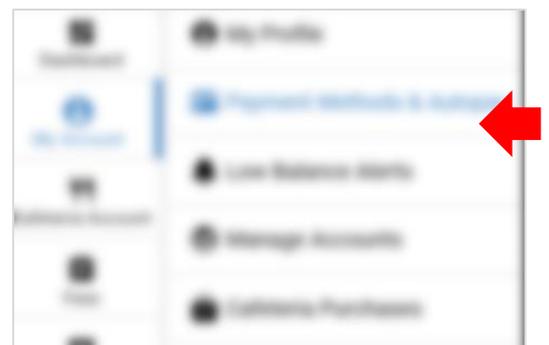
Click on the menu title 'Operational Risk'

Do not click on the dropdown arrow next to Operation Risk. Click on the menu title.



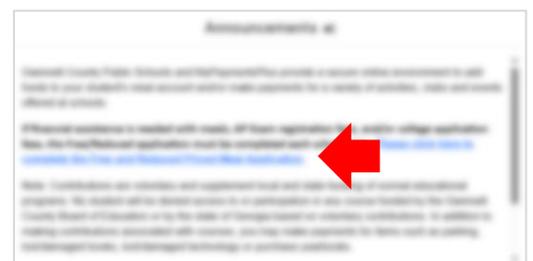
STEP 2: NEW RECORD

Click on 'Create a New Op Instance Record.'



STEP 3: ACKNOWLEDGE

Review all updated disclaimers and mark required attestations. Click on the 'Acknowledge' button.



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STEP 4: INSTANCE TITLE

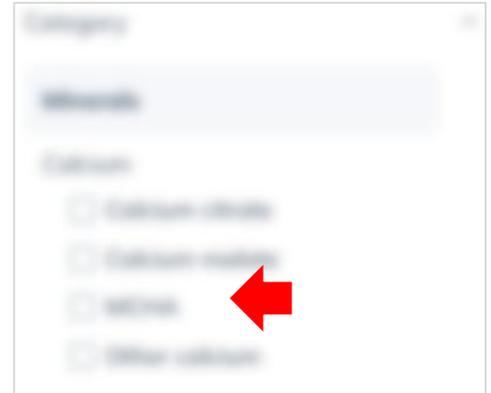
Enter 'Instance Title' using this format:

“Name of the region(s) impacted – Name of country –
One line title of the instance – Root Cause”

Note:

- Write 'Global' in cases of employees/candidates impacted across all regions.
- Enter 'TBD' if root cause is not yet known at the time of submission.
- Add 'Third Party Error' next to root cause in cases of an instance where a third party is accountable for the root cause.

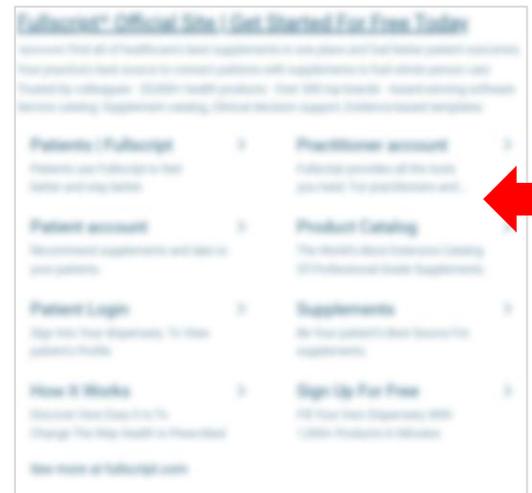
Click 'Next.'



Ex: Global - EMEA - DE – Failure to authenticate ID requirements

Quell will generate a six-digit
Operating Instance number:
OI - XXXXXX

- Select the 'Lookup' button on the far-right side.
- Select a 'Cost Center' for the allocation using the look up field. This indicates the accountable team for the operating instance.



Note for descriptions and allocation: Split accountability in Quell is created only by the SQA team. Splits are only created for operating instances with an overall Severity Level of A or B.

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STEP 5: DESCRIPTION

Enter '**Description of Instance**' including all the following information:

- What is the unintended outcome? Describe impact to our company our employees, or our clients.
- How was the instance discovered?
- Description of anticipated daily process, what typically happened?
- Corrective Action(s) taken to rectify the impact
- Role & responsibility of accountable team(s) involved
- Any other updates as part of ongoing investigation.

Enter '**Root Cause**'

Describe In detail where and how the error happened, along with the risks involved

EXAMPLE



The image shows a blurred screenshot of a form with a red header labeled 'EXAMPLE'. Two red arrows point to specific sections of the form. The first arrow points to a section titled 'Management, Training & Development'. The second arrow points to a list of bullet points under a section that appears to be 'Root Cause'.



Remember, we can always go back to add additional information to the description or root cause.

Because the initial submission **must be made within 24 hours**, it's possible that new information will emerge.

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Supporting Documentation

STEP 6: SEVERITY LEVEL

Select a '**Severity Level**' for all three measures – Financial, Regulatory, Reputational.

- Refer to the definitions below on severity levels or read through the description in Quell.
- These severity levels can be edited; however, they must be finalized before the event's final submission to the SQA team.



Click on '**Show Entire Form**' from the '**Actions**' dropdown at the top of the page.



- **Level A Severity** - Instance with adverse global reputational impact, significant regulatory failure with potential litigation or financial impact of realized amount due = 200K USD
- **Level B Severity** – Instance with adverse regional reputational impact or regulatory impact requiring formal disclosure to regulator or financial impact of amount realized > 45K USD but less than 200K USD.
- **Level C Severity** – Instance with potential reputational impact and is not public, regulatory impact that may require disclosure to regulator and financial impact of amount realized to be up to 15K USD.

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Submit and Follow up

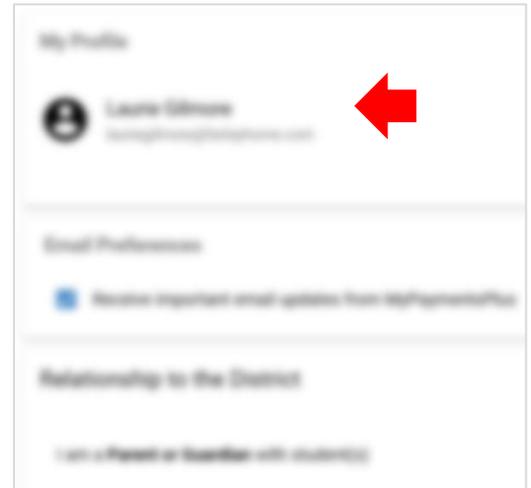
STEP 7: SENIOR LEADER REVIEW

At the bottom of the page, select the name of the **'Senior Leader.'** This must be a member of the **HR Risk Advise ment Group**. Do not add your direct manager or an HR Supervisor.

- John Doe
- Jane Doe
- John Smith
- Jane Smith

Note: Clicking on the  button reveals a helpful guide for country codes. Be careful, some country codes are very similar!

Select on or more regions on the right-hand side. You may select two or more depending on the instance.



STEP 8: FOLLOW UP

Upon submission, you will receive an automated receipt email. The email will be from the Quell system to the Business Liaison, cc'ing all those who are listed as Additional Read Only Contact, as well as the creator/submitter.

You can forward this receipt email to your HRAG member, copying regional and functional teams involved.



Include **all members** of the HR Risk Advise ment Group as read-only contacts when reporting incidents. Failure to do so will prevent them from having visibility to the instance and potentially **result in a late escalation**.