



# **Enterprise Policy Management Module**

## **Baseline Configuration Guide**

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# About Rsam Baseline Configuration Guides

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Rsam Baseline Configuration Guides provide you the information needed to understand the pre-defined configurations for each module. These guides should be referenced to gain a better understanding of how the module is configured and can be used out-of-the-box.

# EPM Baseline Configuration Overview

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This document describes the baseline configuration and structure for the Rsam Enterprise Policy Management (EPM) module. The baseline configurations for the Enterprise Policy Management module allow customers to manage policies and policy campaigns in a centralized repository. The pre-configured activities help streamline the policy management cycle by using a central repository, with the ability to track policy revisions, and through baseline workflows that allow you to modify, review, and publish policies, create campaigns, and acknowledge policies.

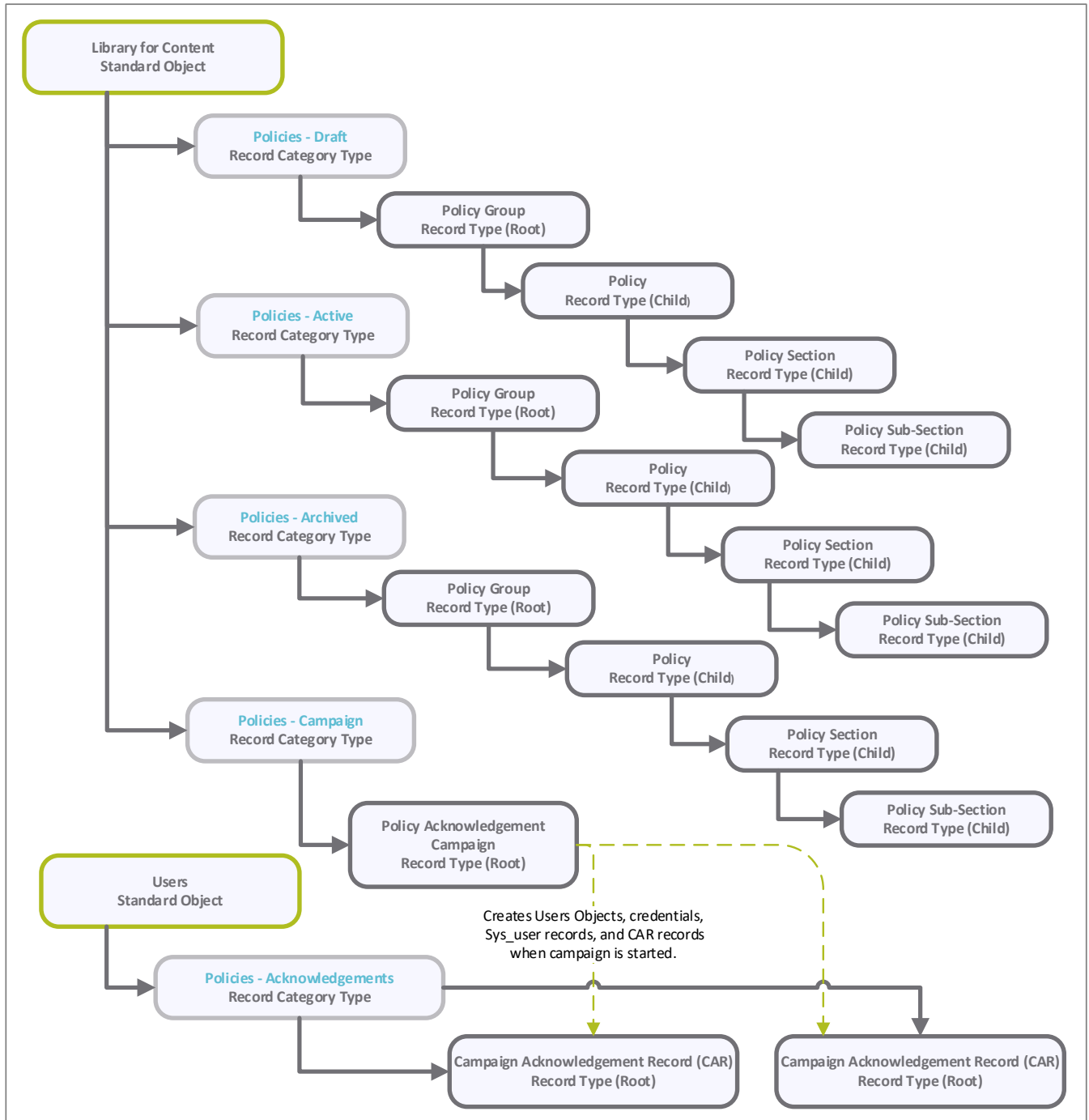
The following is a list of elements that are configured in the Enterprise Policy Management module:

- Structures & Elements
  - Object Types
  - Record Categories and Types
  - Attributes
- Home Page Tabs
- EPM Workflows
  - Workflow Roles
  - Workflow States
  - Workflow Buttons

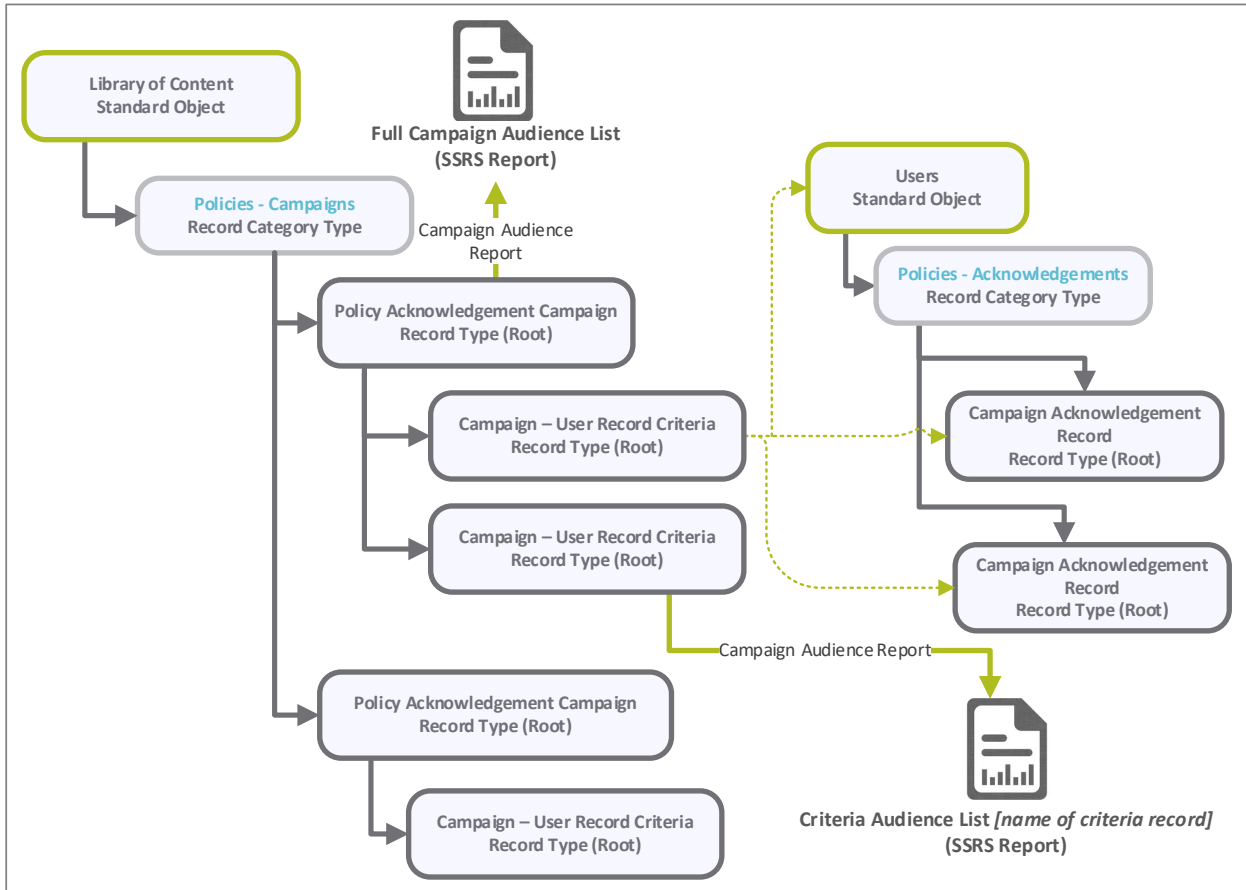
Having information on the elements mentioned will provide a baseline understanding before you use the *Enterprise Policy Management Step by Step Tutorial* or begin to configure the module to meet your unique requirements.

# Enterprise Policy Management Structure

In the Enterprise Policy Management module, the policies and policy campaigns are stored in the object type, **Library for Content**, and the policy acknowledgements are stored in the object type, **Users**.



The following diagram describes the Policy Acknowledgement Campaign structure.



## Object Types

The following table lists the object types that are pre-configured in this module.

Object Type	Usage
<b>Library for Content</b>	This standard object stores all policy groups, policy documents, policy sections, and policy sub-sections, and policy campaigns.
<b>Users</b>	This standard object stores all user records to manage acknowledgement campaigns.

## Record Categories

The following table lists the record categories that are pre-configured in this module.

Record Category	Usage
<b>EPM: Policies - Draft</b>	Record category for all draft policies, sections, and subsections.
<b>EPM: Policies - Active</b>	The record category for policies, sections, and subsections that are available for use (Active Policies) by general users.
<b>EPM: Policies - Archived</b>	The record category in which policies, sections, and subsections are archived by the drafting / publishing processes.

Record Category	Usage
<b>EPM: Policies - Campaigns</b>	The record category for campaigns and campaign related record types.
<b>EPM: Policies - Acknowledgements (CAR)</b>	The record category for Campaign Acknowledgement Records and mapped to the Users object type.
<b>EPM: Campaign - Audience - User Library</b>	The record category for the list of all users to be mapped as audience for Campaign Acknowledgement Records.

## Record Types

The following table lists the record types that have been pre-configured in this module.

Record Type	Usage
<b>EPM: Policy Group</b>	This root record provides Policy Managers with the ability to organize policies into related policy groups. Policy Groups are used to distinctly differentiate sets of policies (for example, IT policies from HR Policies, and English Language Policies from French and German sets of policies).
<b>EPM: Policy</b>	The Child record of the Policy Group root record type and is the highest element of the policy and generally provides the Policy Statement content.
<b>EPM: Policy Section</b>	This record type stores policy-related content. Policy Administrators and Managers can modify an individual section of a policy in the Draft category and publish the modified content after the record goes through the review and approval states.
<b>EPM: Policy Sub-Section</b>	This record type stores content relevant to the related (parent) Policy Section and is the lowest level in the EPM Policy structure. Policy Administrators and Managers can modify an individual sub-section of a policy in the Draft category and publish modified content after the record goes through the review and approval states.
<b>EPM: Campaign - Policy Acknowledgement Campaign</b>	The root record containing the relationship between Policies and Audiences as well as the definition of the campaign (start and end dates).
<b>EPM: Campaign Audience - User Library</b>	The root record containing the records of users from which the target audience for the Policy Acknowledgements campaigns can be set.
<b>EPM: Campaign - Audience Library Criteria/Filters</b>	This record type contains the records of users to be displayed for selection from a list and based on the target audience criteria set.
<b>EPM: Campaign Acknowledgement Record (CAR)</b>	This root record is to track each required acknowledgement for campaign records defined in the system. The Campaign-to-CAR record relationship is maintained only by attribute and not by direct record to record relationship.

## Home Page Tabs

The baseline configuration of the Enterprise Policy Management module contains several Home Page tabs. These tabs can be configured for various roles and are then assigned to users to complete tasks. The following table lists the Home Page Tabs that are available in the Enterprise Policy Management module.

Grouping Tab	Home Page Tab	Description
<b>Policy Management</b>	<b>Policies</b>	Provides list of policy categories and displays various dashboard charts that depict the status of policies.
	<b>Policy Navigators</b>	Record navigator that allows users to view policies grouped by categories and workflow states.
	<b>Policy Viewer</b>	Displays a report listing the polices in the system. Users can select to view the Draft or Published policies.
	<b>Policy Acknowledgment</b>	Displays the links to the saved searches listing the policies for acknowledgment.
	<b>Create a New Policy Group</b>	Displays the Policy Group creation form to create new policy groups.
<b>Campaign Management</b>	<b>Campaign Management</b>	Provides access to the policy campaign and acknowledgement records, displays charts that depict the status of campaigns that are underway, and contains a Saved Search displaying campaigns grouped by the workflow states.
	<b>Audience - User Library</b>	Displays a list and graphical representation of user records in the system.
	<b>Dashboard - Campaign Status</b>	Displays the Campaign Acknowledgement Status widget which shows the number of user acknowledgements corresponding to different campaigns that are in progress.
	<b>Campaign Navigators</b>	Provides a record navigator to access the policy acknowledgement status, policy acknowledgement campaigns, and user acknowledgement status.
	<b>Create an Audience - User Library Record</b>	Displays the Audience - User Library creation form to create new user records in the system.
	<b>Create a New Policy Campaign</b>	Displays the Policy Acknowledgement Campaign creation form to create new policy campaigns in the system.

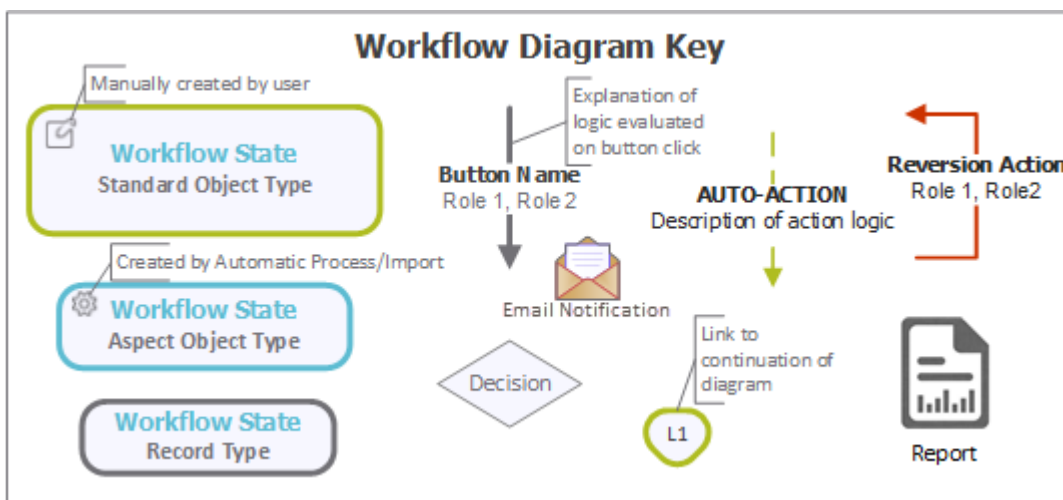


# Enterprise Policy Management Workflows

This section provides details on the roles and baseline workflows in the Enterprise Policy Management module:

- [Policy, Section and Sub-Section](#)
- [Policy Acknowledgement Campaign](#)
- [Campaign Acknowledgement Record](#)

Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.

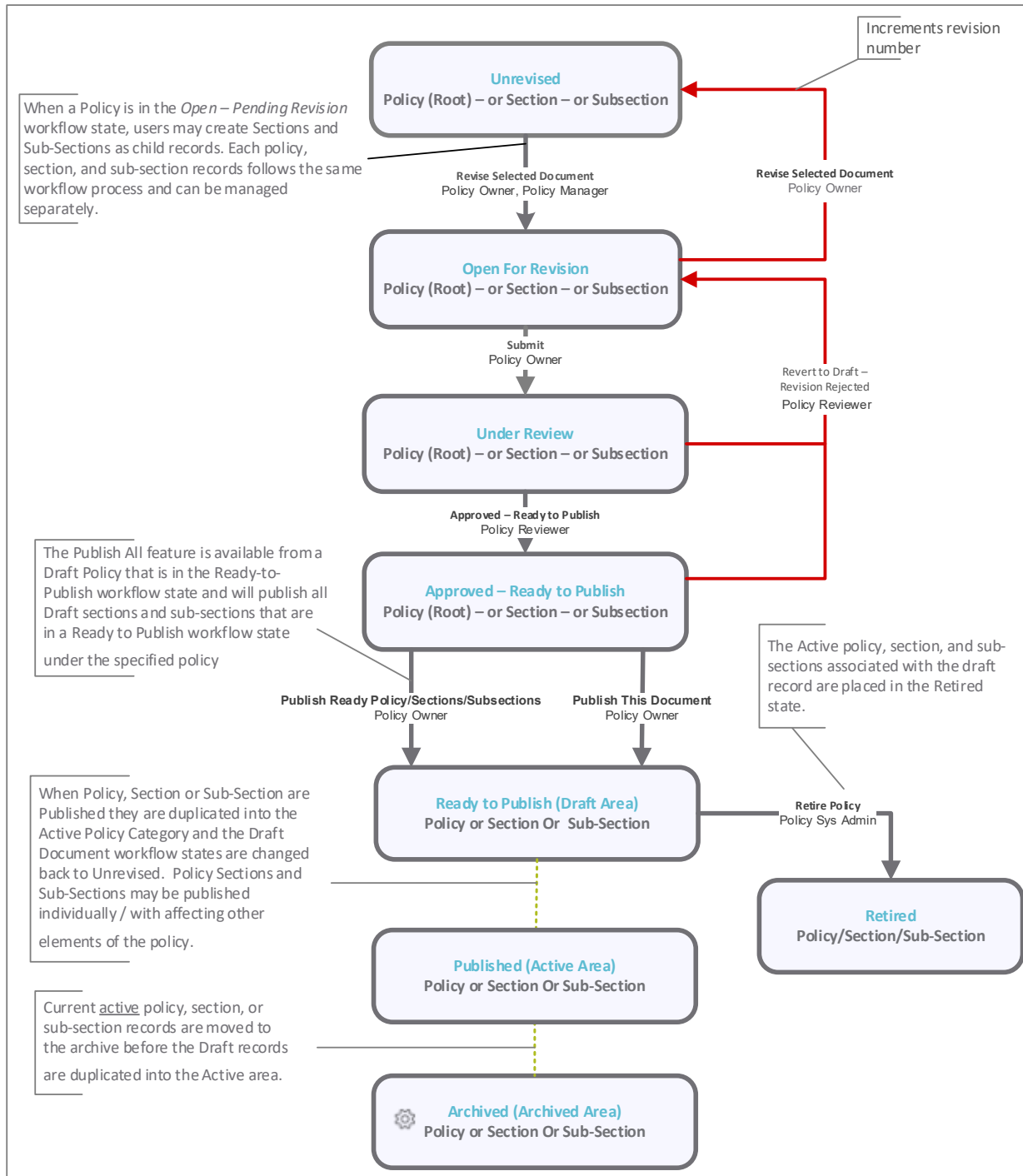


## Policy, Section and Sub-Section Workflow

This section covers the Workflow diagram, states, and associated buttons for the baseline Policy, Section and Sub-Section workflows in the Enterprise Policy Management module.

### Workflow Diagram

The following image shows the workflow of the baseline Policy, Section and Sub-Section.



## Workflow States

The following table describes the workflow states associated with the baseline Policy, Section and Sub-Section workflows.

Workflow State	Description
<b>EPM: Unrevised</b>	The workflow state of a policy, section, or sub-section when revisions are not underway.
<b>EPM: Open for Revision</b>	The workflow state of a policy, section, or sub-section when changes are being made the Draft category.
<b>EPM: Under Review</b>	The workflow state of a policy, section, or sub-section when changes are being reviewed by Policy Reviewers or Policy Managers, in the Draft category.
<b>EPM: Approved – Ready to Publish</b>	The workflow state of a policy, section, or sub-section when changes have been approved. This workflow state is used as an area where all changes to all policies, sections, and subsections are collected prior to the publish.
<b>EPM: Published</b>	This is the workflow state when policies are in the Active category.
<b>EPM: Archived</b>	This is the workflow state when policies are in the Archived category.

## Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Policy, Section and Sub-Section workflows.

Button	Available to	Notification	Description
<b>EPM: Policy - Save Policy Group Record - Validate structure</b>	Policy System Admin Policy Manager Policy Owner	No	Clicking this button saves a policy group record.
<b>EPM: Policy - Revise Selected Document</b>	Policy System Admin Policy Manager Policy Owner	No	Available in the <b>Unrevised</b> state. Clicking this button unlocks a record, moves the workflow to the <b>Open for Revision</b> state, and then increments the version number.
<b>EPM: Policy - Submit Selected Document for Review</b>	Policy Manager Policy Owner	Yes	Available in the <b>Open for Revision</b> state. Clicking this button moves the workflow to the <b>Under Review</b> state and updates the <b>Last Revision Date</b> attribute.

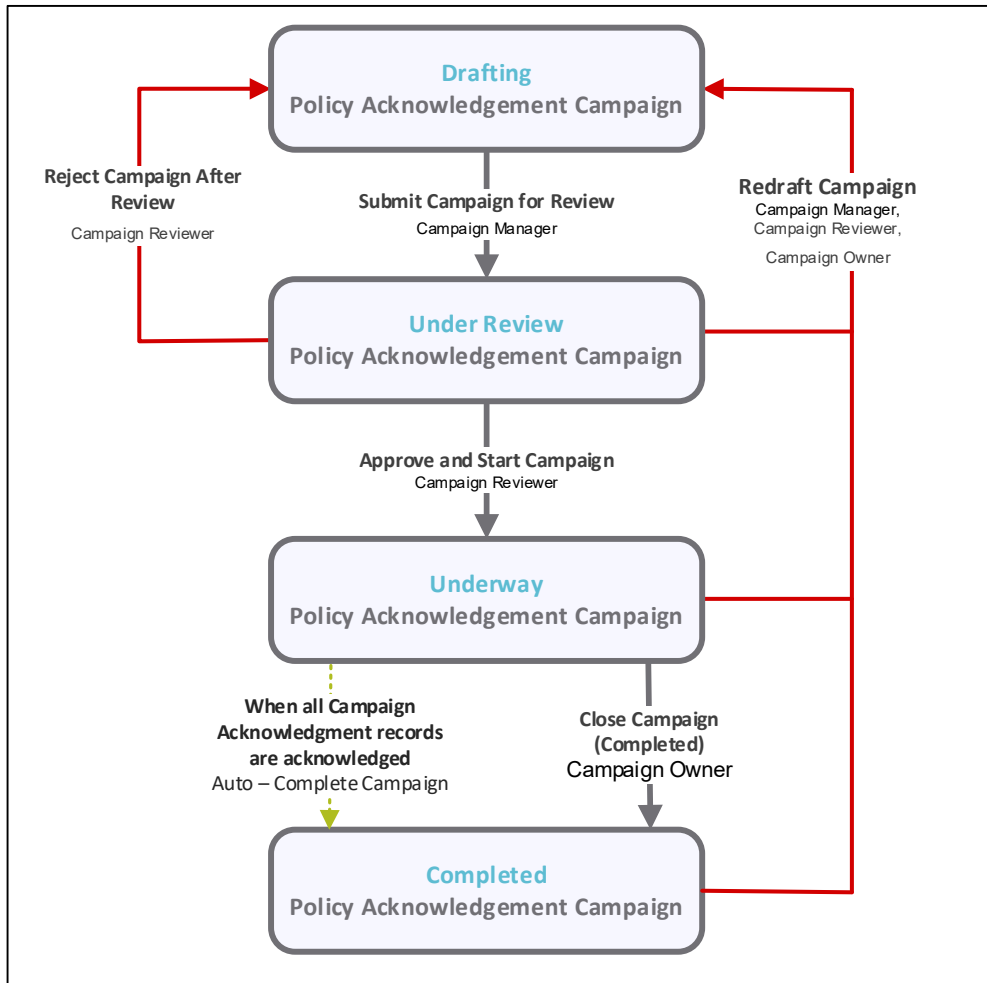
Button	Available to	Notification	Description
<b>EPM: Policy - Approved - Ready to Publish</b>	Policy System Admin Policy Reviewer Policy Manager	Yes	Available in the <b>Under Review</b> state. Clicking this button moves the workflow to the <b>Approved - Ready to Publish</b> state and then sets the <b>Next Review Date</b> attribute in the Policy record to 365 days from the current date.
<b>EPM: Policy - Publish This Document</b>	Policy System Admin Policy Manager Policy Owner	No	Available in the <b>Approved - Ready to Publish</b> state. Clicking this button moves the record to the <b>Published</b> state.
<b>EPM: Policy - Run Report - Policy Report</b>	Policy System Admin Policy Reviewer Policy Manager Policy Owner Policy User	No	Available in all the states. Clicking this button will display an SSRS report for the policy.
<b>EPM: Policy - Publish Ready Policy/Sections/Subsections</b>	Policy System Admin Policy Manager Policy Owner	No	Available in the <b>Approved - Ready to Publish</b> state. Clicking this button publishes the policy and all its related sections and subsections that are in the <b>Approved - Ready to Publish</b> state.
<b>EPM: Policy - Revert to Draft - Revision Rejected</b>	Policy System Admin Policy Manager Policy Reviewer	Yes	Available in the <b>Under Review</b> and <b>Approved - Ready to Publish</b> states. Clicking this button moves the record to the <b>Unrevised</b> state.
<b>EPM: Policy - Retire Policy</b>	Policy System Admin	No	Available to policy records in the Draft category. Clicking this button moves the policy and its related sections and subsections to the <b>Retired</b> state.

## Policy Acknowledgement Campaign Workflow

This section covers the Workflow diagram, states, and associated buttons for the baseline Policy Acknowledgement Campaign workflow in the Enterprise Policy Management module.

### Workflow Diagram

The following image shows the workflow of the baseline Policy Acknowledgement Campaign.



## Workflow States

The following table lists the states associated with the baseline Policy Acknowledgement Campaign workflow.

Workflow State	Description
<b>EPM: Campaign Drafting</b>	Campaign records are created in this state. In this state, usually a Campaign Manager assigns the Campaign Owner and target audience for the campaign.
<b>EPM: Campaign Under Review</b>	The state when a campaign is submitted for review to a Campaign Reviewer. The reviewer can approve or reject the campaign in this state.
<b>EPM: Campaign Underway</b>	The state of a campaign when it is approved and acknowledgement notifications are awaited from the target audience.
<b>EPM: Campaign Completed</b>	The final state of a campaign. When all users have acknowledged the campaign, the campaign record moves to this state automatically. A Campaign Owner can also move a campaign to this state manually, as required.

## Workflow Buttons

The following table lists the buttons that are available in the various states of the baseline Policy Acknowledgement Campaign workflow.

Button	Available to	Notification	Description
<b>EPM: Campaign - Submit Campaign for Review</b>	Policy Campaign Manager Policy Campaign Owner Policy Manager	No	Available in the <b>Drafting</b> state. Clicking this button moves the campaign record to the <b>Under Review</b> workflow state so that Campaign Reviewers can review and approve the campaign.
<b>EPM: Campaign - View Full Campaign Audience List</b>	Policy Campaign Manager Policy Campaign Owner	No	Clicking this button displays a report listing the audience included / excluded in the campaign.
<b>EPM: Campaign - View Filtered Audience List</b>	Policy Campaign Reviewer	No	Clicking this button displays a report listing the audience included / excluded in a specific criteria record for the campaign.
<b>EPM: Campaign - Approve and Start Campaign</b>	Policy Campaign Manager Policy Campaign Reviewer Policy Manager	Yes	Available in the <b>Under Review</b> state. Clicking this button starts the campaign by sending out notifications to the target audience included in the campaign and prepares the campaign to receive responses from those users. Campaign Acknowledgement records are created as necessary

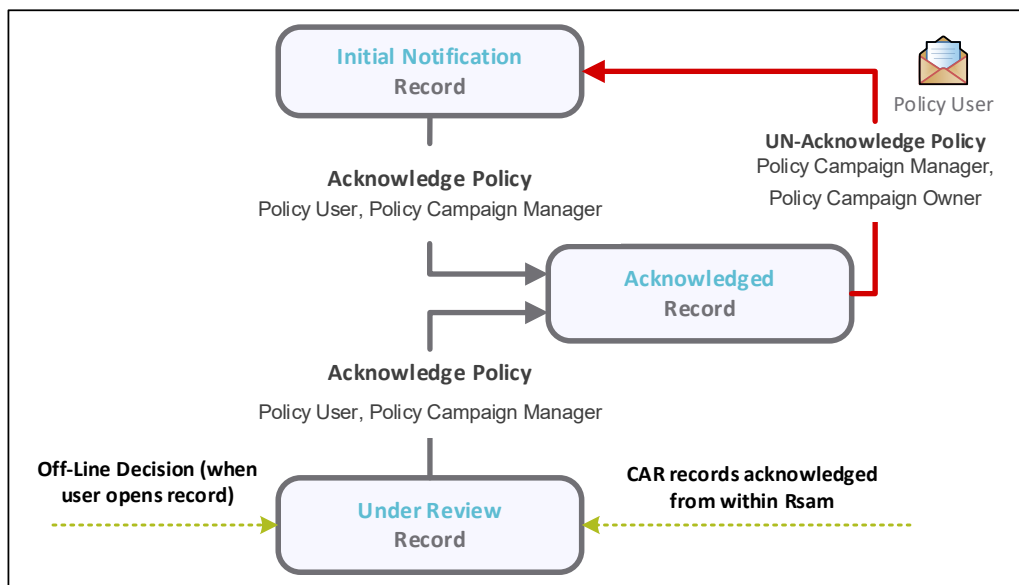
Button	Available to	Notification	Description
<b>EPM: Campaign - Redraft Campaign</b>	Policy Campaign Manager Policy Campaign Reviewer Policy Campaign Owner	No	Available in the <b>Under Review</b> , <b>Underway</b> , and <b>Completed</b> states. Clicking this button will clear the policy start and end date, unlocks the campaign record, and moves the campaign record to the <b>Drafting</b> state.
<b>EPM: Campaign - Reject Campaign After Review</b>	Policy Campaign Manager Policy Campaign Reviewer	No	Available in the <b>Under Review</b> state. Clicking this button moves the campaign record to the <b>Drafting</b> workflow state and then unlocks the campaign record and all its related child records.
<b>EPM: Campaign - Close Campaign (Completed)</b>	Policy Campaign Manager Policy Campaign Reviewer Policy Campaign Owner	No	Available in the <b>Underway</b> state. By clicking this button, the user acknowledges that the campaign has been completed, automatically sets the <b>Campaign - End Date</b> attribute to current date, and moves the campaign to the <b>Completed</b> state.

## Campaign Acknowledgement Record Workflow

This section covers the Workflow diagram, states, and associated buttons for the baseline Campaign Acknowledgement Record workflow in the Enterprise Policy Management module.

### Workflow Diagram

The following image shows the workflow of the baseline Campaign Acknowledgement Record.



## Workflow States

The following table lists the states associated with the baseline Campaign Acknowledgement Record workflow.

Workflow State	Description
<b>EPM: CAR Initial Notification</b>	The state of a campaign acknowledgement record when a user receives the notification to acknowledge the associated policy.
<b>EPM: CAR Under Review</b>	The state of a campaign acknowledgement record in which a user first opens an acknowledgement to access an attached policy.
<b>EPM: CAR Acknowledged</b>	The state of a campaign acknowledgement record when a user has successfully acknowledged a policy.

## Workflow Buttons

The following table lists the buttons that are available in the various states of the baseline Campaign Acknowledgement Record workflow.

Button	Available to	Notification	Description
<b>EPM: CAR - Acknowledge Policy</b>	Policy User Policy Campaign Manager	Yes	Available in the <b>Under Review</b> and <b>Initial Notification</b> states. Clicking this button acknowledges the policy and moves the record to the <b>Acknowledged</b> workflow state.
<b>EPM: CAR - Run Report - Review and Acknowledge Policy</b>	Policy User	No	Available in the <b>Initial Notification</b> and <b>Acknowledged</b> states. Clicking this button moves the record to the <b>Under Review</b> workflow state and generates a policy acknowledgement report.
<b>EPM: CAR - UN-Acknowledge Policy</b>	Policy Campaign Manager Policy Campaign Owner	No	Available in the <b>Acknowledged</b> state. Clicking this button clears the value in the <b>Campaign - Audience Acknowledgement Date</b> attribute and moves the record to the <b>Initial Notification</b> workflow state.



## Workflow Roles

The following tables lists the workflow roles that perform tasks associated with the states in the various baseline workflows of the Enterprise Policy Management module.

**Note:** Sample users for each of these roles are optionally provided with the baseline module installation package.

The following table lists the workflow roles for Policy Management.

User ID	Role	Description
<b>r_policy_manager</b>	Policy Manager	<p>Users with this role are responsible for Creating Policy Groups and also new policies as necessary. The Policy Manager assigns Policy Owners to each policy and may also assign Policy Reviewers. Policy Managers may create and submit exception requests.</p> <p>Policy Managers can access all policies and policy groups in the EPM module.</p>
<b>r_policy_owner</b>	Policy Owner	<p>These users update and submit policies for review and also publish policies. Policy Owners are assigned within the policy records by Policy Mangers and receive role-based permissions to maintain policies that they are assigned to. Policy Owners may assign Policy Reviewers for policies.</p> <p>Policy Owners may create and submit exception requests. Once exception requests are approved, the users may align exception to Policies, Policy Sections, and Policy Subsections.</p>
<b>r_policy_reviewer</b>	Policy Reviewer	<p>Policy Reviewers are assigned within the policy record by Policy Mangers or Policy Owners and receive role-based permissions to review and approve policies that they are assigned to.</p>
<b>administrator</b>	Policy System Admin	<p>Policy System Administrators have complete access to the EPM module and may add, edit, and delete records as necessary. They can also administer changes to the module.</p>
<b>user_id</b>	Policy User	<p>These user accounts are provided for the purpose of acknowledging policies and have very limited access to other Rsam features. Policy Users log into Rsam using their own User ID and a one-time password that is provided by Rsam.</p>

The following table lists the workflow roles for Campaign Management.

User ID	Role	Description
<b>r_campaign_manager</b>	Policy Campaign Manager	Policy Campaign Managers have full access to Campaign records. The primary responsibilities of these users are to create Campaign records and assign the Campaign Owner role to each Campaign created.
<b>r_campaign_owner</b>	Policy Campaign Owner	Policy Campaign Owner has access to edit any campaign that the role is assigned to. The owner may assign the Campaign Reviewer role and submits the Campaign to the Campaign Reviewer for review and approval.
<b>r_campaign_reviewer</b>	Policy Campaign Reviewer	A Policy Campaign Reviewer may review and approve the campaign. When the Review has been completed and approved, the Campaign is started.

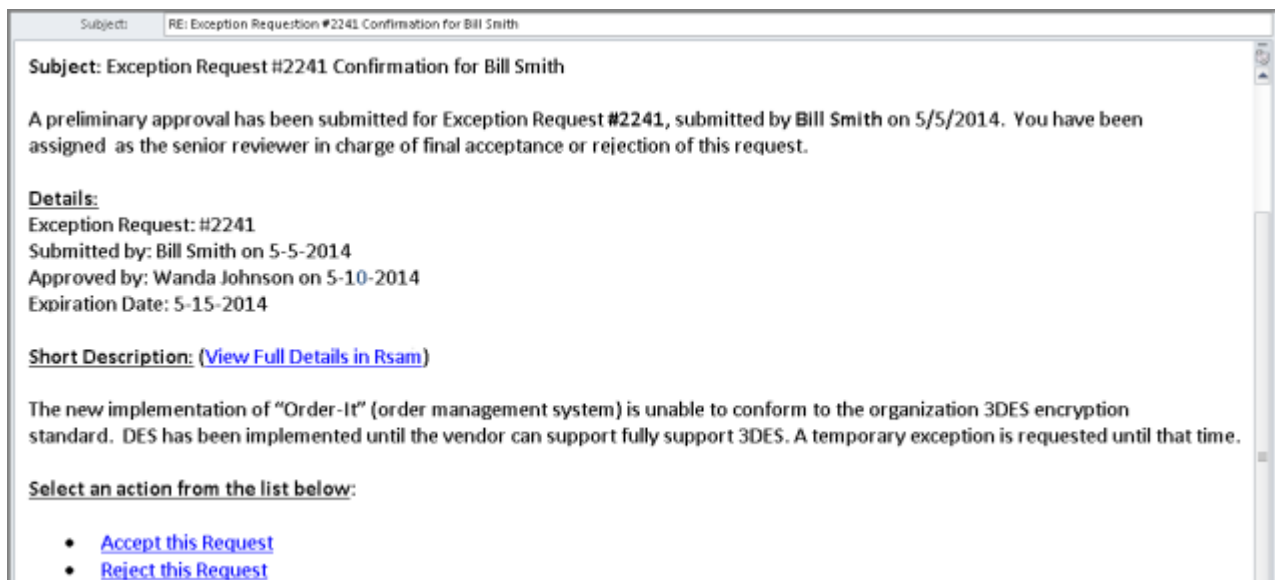
In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r\_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

## Appendix 1: Offline Decision Making

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Rsam email notifications are configurable including what notification should be sent, what users or roles will receive the notifications, and the content in the notifications.

Offline Decision Making is a powerful and popular feature of Rsam. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module. The follow image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.

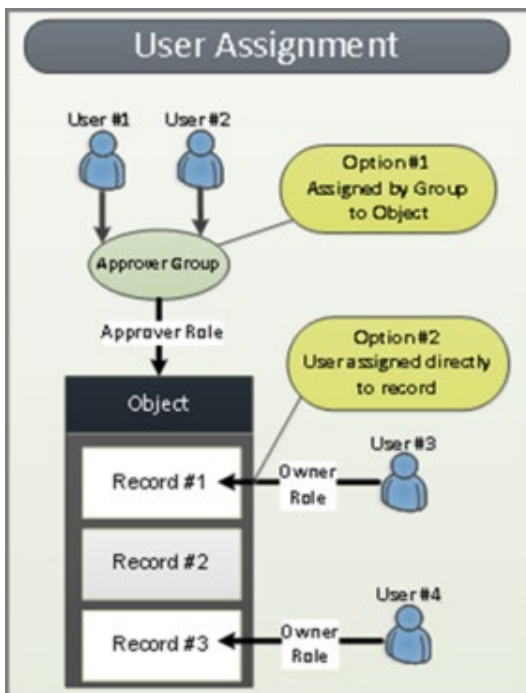


## Appendix 2: User Assignment Options

Rsam allows organizations to customize configurations and workflows to their specific business practices. There are many methods by which users can be assigned roles (such as, who is responsible for reviewing and approving exceptions). The following are the most common assignment methods:

- Individual users are assigned to a group. The group is then assigned to the object under which the records are saved. When assigned to the object, the group is also given a specific role. This accomplishes the following:
  - All users in that group inherit the role assigned to the group in the context of the object and all the records under that object.
  - All users in that group have the functionality allocated to that role in the context of the object and all of the records under that object.
- Individual users are assigned a specific role directly in a record. This provides the same result as above – granting the user the functionality with the allocated role. However, it is only in the context of that specific record. No other permissions are granted to the parent object or any other record under that object.

The method for implementing the assignment can also be customizable. The assignment can be manually made through an attribute, assigned when the records are created or imported, or automatically made at different points in the workflow.



# Appendix 3: Rsam Documentation

## Enterprise Policy Management Module Tutorial

For a detailed walk-through of the Enterprise Policy Management Module user experience, refer the *Enterprise Policy Management Step-by-Step Tutorial*. You should have received the *Enterprise Policy Management Step-by-Step Tutorial* along with the Enterprise Policy Management Module instance. If not, contact your Rsam Customer Representative to obtain an electronic copy of the *Enterprise Policy Management Step-by-Step Tutorial*.

## Online Help

This document provides an overview of the Enterprise Policy Management Module configuration. To get familiar with the specific Rsam features used in this configuration, refer the *Rsam End-User Help*, *Rsam Administrator Help*, or both. The Online help you can access depends on your user permissions.

To access the Online Help, perform the following steps:

1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. Provide the **Username** as *r\_admin* and **Password** as *password*.
2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

The following image shows the *Rsam Administrator Help*, opened from the *Example Administrator* user account.

