PolicyBond - Exception Management Module

Baseline Configuration Guide

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Contents

About Rsam Baseline Configuration Guides

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.

Baseline Configuration Overview

The baseline configuration for the Exception Management module allows your users to track and manage exceptions to company policies and standards. The pre-configured activities help streamline your program by leveraging workflow and timely reporting in a more automated fashion.

The following is a list of activities that have been configured in the Rsam Exception Management module:

- Structure

- Home Page Tabs

- Exception Management Workflow

The information on the activities mentioned above will help you expand your knowledge and provide a baseline understanding before you leverage the *Exception Management Step-by-Step Tutorial* or begin to tailor the module to meet your unique requirements.

Exception Management Structure

All exceptions are stored in the object type *Library for Global Records*.
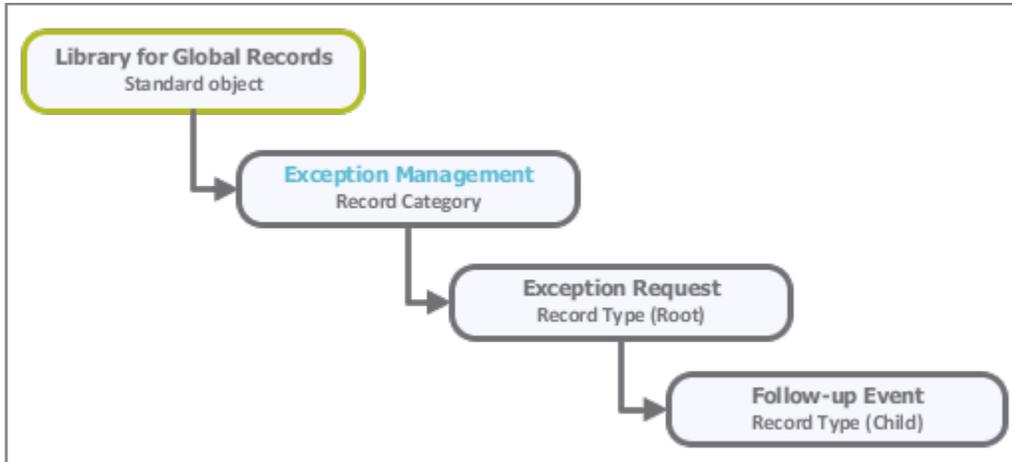
Object Types

The following object type has been pre-configured in this module:

Object Type	Usage
Library for Global Records	A standard object that stores all the exception management records.

Record Types

The following record types have been pre-configured in this module:

Record Type	Usage
EX: Exception Request	A record representing an exception request.
GEN: Follow-up Event	A record that can be used to follow up the progress of exception request.

Home Page Tabs

The Baseline Configuration of the Exception Management module contains several Home Page tabs. These tabs can be configured for various roles and then can be assigned to your users to complete their tasks. All home pages can be accessed from the **PolicyBond** grouping tab on the left navigation pane.

The following Home Page tabs are available in the Exception Management module.

Home Page Tab	Description
PB: Activities	Provides access to all the task-based activity center tiles for Exception Management. Users can navigate to tasks from the relevant tiles.
PB: Dashboards	Displays various dashboard charts that depict the status of policy exceptions.
PB: Shortcuts	Provides list of policy categories, exceptions, and campaigns.
EX: Exceptions Navigator	Record navigator that allows users to view exception records that are grouped based on different criteria.
Create a new Exception Record	Shortcut to the Exception Request creation form to create new policy exceptions in the system.
Create a New Policy Campaign	Shortcut to the Policy Acknowledgement Campaign creation form to create new policy campaigns in the system.

Exception Management Workflow

This section covers the workflow diagram, workflow states, workflow buttons, and workflow roles associated with the baseline Exception Management workflow.

Workflow Diagram

Before proceeding to the workflow, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.
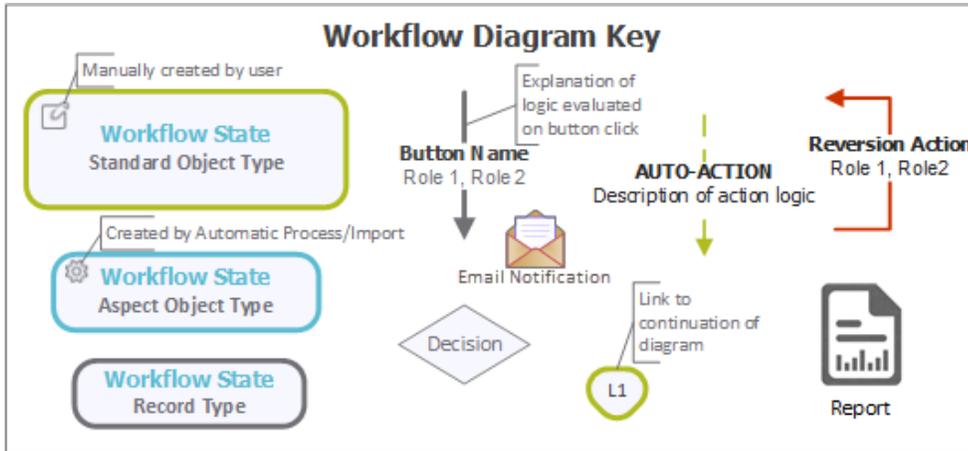
The following diagram depicts the out-of-the-box Exception Management workflow.
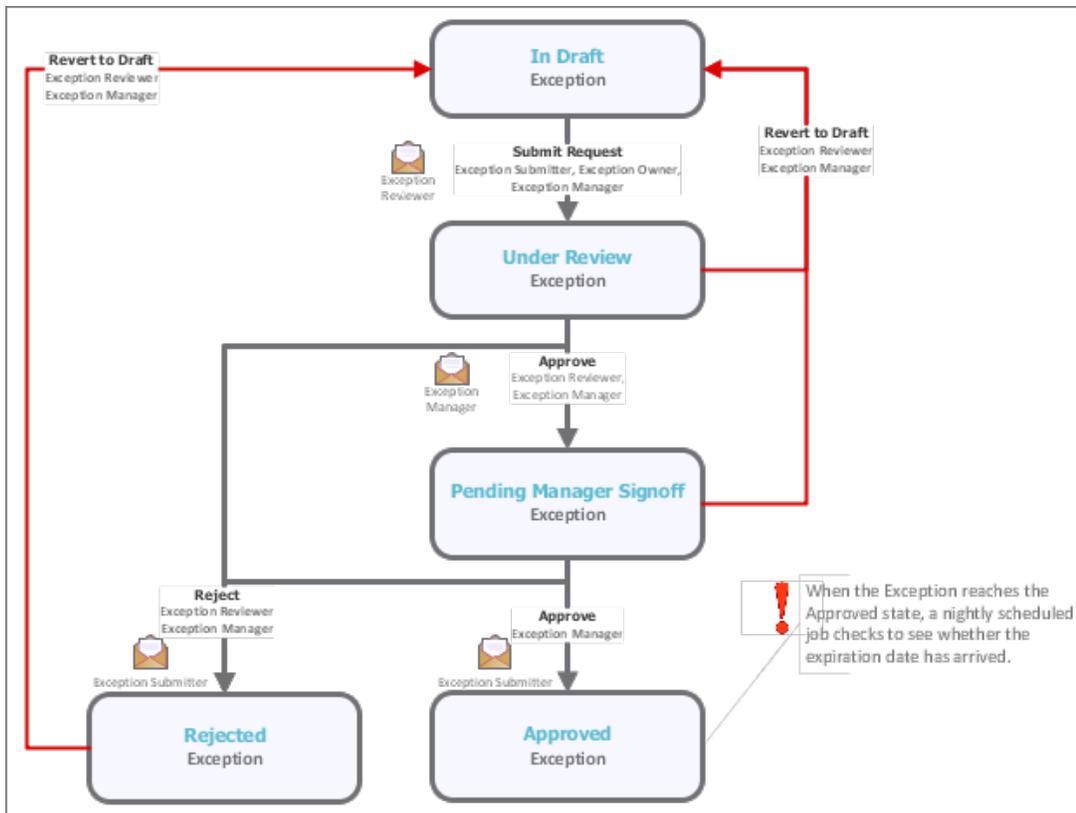
Workflow States

The following is a list of states associated with the baseline Exception Management workflow.

Workflow State	Description
EX: In Draft	An exception request record enters this state when it is created. In this state, an exception request is submitted for review.
EX: Under Review	An exception request record enters this state after an exception submitter has submitted the exception. In this state, an exception request is now ready to be reviewed by the reviewer.
EX: Pending Manager Signoff	An exception request record enters this state after an exception reviewer has approved the exception request. In this state, an exception request is sent to an exception manager for final signoff.
EX: Approved	An exception request record enters this state after it has been approved by an exception manager.
EX: Rejected	An exception request record enters this state if it has been rejected by an exception reviewer or exception manager. An exception request can be reverted to the **In Draft** state from this state, if required.
EX: Expired	An exception request record enters this state when it has been approved, or upon its expiry date.

Workflow Roles

The following is a list of workflow roles that perform tasks associated with the states in the baseline Exception Management workflow.

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

Role	User ID	Description
EX: Exception Submitter	r_exception_submitter	This role is assigned to a user that has the responsibility to create exception request records. This role has access only to the **General Request** tab of an exception request record.
EX: Exception Reviewer	r_exception_reviewer	This role is assigned to a user (typically a group of users) that has the responsibility to review exception requests. The reviewer is responsible for reviewing the submitters' input and approving or rejecting the exception requests. This role has read-only access to the **General Request** tab and edit access to the **Review** and **Discussion / Thread** tabs of an exception request record.
EX: Exception Manager	r_exception_manager	This role is assigned to the user that has the responsibility for reviewing the submitters' and reviewers' input and final approval or rejection of exception requests. This role has

Role	User ID	Description
		read-only access to the General Request and Review tabs, and edit access to the **Approval** and **Discussion / Thread** tabs of an exception request record.
EX: Exception Owner	r_exception_owner	This role is assigned to a user that owns the exception requests. A user with this role is responsible for reviewing the submitters' and reviewers' input. This role has read-only access to all the exception request record tabs. Hence, this role has no responsibility in the exception management process.

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. If additional administrative roles are required, you can create it from **Manage > Users/Groups**.

Workflow Buttons

The following is a list of buttons that are available in the various states of the baseline Exception Management workflow.

| Button	Available to	Notification	Description
EX: Submit Request	Exception Submitter Exception Owner Exception Manager	No	Available in the **In Draft** state for submitting the exception request record for analysis.
EX: Approve (reviewer)	Exception Reviewer Exception Manager	No	Available in the **Under Review** state for an exception reviewer to either approve or reject the exception request record.
EX: Approve (manager)	Exception Manager	No	Available in the **Pending Manager Signoff** state for an exception manager to either approve or reject the exception request record.
EX: Reject	Exception Review Exception Manager	No	Available in the **Under Review** and **Pending Manager Signoff** states for an exception reviewer and exception manager to either approve or reject the exception request.
EX: Revert to	Exception	No	Available in all the states except the **In Draft** state

Button	Available to	Notification	Description
Draft	Reviewer Exception Manager		for restarting the exception record workflow.
EX: Simulate Expiration	Exception Manager	Yes	Available in the **Approved** state to simulate the automated expiration handlers. It will only work if the record has passed its expiration date. Clicking this button is not required except for during testing, since the scheduler automatically expires any old exception requests.
U: Show History	Exception Review Exception Manager	No	Available in all the states for viewing the log of changes to the exception request record.

Appendix 1: Offline Decision Making

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 following image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision-Making actions.
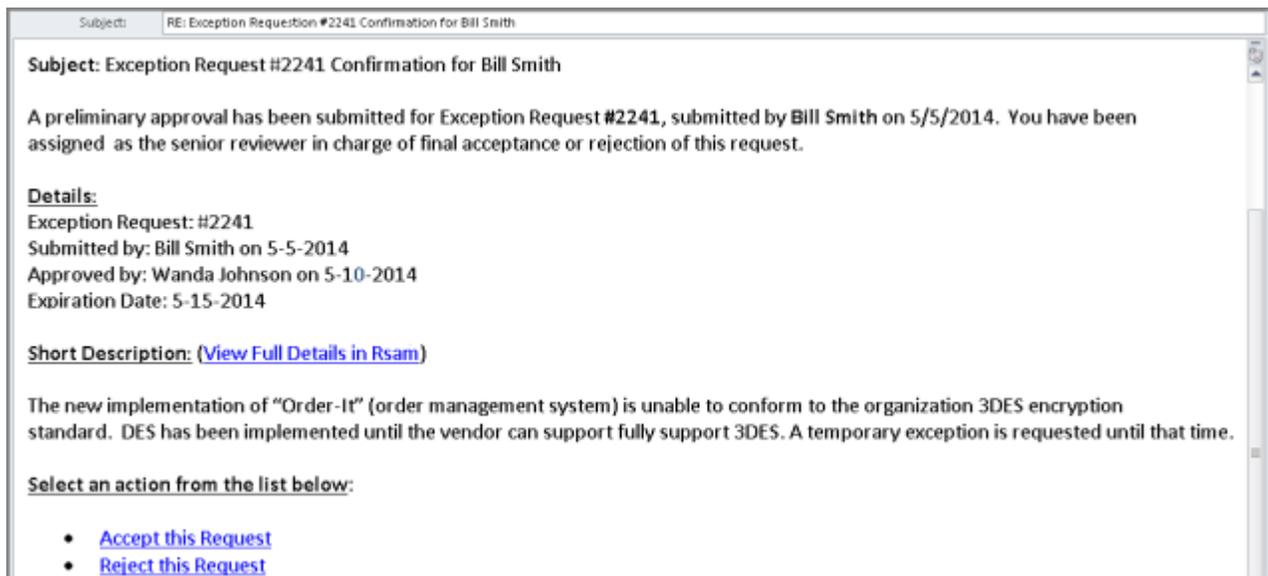
Appendix 2: User Assignment Options

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.
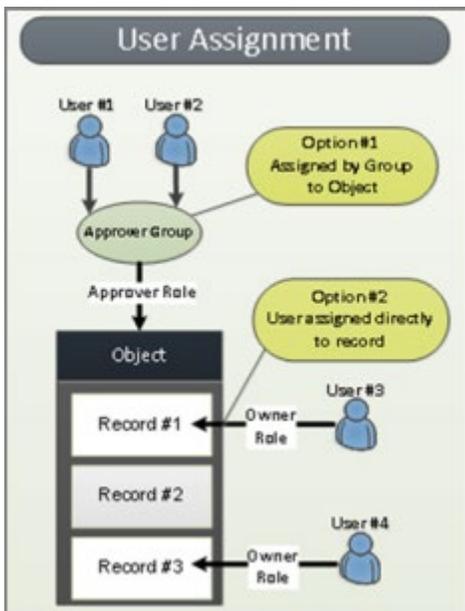
Appendix 3: Rsam Documentation

Exception Management Module Tutorial

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

Online Help

This document provides an overview of the Exception 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 **User ID** as *r_admin* and provide the **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.