PolicyBond - Exception Management Module

Step-by-Step Tutorial

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Contents

About Rsam Tutorials

The Rsam module step-by-step tutorials are designed to help you learn about a specific Rsam module and to gain basic familiarity with the user interface. The Rsam platform is highly configurable and is capable of handling both simple and comprehensive applications. The step-by-step tutorials and Rsam sandboxes, however, are specifically designed to quickly deliver a user experience without requiring further training. Each step-by-step tutorial walks you through common, out-of-the-box functionality within a given Rsam module, allowing you to get immediate hands-on familiarity with the module.

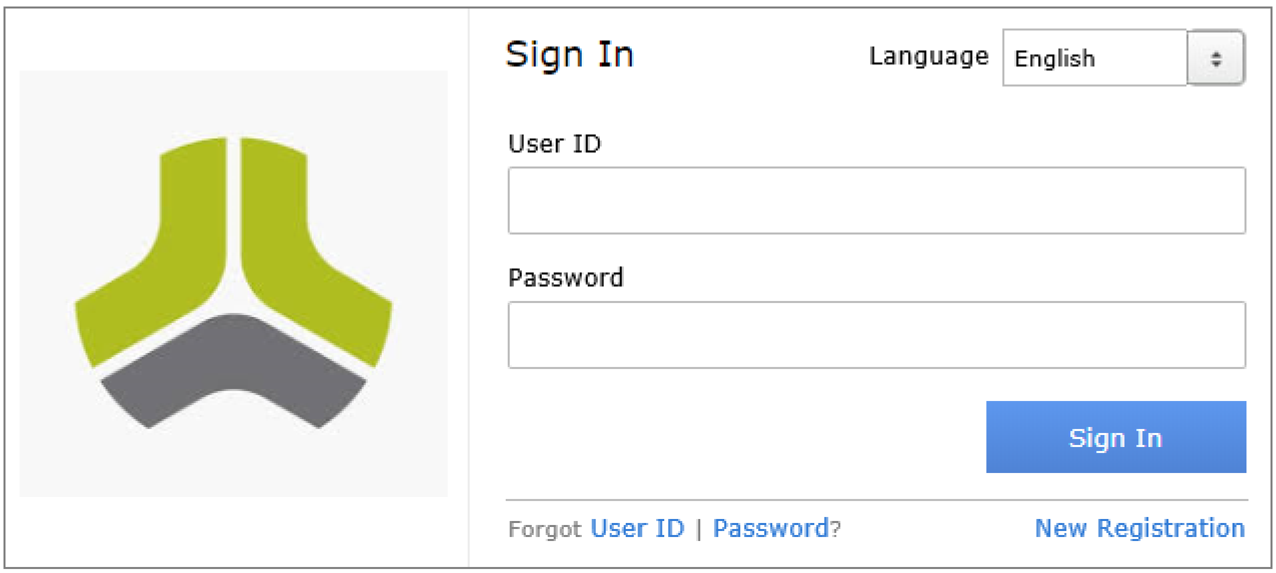
Rsam Sandbox Environment

Rsam module step-by-step tutorials are designed to work with the out-of-the-box Rsam configuration. You may follow this tutorial using an Rsam Sandbox environment or using your own instance of Rsam that you already own. If you are using this tutorial with an Rsam Sandbox environment, the URL to access your Rsam sandbox is delivered through an email. Otherwise, you may contact your Rsam Administrator for the URL to access your Rsam instance.

If you are using an Rsam sandbox environment, you should have provided Rsam with your organization's internet facing IP address. To find this information, open a browser and connect to an IP discovery site such as www.whatismyip.com, or contact your organization's Network Administrator for assistance. You may also contact your Rsam Customer Representative with any questions.

Sign-In Page

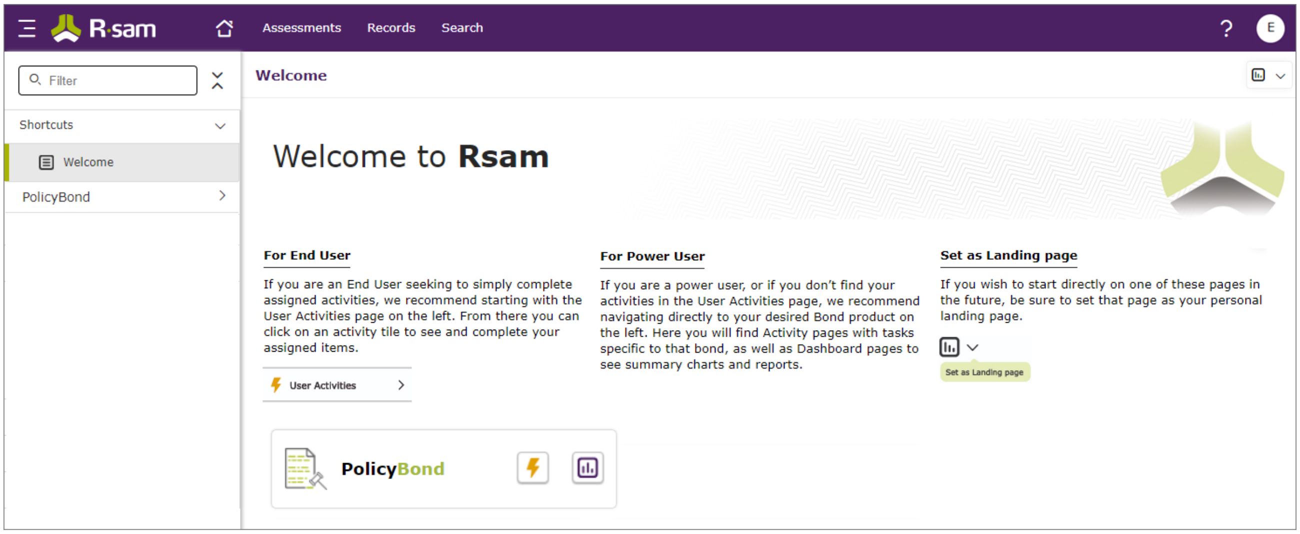
Tutorials leverage pre-defined accounts that require manual authentication. While your organization may intend to use SSO authentication, Rsam sandbox environments require manual authentication through the Rsam Sign In page so that you can easily toggle between various sample accounts used throughout the tutorial.



Like most elements in Rsam, the Sign In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied. You can also embed your own branding and logo on the Sign In page.

Welcome Page

The Welcome Page is the first page that appears when you log in to Rsam for the first time. This page provides navigation instructions and shortcuts to access the most commonly used pages from the bonds you have access to.

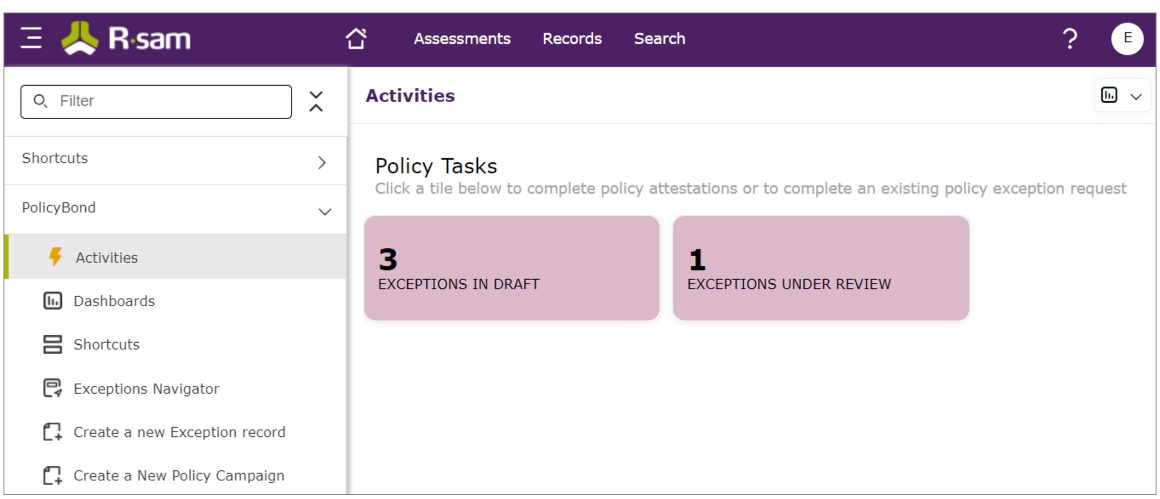


Note: The view of the Welcome Page may be different from the one shown in the image, based on the role of the logged in user.

Navigating to Tasks and Dashboards

If you are an end user and have logged in to complete assigned tasks, you can click User Activities available on the left navigation bar to view the most frequently used Activity Centers *across all bonds assigned for your role*. You can click the relevant activity tile to navigate to your tasks.

If you do not find the required activity tiles, you can either click corresponding to a bond on the Welcome Page or navigate directly to the bonds from the left navigation bar and select the **Activities** tab to view all related Activity Centers.

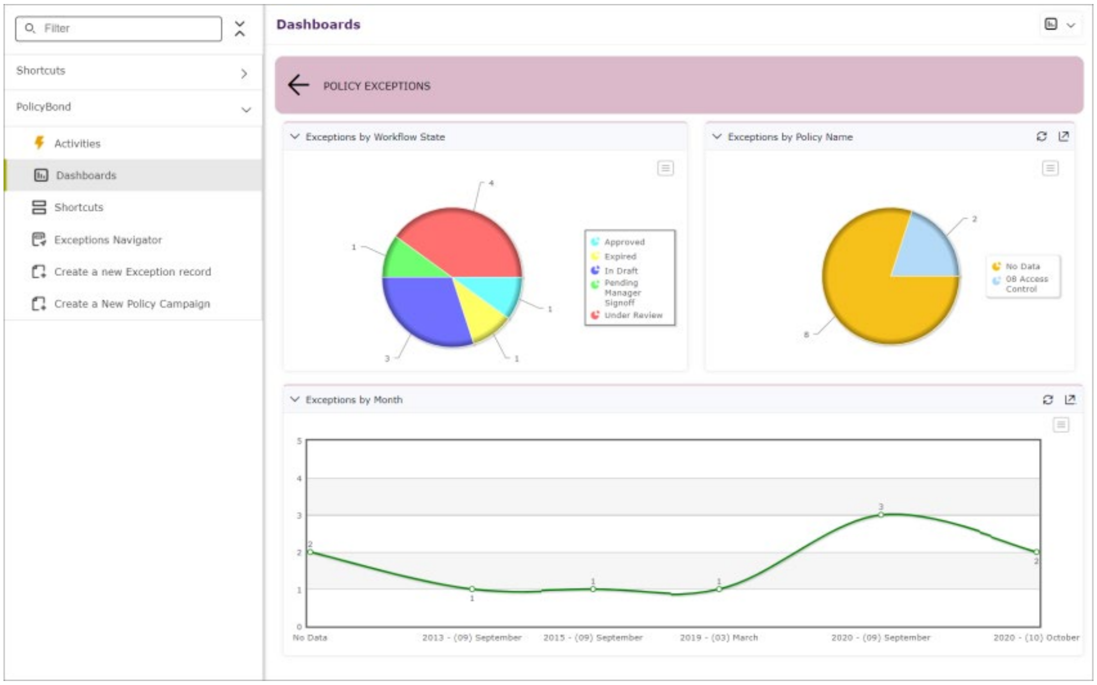


Click an Activity Center tile to view all related tasks.

Additionally, you can perform the following navigation actions:

- Expand the required bond from the left navigation bar and use the pages.
- Click  corresponding to a bond on the Welcome page to view all Dashboards configured for the bond.

  Alternatively, you can navigate to the **PolicyBond** from the left navigation bar and select **Dashboards**.



For information on using the home page features and configuring Activity Centers, see the *Rsam Administrator* and *End-User Help*.

Rsam Exception Management

Overview

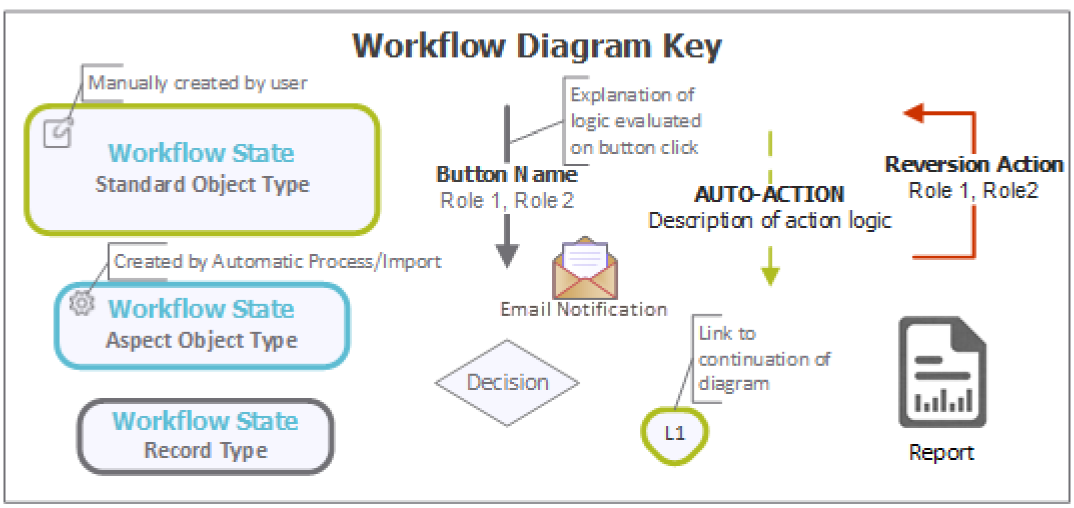
The Rsam Exception Management module allows you to track and manage exceptions to company policies and standards. With Rsam Exception Management, you can streamline the exception management process, document & track exception details, and obtain the desired signoffs from stakeholders in the company. It also has the ability to automate expiration and renewal of exceptions. This tutorial provides a step-by-step procedure to walk you through one path of an Exception Management workflow within the module.

The Exception Management module has the following capabilities and benefits:

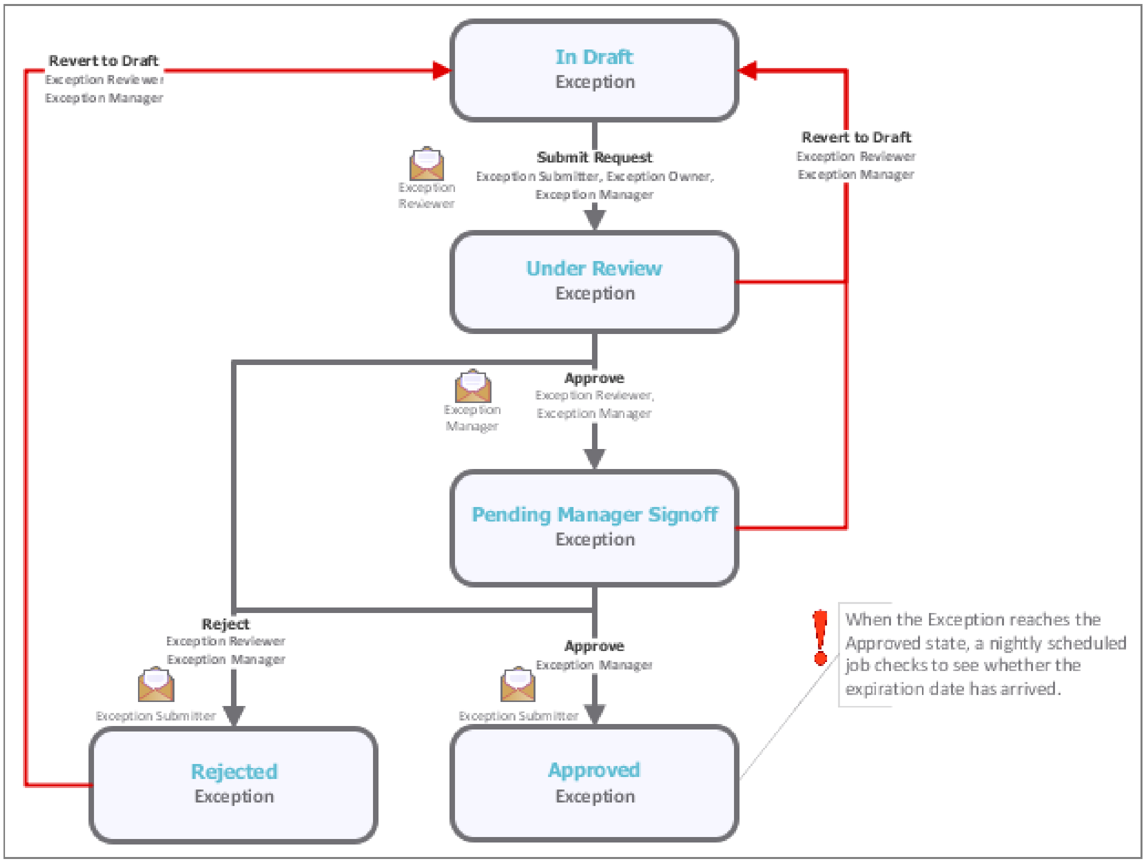
- Unmatched efficiency in the exception management cycle.
- Escalate exception requests based on criticality
- Provides a holistic view of exception requests.
- Establish relationships between policies and findings/gaps.
- Map exceptions to policies.

Exception Management Workflow

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.



Note: You may create as many variations to this pre-defined workflow configuration as desired to lessen or increase the number of steps and to match your specific business processes.

User Accounts

User Accounts are required for the individuals that are authorized to access a specific Rsam baseline module. The Rsam sandbox for Exception Management comes with pre-populated sample accounts that include the following:

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

User ID	User	Business Responsibilities
r_exception_submitter	Exception Submitter	This user owns the responsibility to create and submit exception requests in Rsam.
r_exception_owner	Exception Owner	This user is assigned as an exception request owner.
r_exception_reviewer	Exception Reviewer	This user owns the responsibility to review and approve/reject exception requests prior to being reviewed by the Exception Manager user. This user is a member of the Exception Reviewer Group with object level access.

User ID	User	Business Responsibilities
r_exception _manager	Exception Manager	This user owns the responsibility to make final approval and rejection decisions for exception requests. This user is a member of the Exception Manager Group with object level access.

Users can contact *Rsam Administrator* to obtain passwords for assigned accounts. Individual users may change their password once authenticated. Users with administrator permissions may also reset the password of other users.

High-Level Steps

The following is a high-level list of the steps described in this tutorial.

Step	User	Description
Step 1: Creating and Submitting an Exception Request	Exception Submitter	In this step, the Exception Submitter user creates and submits an exception request.
Step 2: Reviewing an Exception Request	Exception Reviewer	In this step, the Exception Reviewer user performs analysis, provides a response, and then submits a plan to the Exception Manager user for final review.
Step 3: Approving an Exception Request	Exception Manager	In this step, the Exception Manager user approves an exception request.

Step by Step Procedure

This section contains the workflow steps we will follow in this tutorial. The path covered in this tutorial will walk you through the steps to submit, review, and approve an exception request. This path was chosen as a common path to follow, though you are welcome to explore other paths as well.

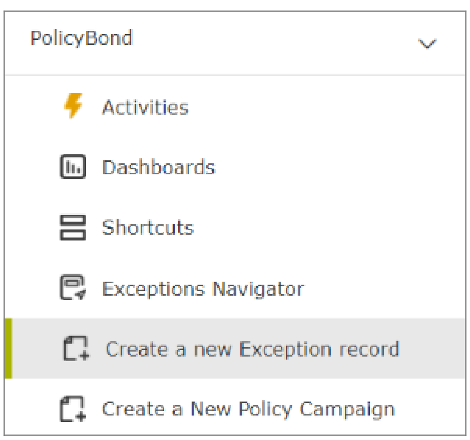
From this point forward, we will provide the steps that are required to complete this tutorial. Before you begin to practice each step, consider the following underlying capabilities:

- Practicing each step requires a different user account as mentioned in the High-Level Steps section. However, you may execute all the steps with the Exception Manager user credentials in one session if desired.
- Workflow state transitions involve sending email notifications to users in the workflow. If you want to ensure that your workflow users receive the notifications while practicing the steps, please see the Setting up Email Addresses section.

Step 1: Creating and Submitting an Exception Request

In this step, you will log in to Rsam as the *Exception Submitter* user to create and submit an exception request.

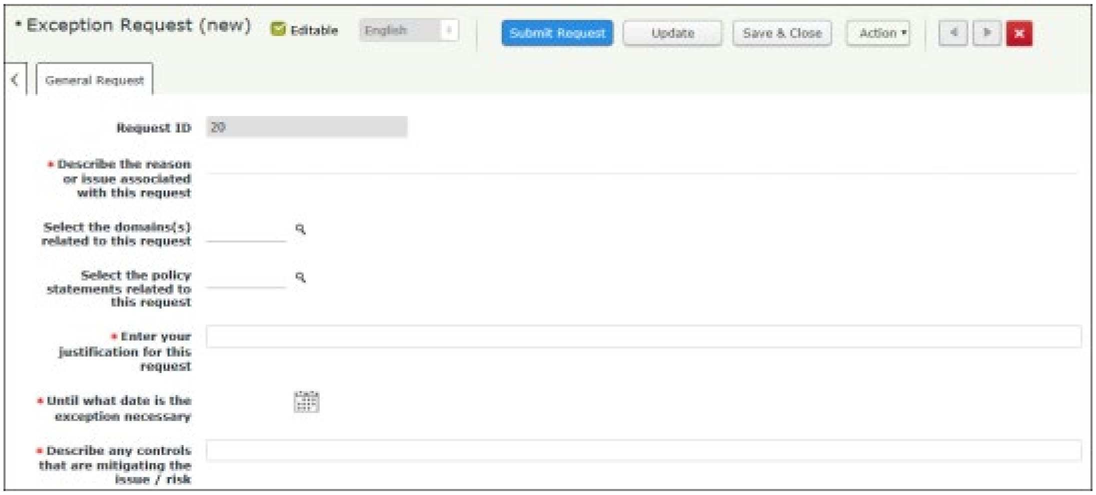
1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Exception Management module.
2. Sign in as the *Exception Submitter* user. Enter **Username** as *r_exception_submitter* and provide the **Password**.
3. From within the navigation panel at the left-hand side, navigate to **PolicyBond**> **Create a new Exception record**.

   Alternatively, you can also navigate to **PolicyBond > Shortcuts** and click **Create a new Exception record**.

   The **Exception Request (new)** record opens with the **General Request** tab selected.

4. On the **General Request** tab, complete all the required fields and any other fields as necessary.



5. Click **Submit Request** when all the attributes have been completed.

   The Exception Request is created and enters the *Under Review* state.

6. Log out from Rsam.

Step 2: Reviewing an Exception Request

In this step, you will log in to Rsam as the *Exception Reviewer* user to perform analysis, provide a response, and submit a plan to the *Exception Manager* user for final review.

1. Sign in as the *Exception Reviewer* user. Enter **Username** as *r_exception_reviewer* and provide the **Password**.

2. From within the navigation panel at the left-hand side, navigate to **PolicyBond > Activities**.

   The Activities page appears listing the applicable activity tiles.

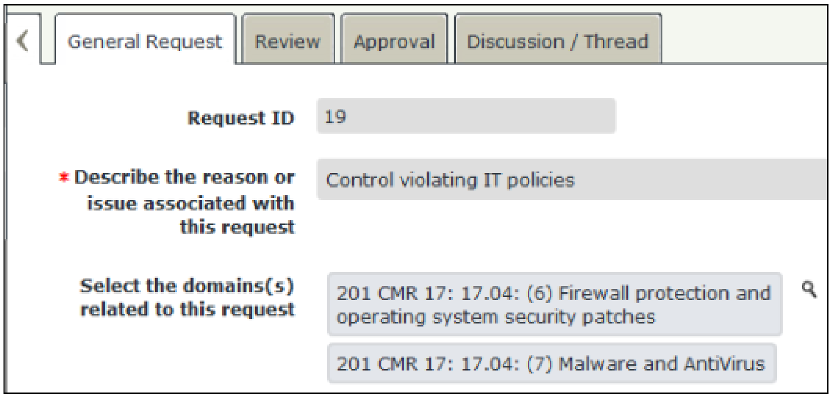
   Note: When there are lot of requests to be reviewed, you can also navigate through **PolicyBond > Exceptions Navigator**.

3. Click **Pending Management Review** tile.

   The tile expands to display the grid listing the requests in the **Under Review** state.

4. Locate the request to be reviewed and double-click the record to open it.

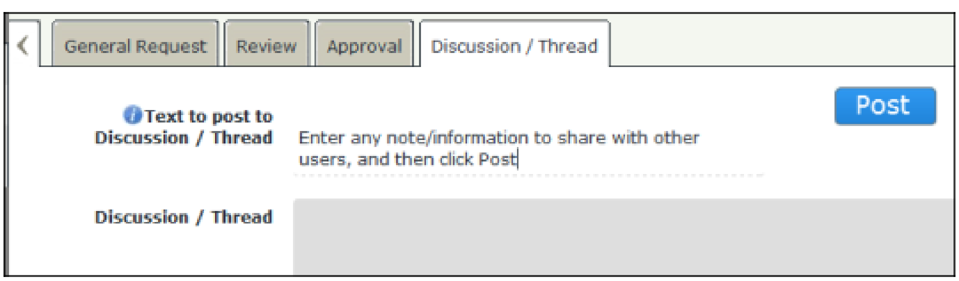
   The exception request record details appear.



5. Click the **Review** tab.

6. Select a value in the **Inherent Likelihood: If not controlled, what is the likelihood that this could negatively effect the organization?** and **Inherent Impact: If not controlled, what level of impact this could have on the organization?** list boxes. Selecting values for these two attributes will automatically complete the **Universal Severity** attribute.

7. Optional. Add any desired text on the **Discussion / Thread** tab. To add text on the **Discussion / Thread** tab, click the **Discussion / Thread** tab, then enter notes in the **Text to post to Discussion / Thread** attribute, and then click **Post**.



8. Complete any other attributes as necessary, and then click **Approve**.

   The request is approved and moves to the *Pending Manager Signoff* state.

9. Log out from Rsam.

Step 3: Approving an Exception Request

In this step, you will log in to Rsam as the *Exception Manager* to approve the exception request that was reviewed by the *Exception Reviewer* in Step 2: Reviewing an Exception Request.

1. Sign in as the *Exception Manager* user. Enter **Username** as ***r_exception_manager*** and provide the ***Password***.

2. From within the navigation panel at the left-hand side, navigate to **PolicyBond > Activities**.

   The Activities page appears listing the applicable activity tiles.

   Note: When there are lot of requests to be reviewed, you can also navigate through **PolicyBond > Exceptions Navigator**.

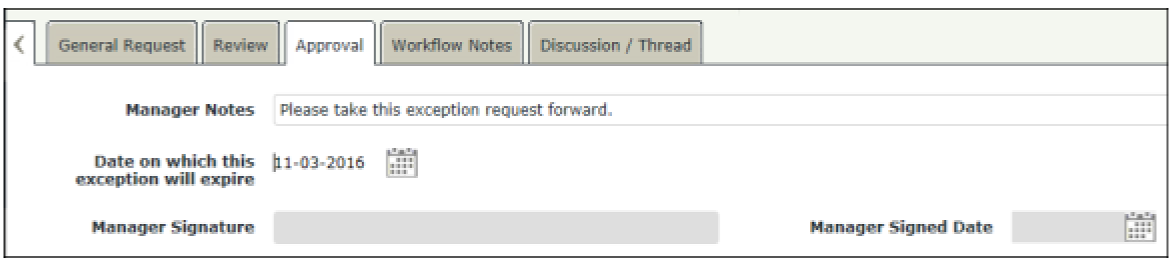
3. Click **Exceptions Under Review** tile.

   The tile expands to display the grid listing the requests to be approved.

4. Locate the exception request record that was submitted by the *Exception Reviewer* in Step 2: Reviewing an Exception Request and double-click to open the record.

5. Click the **Approval** tab.

6. Complete the attributes as necessary.



7. Optional. Add any desired text on the **Discussion / Thread** tab. To add text on the **Discussion / Thread** tab, click the **Discussion / Thread** tab, then enter notes in the **Text to post to Discussion / Thread** attribute, and then click **Post**.

8. Click **Approve** when all the required attributes have been completed.

   The exception record moves to the *Approved* state and is locked to avoid any further changes.

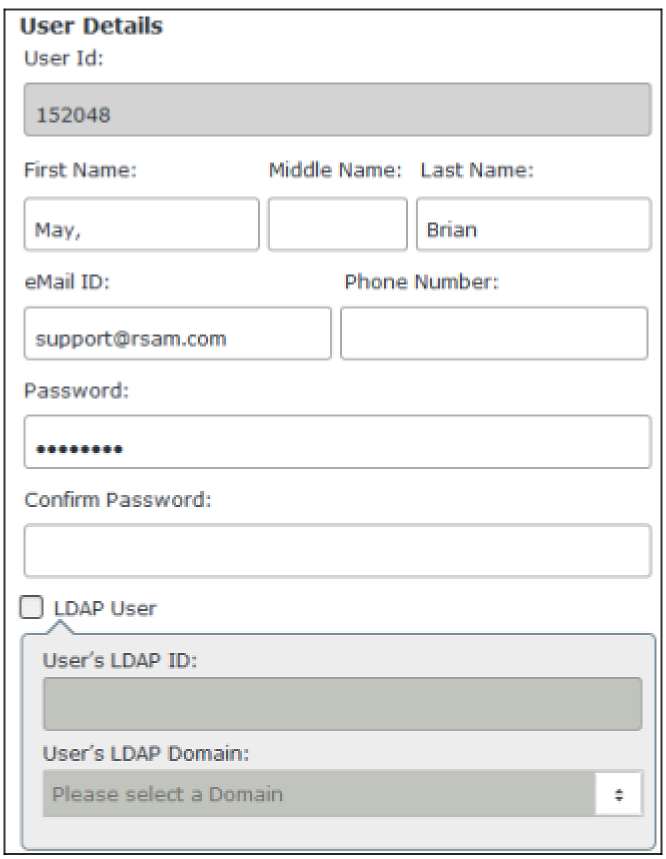
Appendix 1: Email Notifications and Offline Decision Making

Setting up Email Addresses

This module is configured to send automated email notifications at specific points in the workflow. In a production system, email addresses are usually gathered automatically using an LDAP server or a directory service. However, the email addresses in your Rsam instance can be manually provided for testing purposes.

To manually provide the email addresses, perform the following steps:

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Exception Management Module module.
2. Sign in as *r_admin* user. Enter **User ID** as ***r_admin*** and provide the **Password**.
3. Navigate to **Manage** > **Users/Groups**.
4. Double-click a user row to open the details.
5. Provide an email address in the **eMail ID** attribute.



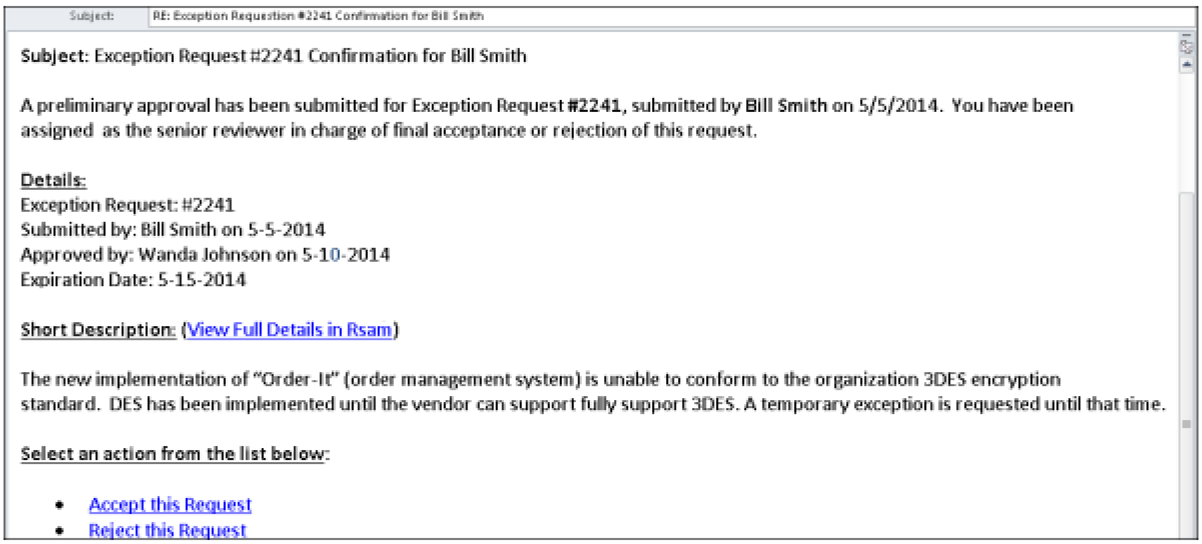
6. Click **OK**.

   The email address of the user account is saved.

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.



Subject: RE: Exception Requestion #2241 Confirmation for Bill Smith

Subject: Exception Request #2241 Confirmation for Bill Smith

A preliminary approval has been submitted for Exception Request **#2241**, submitted by **Bill Smith** on 5/5/2014. You have been assigned as the senior reviewer in charge of final acceptance or rejection of this request.

Details:
Exception Request: #2241
Submitted by: Bill Smith on 5-5-2014
Approved by: Wanda Johnson on 5-10-2014
Expiration Date: 5-15-2014

Short Description: (View Full Details in Rsam)

The new implementation of "Order-It" (order management system) is unable to conform to the organization 3DES encryption standard. DES has been implemented until the vendor can support fully support 3DES. A temporary exception is requested until that time.

Select an action from the list below:

- Accept this Request
- Reject this Request

Appendix 2: Rsam Documentation

Exception Management Module Baseline Configuration Guide

To learn more about the pre-configurations in the Exception Management module, refer the *Exception Management Module Baseline Configuration Guide*. You should have received the *Exception Management Module Baseline Configuration Guide* along with the Exception Management Module sandbox. If not, please contact your Rsam Customer Representative to obtain an electronic copy of the *Exception Management Module Baseline Configuration Guide*.

Online Help

This tutorial provides the step-by-step instructions for the Rsam Exception Management Module module. 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.