Regulatory Change 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.

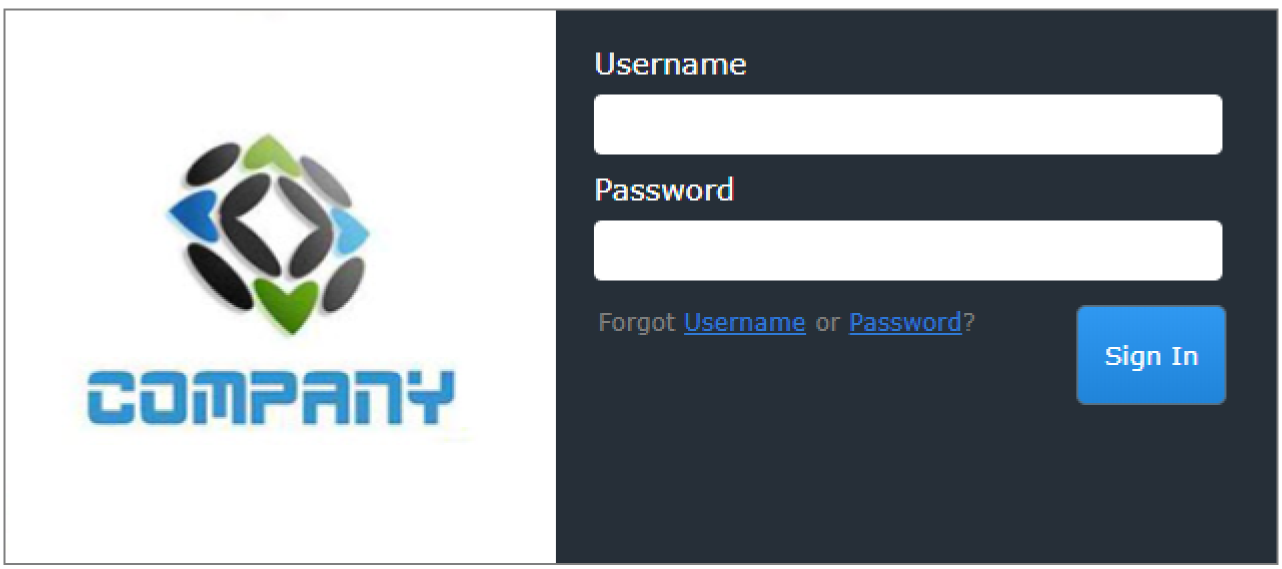
Rsam Sandbox Environment

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.

Rsam Regulatory Change Management

Overview

This tutorial provides a step-by-step procedure to walk you through one path of a Regulation Change response workflow in the Rsam Regulatory Change Management (RCM) module. The Rsam RCM module provides the following capabilities and benefits:

- **Centralized Repository for Incoming Regulatory Changes:** An effective regulatory change program should, at its core, include a centralized repository. While many tasks may be distributed to a federated audience, centralization reduces the redundancy in effort and having critical information slip through the cracks, a common side-effect of a purely decentralized model. Regulatory changes should be collected into a central repository where they can then be consistently managed, tracked, and audited.

- **Ability to Quickly *Weed Out* Irrelevant Information:** Participants in regulatory change management need to be able to quickly identify changes that are not applicable and focus their efforts on those changes that matter. This capability may be fully automated (e.g. by identifying subject matter tags that are irrelevant to the organization and telling Rsam to dismiss changes with these tags) or may be managed through a streamlined user workflow that makes it easy to quickly dismiss a change and capture the justification.

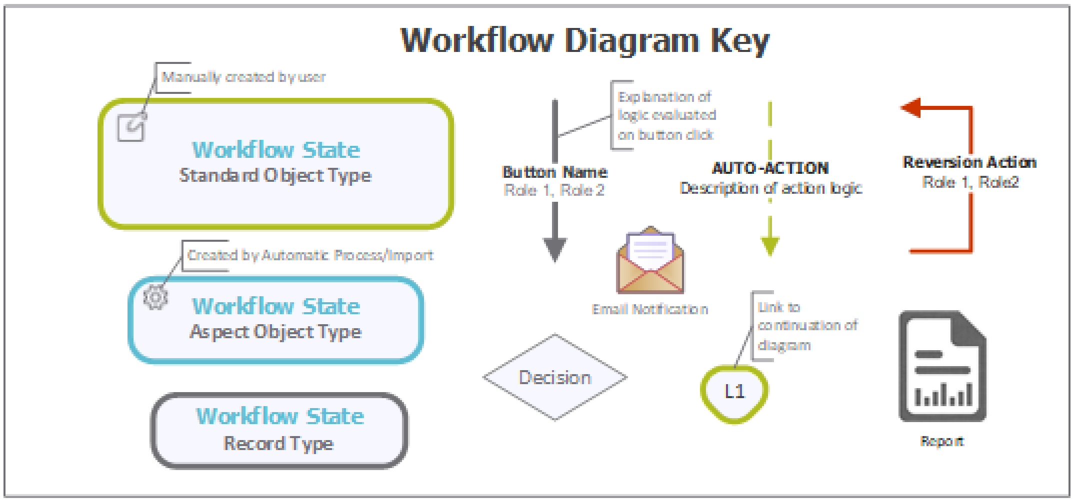
- **Taxonomy for Tagging and Routing Applicable Regulatory Changes to the Right SMEs/Owners:** Rsam RCM module provides the ability to define a standardized taxonomy and automatically tag/map regulatory changes in order to streamline or even fully automate the assignment of regulatory changes to appropriate SMEs.

- **Consistent Process for Assigning and Conducting Business Impact Assessments and Implementation Plans:** Workflow and task management help standardize response processes, ensure that identified action items are addressed in a timely manner, and provide a demonstrable audit history of actions taken in response to regulatory changes.

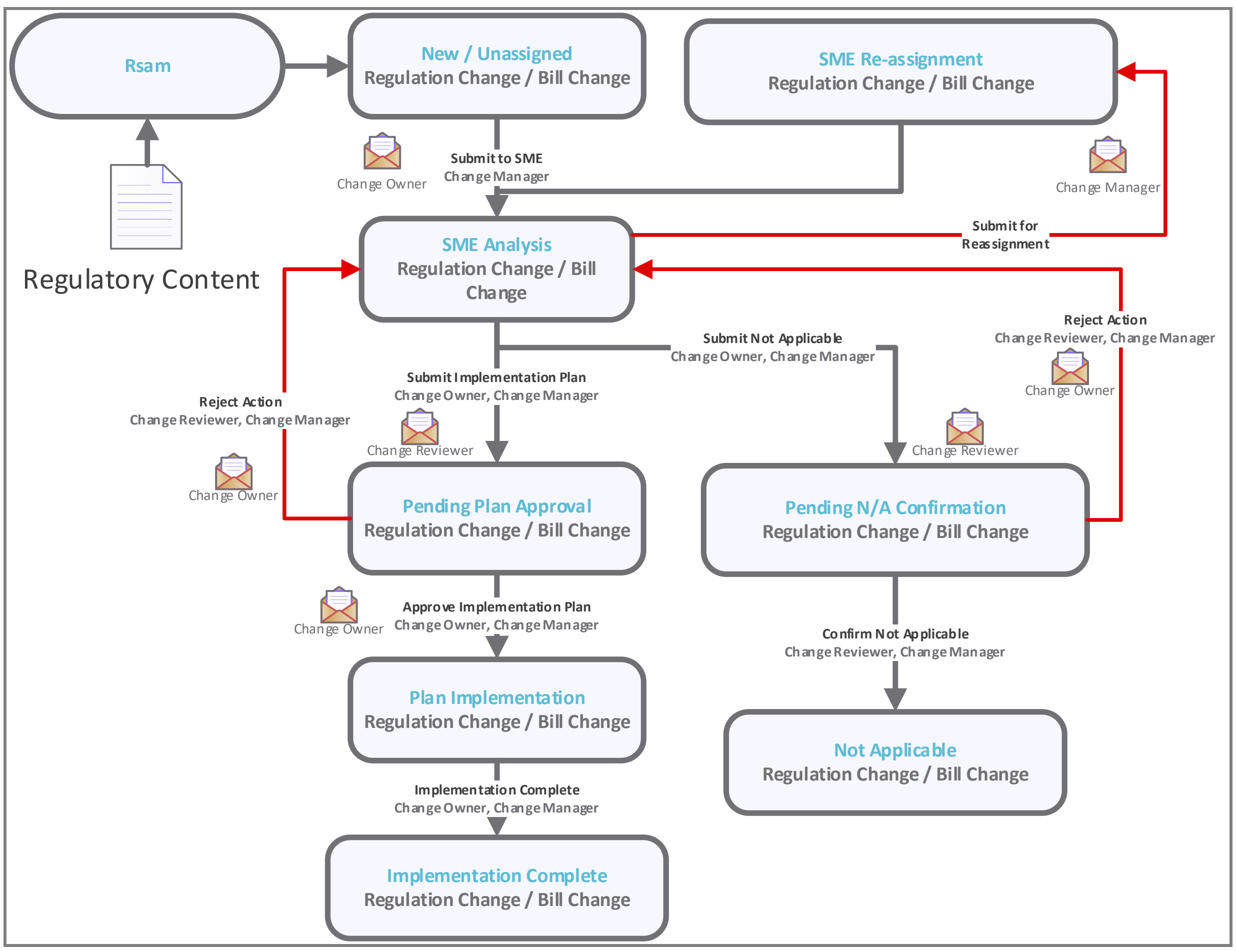
- **Process Monitoring and Business Metrics:** Advanced dashboards and reports provide managers with the information they need to optimize regulatory change programs and justify them to internal and external stakeholders.

RCM Workflow

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



The following diagram depicts the baseline RCM workflow.



User Accounts

User Accounts are required for the individuals that are authorized to access a specific Rsam baseline module. The Rsam sandbox for Regulatory Change Management comes with pre-populated sample accounts as listed in the following table.

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

Account ID	User	Business Responsibilities
r_rcm_owner	RCM Owner	User responsible for managing and documenting response to regulatory changes.
r_rcm_reviewer	RCM Reviewer	User responsible for reviewing and approving/rejecting regulatory change implementation plans (or designations of a change being not applicable).
r_rcm_manager	RCM Manager	User responsible for the administration of incoming regulatory changes (including assigning SMEs/owners). The user's primary responsibilities are as follows: 1. To manage the rules that automatically tag and assign regulatory changes to RCM Owners (alternatively, *subject matter experts*, or SMEs) based on keywords. 2. To override standard workflows on behalf of RCM Owners (for example, backing up to a previous state). 3. To monitor reports and dashboards in order to oversee the RCM process.

The default password for all accounts in the Rsam RCM sandbox is ***password***. 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 explained in this tutorial.

Step	User	Description
Step 1: Assigning an Owner	RCM Manager	Monitors intake queue for regulatory changes in the **New / Unassigned** workflow state. Selects a regulatory change and initiates a manual assignment to the appropriate SME/Owner. **Note:** This step can be automated with the auto-assignment features discussed later.
Step 2: Submitting a Plan	RCM Owner	Monitors intake queue for assigned regulatory changes in the **SME Analysis** workflow state. Selects a regulatory change, documents implementation plan, and submits for approval.
Step 3: Approving a Plan	RCM Reviewer	Monitors intake queue for assigned regulatory changes in the **Pending Plan Approval** workflow state. Selects a submitted regulatory change, reviews the documented plan, and approves it.
Step 4: Implementing a Plan	RCM Owner	Monitors intake queue for assigned regulatory changes in the **Plan Implementation** workflow state. Selects a regulatory change, updates it with the latest details of implementation, and changes a workflow state to **Implementation Complete**.
	RCM Manager	Monitors regulatory changes for implementation plans that are running past due.

Note: This example uses sample regulatory content from LexisNexis® State Net®. The user interface may vary slightly depending on the unique regulatory content source(s) you have integrated with your Rsam framework. Contact your Rsam Representative for more information on the LexisNexis State Net Connector for Rsam Regulatory Change Management.

Step-by-Step Procedure

This section contains steps to cover the happy path of the RCM tutorial. The path following in this tutorial walks you through the steps to implement a plan for remediating a regulation change record.

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

a. 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 *RCM Manager* user credentials in one session if desired.

b. 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 later in this tutorial.

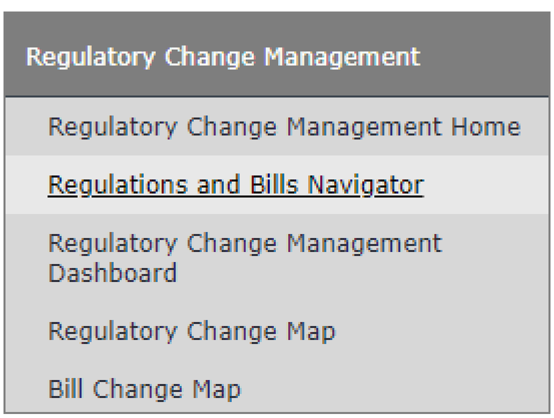
Step 1: Assigning an Owner

In this step, you will log in to Rsam as the *RCM Manager* user to monitor the regulation change records in the **New / Unassigned** state and assign those records to an appropriate *SME/Owner*.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the RCM module.

2. Sign in as the *RCM Manager* user. Enter **Username** as *r_rcm_manager* and **Password** as *password*.

3. From within the navigation panel at the left-hand side, navigate to **Regulatory Change Management** > **Regulations and Bills Navigator**.



The navigator appears.

4. From within the navigator with **RCM** selected, click **New / Unassigned**.

The bill change and regulation change records in the **New/Unassigned** workflow state appear. As part of this tutorial, we will be focusing only on regulation change records.

5. Locate a regulation change record of your interest.

6. Use one of the following methods to open the regulation change record:

- Double-click the regulation change record.
- Select the regulation change record and click **Open**.
- Click the  icon in the regulation change record row.

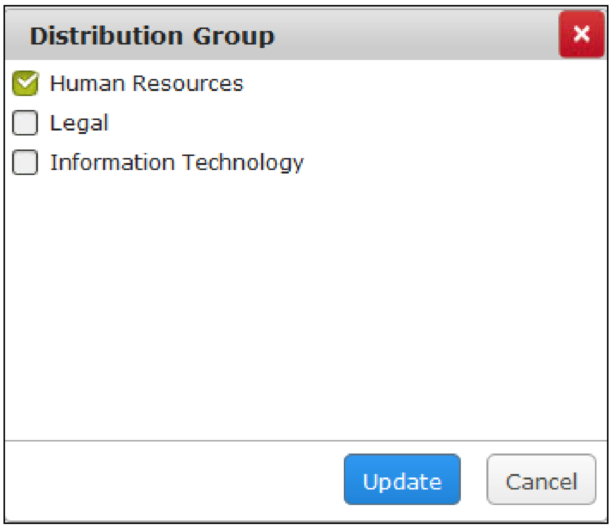
The regulation change record opens with the **Regulation** tab selected. The **Regulation** and **Status Action** tabs are read-only and contain information that was fed into Rsam as part of the regulatory content feed. Review this information in preparation for assigning this change to an SME.

7. Click the **Assignment** tab.

8. Click the associated with the **Distribution Group** attribute.

   The **Distribution Group** dialog appears.

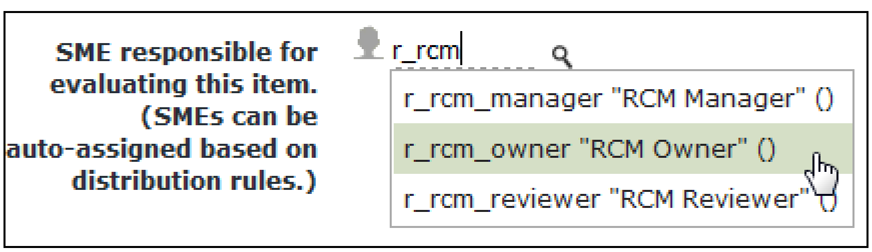
9. Select the **Human Resources** check box.



10. Assign an owner by selecting the **SME responsible for evaluating this Item** attribute.

    a. Enter *r_rcm_owner*.

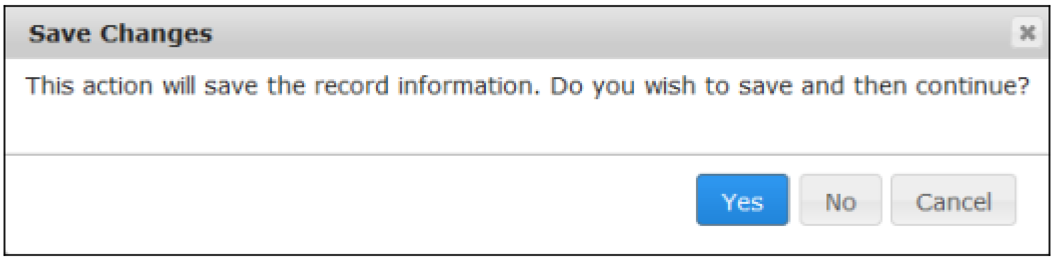
    b. Select **r_rcm_owner** from the user list.



Notes:
1. The RCM Owner user has now been assigned the *RCM Owner* role to the record using this attribute and, therefore, has access to the regulation change records.
2. Assignment of roles using an attribute is an optional configuration; different methods to assign a role are available.
3. This role may also be assigned automatically by leveraging the distribution rules.

11. Click **Submit to SME**.

12. In the confirmation message that appears indicating whether to save the record changes and then continue, click **Yes**.



Notes:
1. Clicking the **Submit to SME** button sends an email notification to the *RCM Owner* user.
2. Upon submitting the regulation change record workflow, the button is changed to the SME Analysis state. This means the regulation change record workflow enters the **SME Analysis** state.

13. Hover the cursor over the username at the top-right corner and select **Logout** in the menu that appears.

    You have been successfully logged out from the Rsam RCM module.

Step 2: Submitting a Plan

In this step, you will log in to Rsam as the *RCM Owner* user to perform the analysis, document the implementation plan, and submit the plan to the *RCM Reviewer* user.

Note: The SME might alternatively make a designation at this point that the regulatory change is *Not Applicable*, a designation that would also need to be approved by the *RCM Reviewer*.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the RCM module.

2. Sign in as *RCM Owner* user. Enter **Username** as *r_rcm_owner* and **Password** as *password*.

3. From within the navigation panel at the left-hand side, navigate to **Regulatory Change Management** > **Regulations and Bills Navigator**.

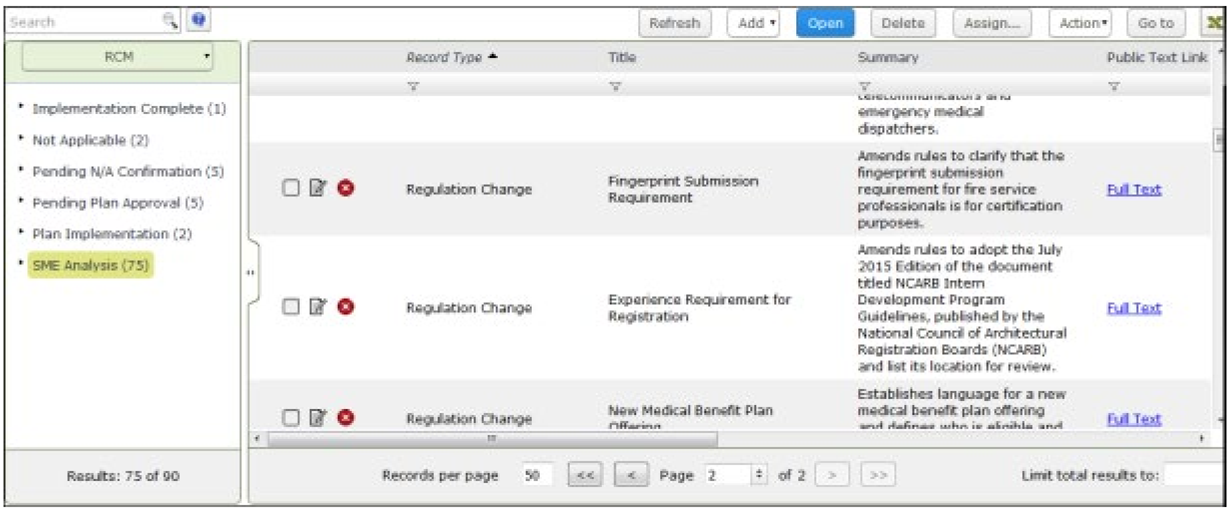
   The navigator appears.

4. From within the navigator with **RCM** selected, click **SME Analysis**.
   The records in the **SME Analysis** workflow state appear.

5. Locate the regulation change record that was submitted by the *RCM Manager* user in [Step 1: Assigning an Owner](#).

6. Use one of the following methods to open the regulation change record:

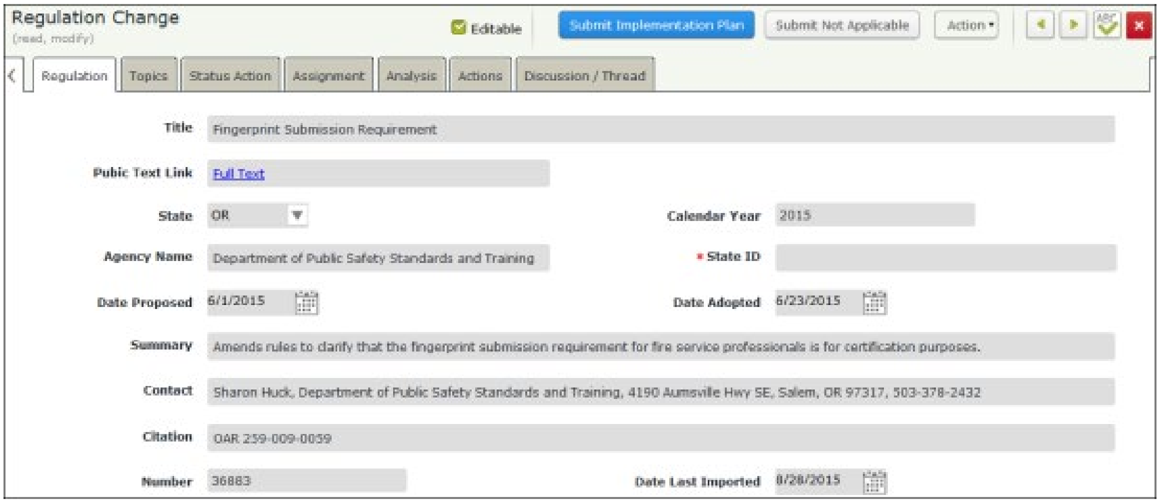
   - Double-click the regulation change record.
   - Select the regulation change record and click **Open**.
   - Click the  icon in the regulation change record row.



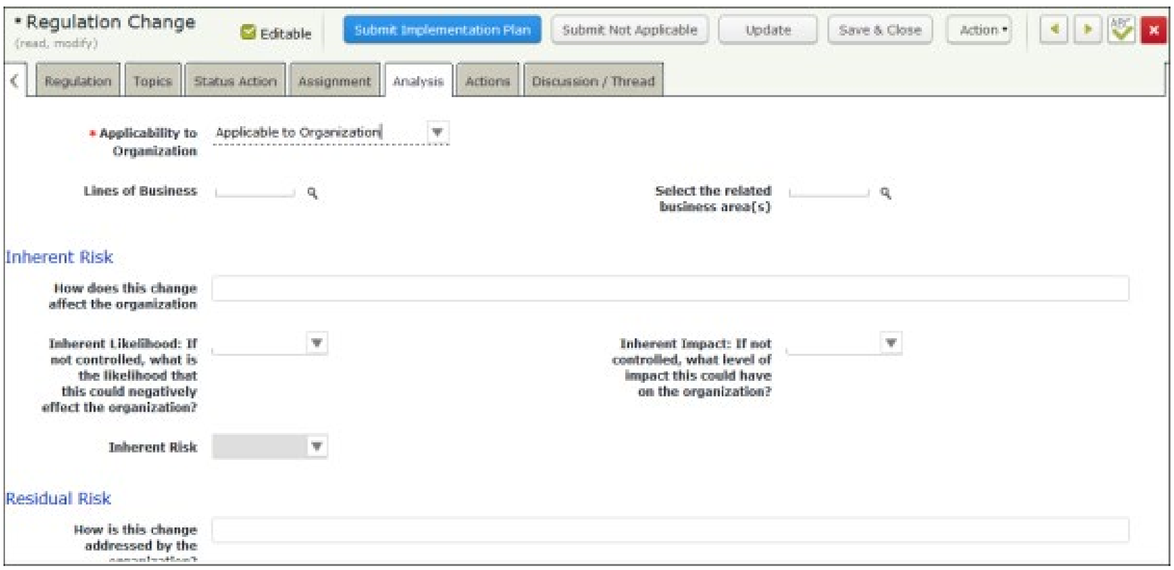
Note: You may also further narrow down the search results by entering keywords in the search box at the top-left corner and by clicking the icon.

The **Regulation Change** record opens with the **Regulation** tab selected.

7. Click the **Analysis** tab.



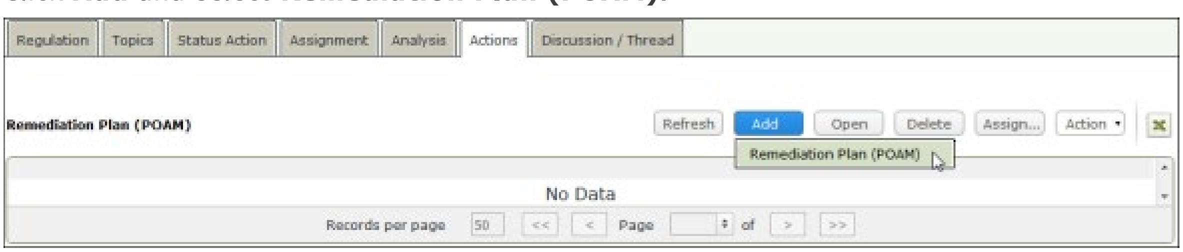
8. Select **Applicable to Organization** from the **Applicability to Organization** list box.



9. Complete the attributes under **Inherent Risk** and **Residual Risk** as appropriate.

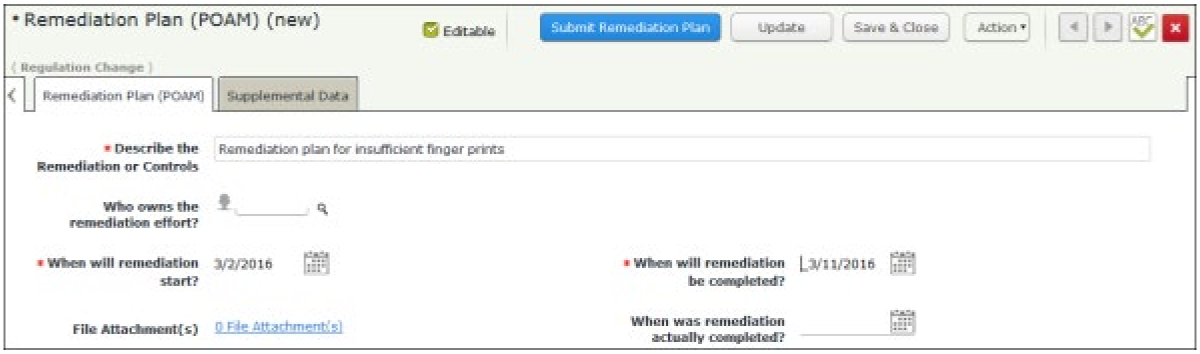
10. Click the **Actions** tab.

11. Click **Add** and select **Remediation Plan (POAM)**.



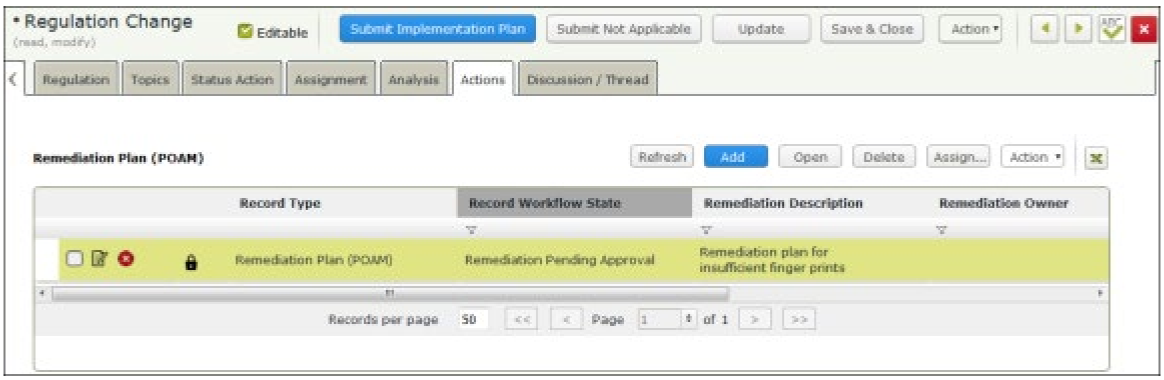
The **Remediation Plan (POAM) (new)** record opens with the **Remediation Plan (POAM)** tab selected.

12. Complete the required attributes (marked in red), and then click **Submit Remediation Plan**. Create more remediation plans as desired.



Note: It is also possible to configure an Rsam Template such that each *child* Remediation Plan record has a unique owner and workflow.

13. Click **Submit Implementation Plan** to submit the regulation change record workflow to the reviewer.



14. In the confirmation message that appears indicating whether to save the record changes and then continue, click **Yes**.

Notes:
1. Clicking the **Submit Implementation Plan** button sends an email notification to the *RCM Reviewer* user.
2. Upon submitting the workflow, the button is changed to the **Pending Plan Approval** state.
3. The SME might, alternatively, have designated a regulatory change as *Not Applicable* that would need to be approved by the *RCM Reviewer* user.

15. Hover the cursor over the username and select **Logout** in the menu that appears.

    You have been successfully logged out from the Rsam RCM module.

Step 3: Approving a Plan

In this step, you will log in to Rsam RCM module as the *RCM Reviewer* user to accept the implementation plan that was created by the *RCM Owner* user in [Step 2: Submitting a Plan](#).

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the RCM module.

2. Sign in as the *RCM Reviewer* user. Enter **Username** as ***r_rcm_reviewer*** and **Password** as ***password***.

3. From within the navigation panel at the left-hand side, navigate to **Regulatory Change Management** > **Regulations and Bills Navigator**.

   The navigator appears.

4. From within the navigator with **RCM** selected, click **Pending Plan Approval**.

   The records in the **Pending Plan Approval** workflow state appear.

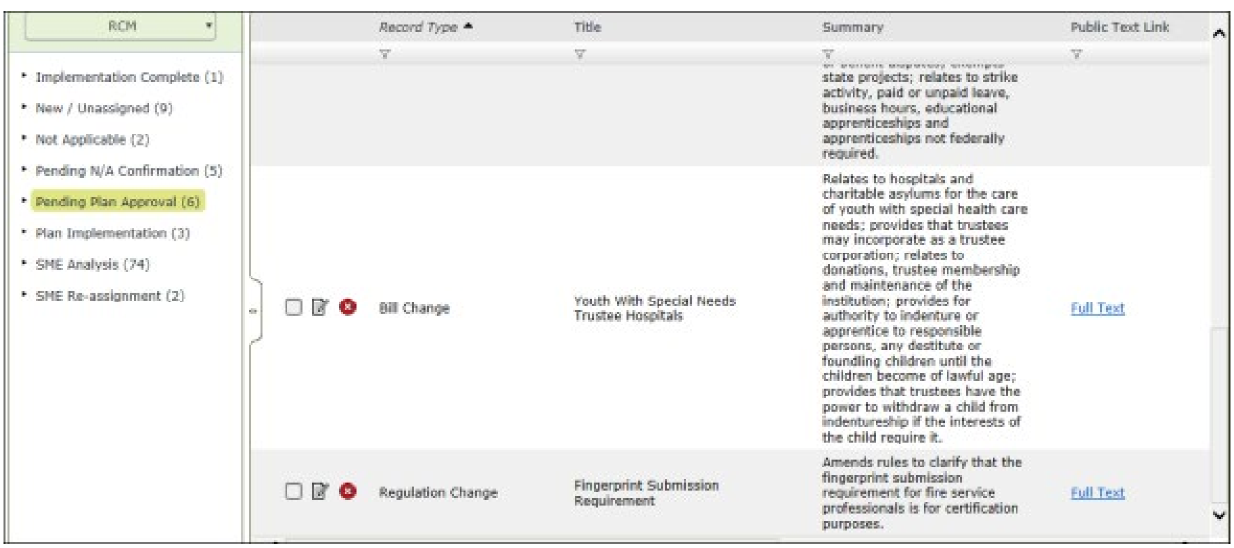
5. Locate the regulation change record that was submitted by the *RCM Owner* user in [Step 2: Submitting a Plan](#).

6. Use one of the following methods to open the regulation change record:

   - Double-click the regulation change record.

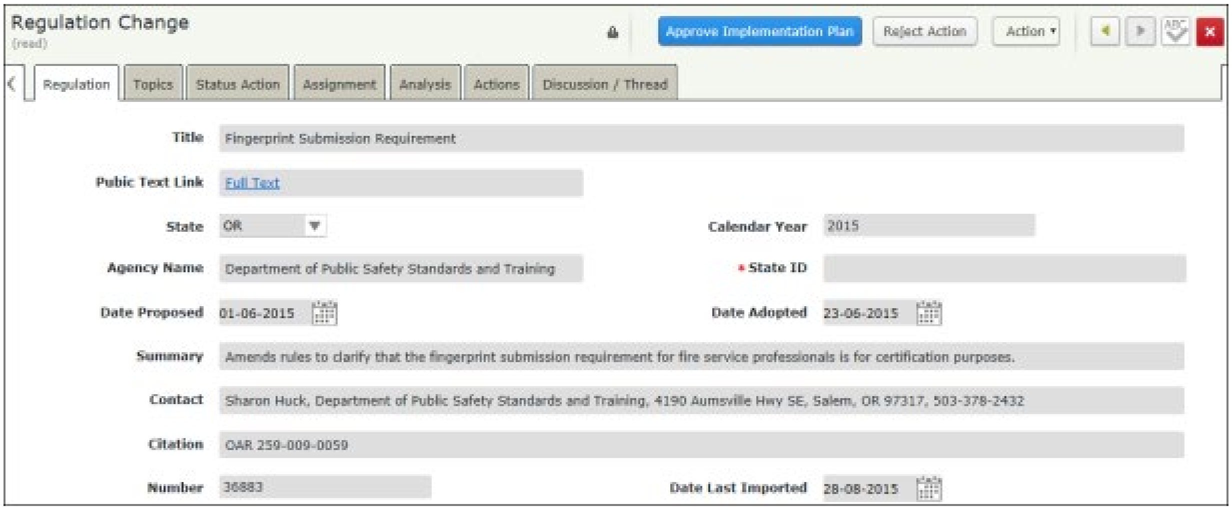
   - Select the regulation change record, and then click **Open**.

   - Click the  icon in the regulation change record row.



The **Regulation Change** record opens with the **Regulation** tab selected.

7. Click **Approve Implementation Plan**.



Notes:
1. Clicking the **Approve Implementation Plan** button sends an email notification to the *RCM Owner* user.
2. The regulation change record workflow state is changed to the **Plan Implementation** state.

8. Hover the cursor over the username and select **Logout** in the menu that appears.

   You have been successfully logged out from the Rsam RCM module.

Step 4: Plan Implementation

In this step, the *RCM Owner* user coordinates with the business users and other users to implement the documented remediation plan. As part of this step, we will walk you through the procedure that will be followed by this user to provide updates on the **Discussion/Thread** tab within the Regulation Change record details. Eventually, once the plan(s) is completed, the *RCM Owner* user completes the process by transitioning the Regulation Change record workflow to the final state, **Implementation Complete**.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the RCM module.

2. Sign in as the *RCM Owner* user. Enter **Username** as *r_rcm_owner* and **Password** as *password*.

3. From within the navigation panel at the left-hand side, navigate to **Regulatory Change Management** > **Regulations and Bills Navigator**.

   The navigator appears.

4. From within the navigator with **RCM** selected, click **Plan Implementation**.

   The records in the **Plan Implementation** workflow state appear.

5. Locate the regulation change record that the *RCM Reviewer* user approved the remediation plan in [Step 3: Approving a Plan](#).

6. Use one of the following methods to open the regulation change record:

   - Double-click the regulation change record.

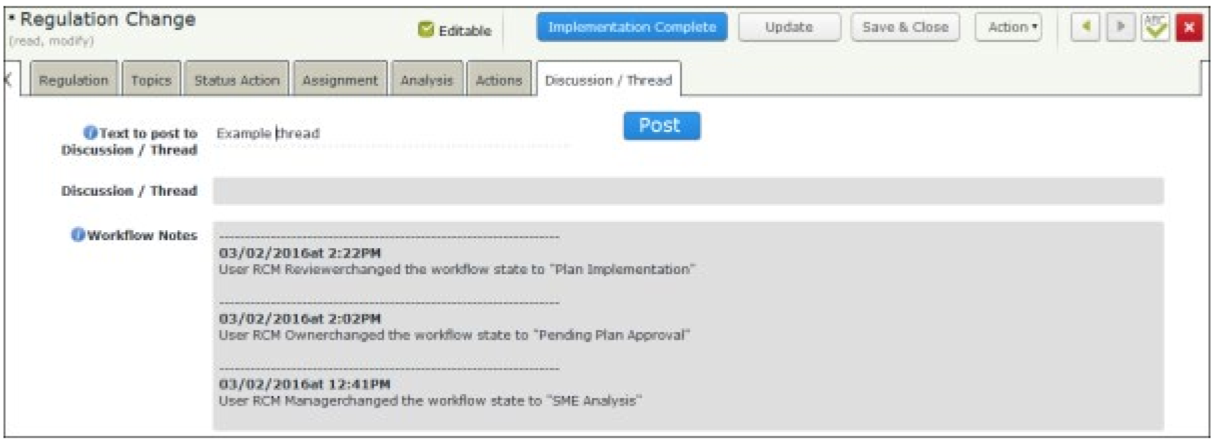
   - Select the regulation change record and click **Open**.

   - Click the  icon in the regulation change record row.

   The **Regulation Change** record opens with the **Regulation** tab selected.

7. Click the **Discussion / Thread** tab.

8. Enter text in the **Text to post to Discussion / Thread** field, and then click **Post**.



   The text entered appears in the **Discussion / Thread** box.

9. Click **Implementation Complete** when you finish posting the text on the **Discussion / Thread** tab.
   The regulation change record is transitioned to the **Implementation Complete** state.

10. Hover the cursor over the username and select **Logout** in the menu that appears.
    You have been successfully logged out from the Rsam RCM module.

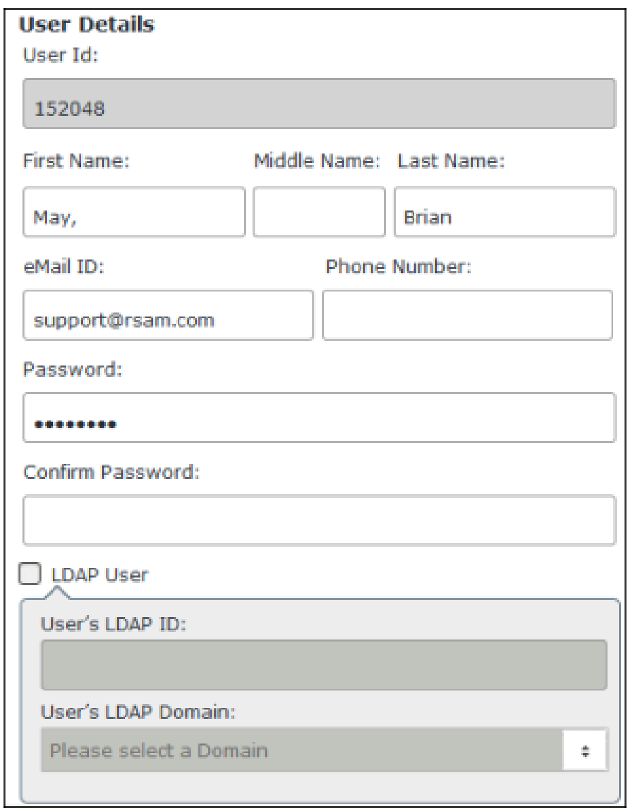
Appendix 1: Email Notifications and Offline Decision Making

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 Regulatory Change Management Module module.
2. Sign in as *r_admin* user. Enter **Username** as ***r_admin*** and **Password** as ***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.



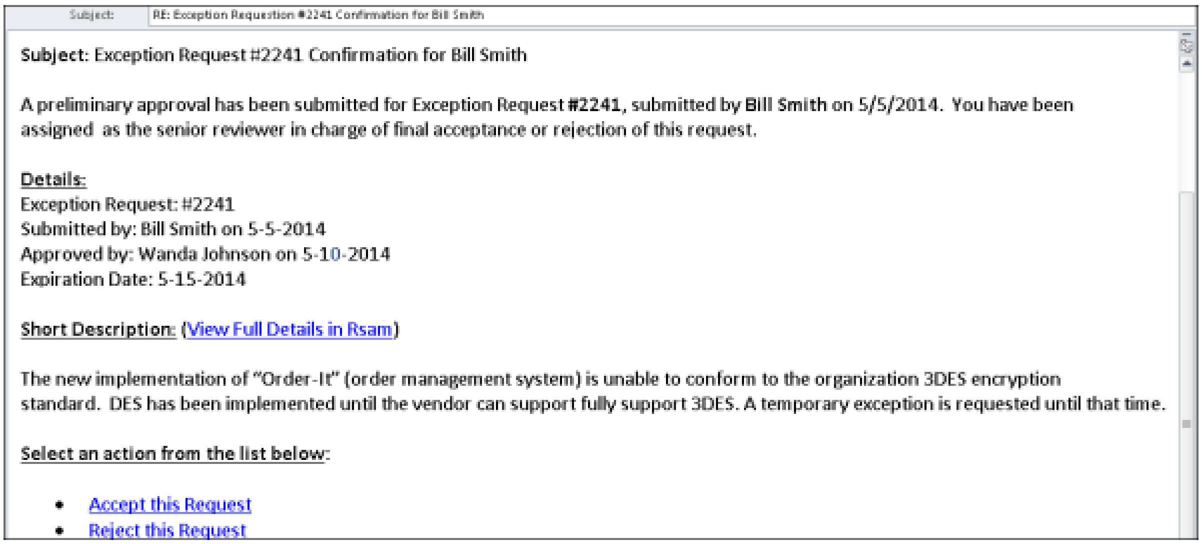
6. Click **OK**.

   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

Regulatory Change Management Module Baseline Configuration Guide

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

Online Help

This tutorial provides the step-by-step instructions for the Rsam Regulatory Change Management 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 **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.