



Regulatory Change Management Module

Baseline Configuration Guide

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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 Regulatory Change Management (RCM) module allows your users to track and manage ongoing changes to regulations and bills. The pre-configured activities help streamline your program by leveraging a central repository, allowing for data normalization, workflow and timely reporting in a more automated fashion.

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

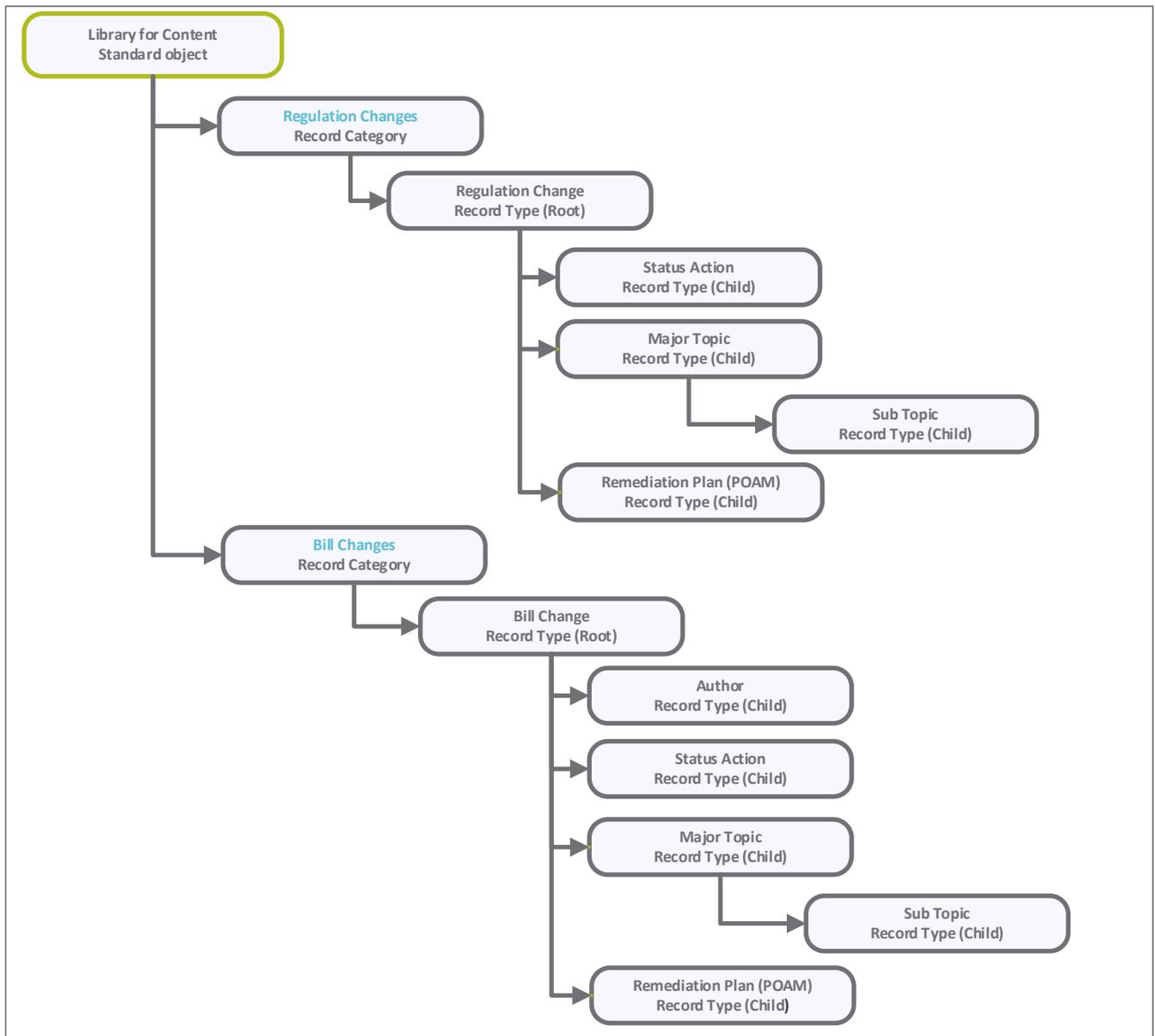
- Structure
- Home Page Tabs
- RCM Workflow
- Importing Data

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

RCM Structure

All Regulatory and Bill changes are stored in a central *Content Library* object. All Regulation Changes, Bill Changes, and Distribution Rules are stored as records in this library object

The following diagram depicts a typical structure in the RCM module.



Object Type

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

Object Type	Usage
Library for Content	A standard object that stores all the regulation change, bill change, and distribution change records.

Record Types

The following is a list of record types that have been pre-configured in this module.

Record Type	Usage
RCM: Regulation Change	A record representing a change to a regulation.
RCM: Bill Change	A record representing a change to a bill.
TDR: Tag Distribution Rule (fixed)	A record that stores a rule to automatically take regulations and bills with certain values / assignments based on keywords.
RCM: Author	A record that stores the author of the bill change.
RCM: Status Action	A record that stores the status of actions taken against the bill change.
RCM: Major Topic	A record that stores the major topic of the bill change.
RCM: Sub Topic	A record that stores the major topic of the bill change.
RM: Remediation Plan (POAM)	A record used to track the remediation plans associated with each change record.

Home Page Tabs

The Baseline Configuration of the RCM 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. The following Home Page tabs are available in the RCM module.

Home Page Tab	Description
RCM: Regulatory Change Management (grouping tab)	Allows quick access to home pages in the Regulatory Change Management module.
RCM: Regulatory Change Management Home	Allows quick access to various record categories, and quick search across the regulation and bill change records.
RCM: Regulations and Bills Navigator	Displays records in various workflow state groupings. Allows you to take actions on the regulation and bill change records.
RCM: Regulatory Change Management Dashboard	Displays dashboards for regulation and bill change records.
RCM: Regulatory Change Map	Displays a list and a map of regulatory changes that have not yet been processed.
RCM: Bill Change Map	Displays a list and a map of bill changes that have not yet been processed.

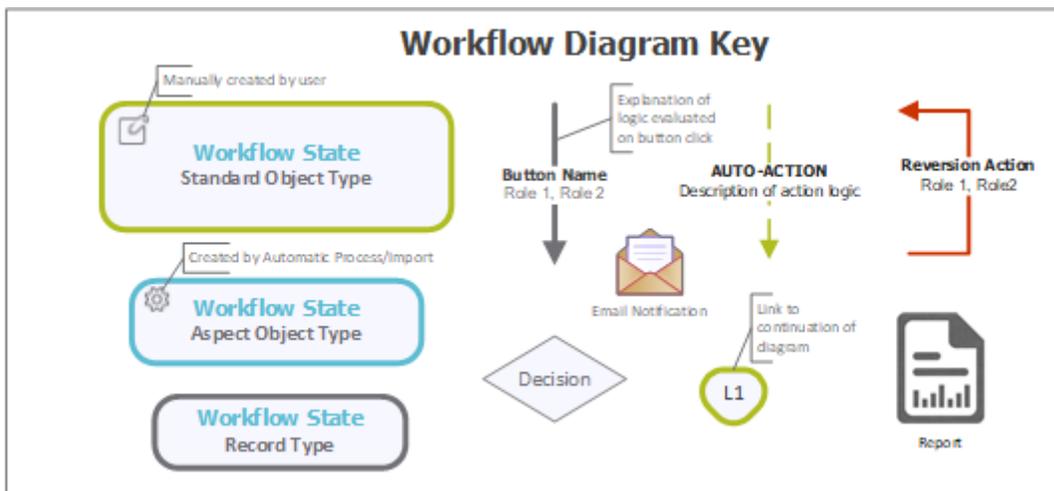
RCM Workflow

This section covers the following concepts of the baseline RCM workflow:

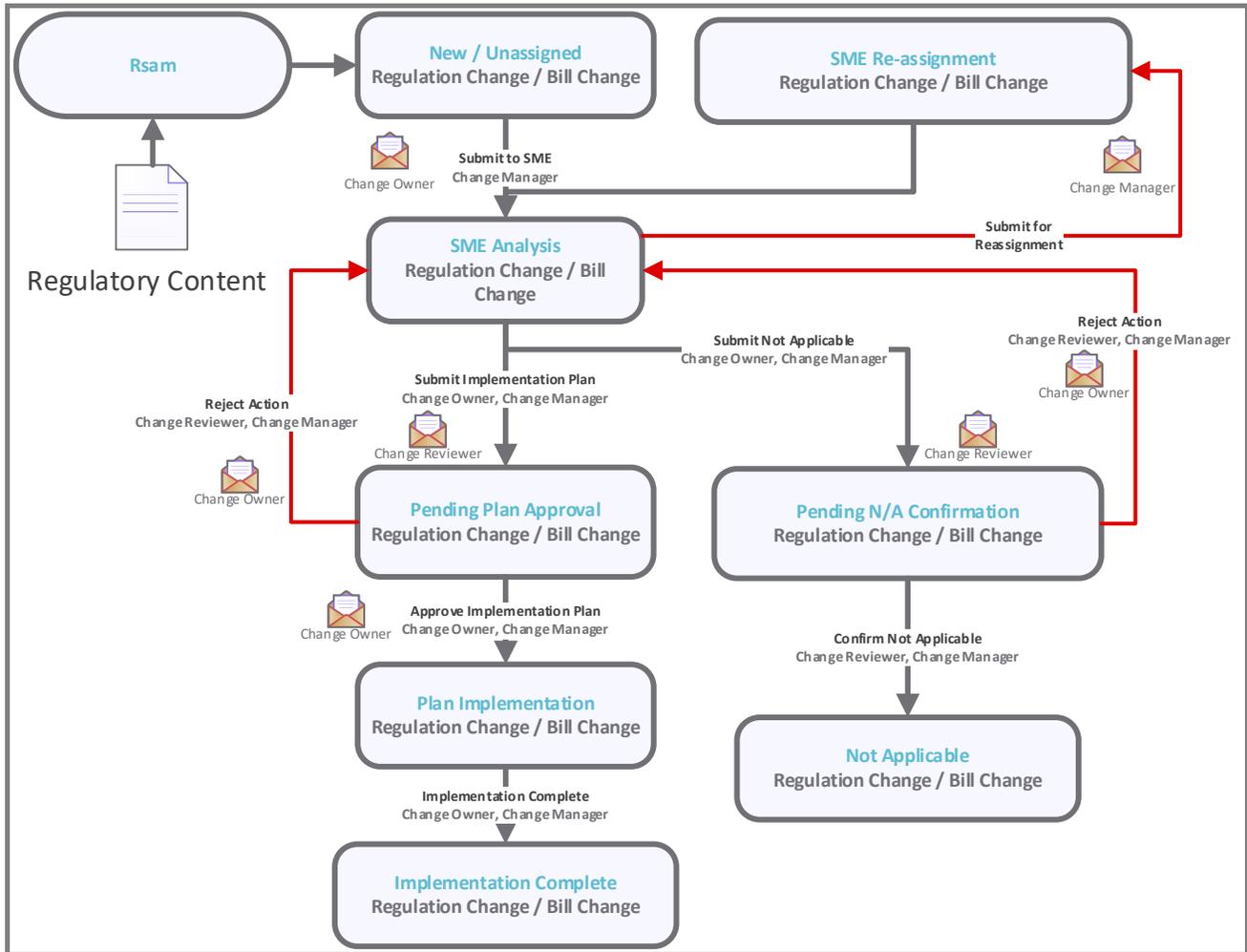
- Workflow Diagram
- Workflow States
- Workflow Roles
- Workflow Buttons

Workflow Diagram

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 workflow available in the RCM module.



Workflow States

The following table lists the workflow states in the baseline RCM workflow.

Workflow State	Description
RCM: New / Unassigned	A regulation/bill change record enters this state when it is created, assuming it has not been automatically assigned to a SME. During this state the regulation/bill change is assigned to an owner.
RCM: SME Analysis	A regulation/bill change record enters this state after being assigned an owner. The owner reviews the change, and completes the analysis portion of the change form. Also, the implementation plans are created and submitted for approval. Alternatively, a regulation/bill change record can be marked as <i>Not Applicable</i> .
RCM: SME Re-assignment	A regulation/bill change record enters this state if the assigned owner indicates that they are not the correct owner. During this state, the change may be reassigned to a new owner.

Workflow State	Description
RCM: Pending Plan Approval	A regulation/bill change record enters this state after remediation plans have been created. During this state the change is assigned to an owner and sent for analysis.
RCM: Pending N/A Confirmation	A regulation/bill change record enters this state when the owner marks the record as <i>Not Applicable</i> . In this state, a record is either confirmed as <i>Not Applicable</i> , or rejected.
RCM: Plan Implementation	A regulation/bill change record enters this state from the Pending Plan Approval state when the owner approves the plan. In this state, the remediation plan is implemented.
RCM: Implementation Complete	A regulation/bill change record enters this state from the Plan Implementation state when the owner has completed the implementation plan.
RCM: Not Applicable	A regulation/bill change record enters this state from the Pending N/A Confirmation state if the reviewer / manager confirms that this record is indeed <i>Not Applicable</i> .
RCM: Changed Since Last Review	Indicates that the item has been updated through the UCF integration since it was last reviewed by an internal user.

Workflow Roles

The following table lists the workflow roles to perform tasks associated with the states in the baseline RCM workflow.

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

User ID	Role	Description
r_rcm_owner	RCM: Change Owner	This role is assigned to the owner of the change. The owner is responsible for reviewing the change, determining its applicability, and sending it on for review.
r_rcm_reviewer	RCM: Change Reviewer	This role is assigned to the reviewer of the change (typically a group of users). The reviewer is responsible for reviewing the owner's input and accepting or rejecting the owner's decision.
r_rcm_manager	RCM: Change Manager	This role is allowed to perform tasks in all the states.

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.

Workflow Buttons

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

Button	Available to	Notification	Description
RCM: Submit to SME	RCM Change Manager	Yes	Available in the New / Unassigned and SME Re-assignment states for submitting the regulation change record for analysis.
RCM: Submit Implementation Plan	RCM Change Owner RCM Change Manager	Yes	Available in the SME Analysis state for submitting the remediation plan to the Pending Plan Approval state owner.
RCM: Submit Not Applicable	RCM Change Owner RCM Change Manager	Yes	Available in the SME Analysis state for submitting the regulation change record as Not Applicable .
RCM: Submit for Reassignment	RCM Change Owner RCM Change Manager	Yes	Available in the SME Analysis state for reassignment of regulation change record.
RCM: Revert to New	RCM Change Manager	Yes	Available in all the states except the New / Unassigned state for restarting the workflow.
RCM: Approve Implementation Plan	RCM Change Reviewer RCM Change Manager	Yes	Available in the Pending Plan Approval state for approving a remediation plan.
RCM: Reject Action	RCM Change Reviewer RCM Change Manager	Yes	Available in the Pending Plan Approval and Pending N/A Confirmation states to transition the workflow back to the SME Analysis state.
RCM: Confirm Not Applicable	RCM Change Reviewer RCM Change Manager	Yes	Available in the Pending N/A Confirmation state for approving a regulation change record as Not Applicable .
RCM: Implementation Complete	RCM Change Owner RCM Change Manager	Yes	Available in the Plan Implementation state for marking the remediation plan as Implementation Complete .
RCM: AUTO:	NA	No	This button is not available to users for execution. It is run on the creation of new bill and regulation

Button	Available to	Notification	Description
Import (New)			records during an import.
RCM: AUTO: Import (Existing)	NA	No	This button is not executable by users. It is run against the existing bill and regulation records that are included in an import.
RCM: ADMIN - Execute Distribution Rules	U: Object Administrator	No	This button is used for testing purposes. It is available only to the users with the <i>Object Administrator</i> role and is used for testing the application of Distribution Rules as they are being developed. It is not a part of the active workflow.
U: Show History	RCM Change Manager	No	Available in all the states for viewing the log of changes to the record.

Importing Data

Default import maps have been created for the baseline record categories to help you import regulation changes and bill changes little to no configuration required in your Rsam instance.

Importing Regulation Changes

Regulation change records can be imported using the **RCM: StateNet – Regulations** map. This map allows you to set up recurring imports and automatically update the Regulation Change records in the RCM module from the StateNet content provider.

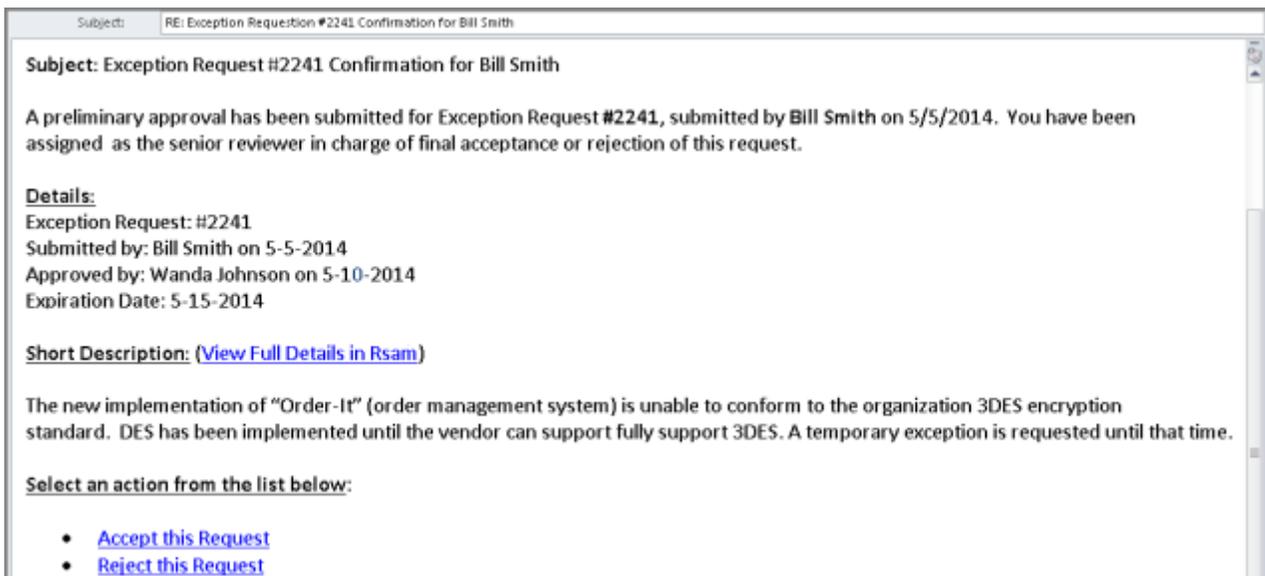
Importing Bill Changes

Bill change records can be imported using the **RCM: StateNet – Bills** map. This map allows you to set up recurring imports and automatically update the bill change records in the RCM module from the StateNet content provider.

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.

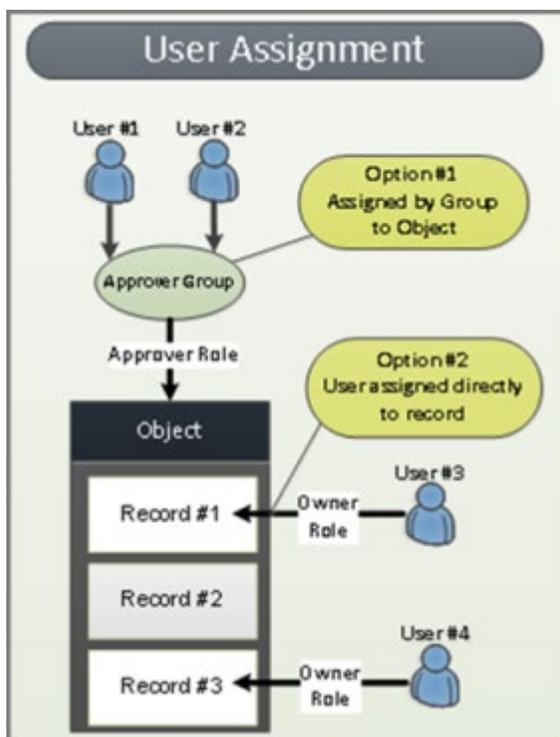


Appendix 2: User Assignment Options

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: Manual Entry of Regulatory Changes

In the absence of (or in addition to) integrated regulatory content sources, users may want to manually record regulatory changes and subject them to a similar workflow. This appendix covers this functionality as a supplement to the information covered in this document.

1. Open an Rsam supported browser and enter an Rsam instance URL containing the RCM module.
2. Sign in as *RCM Manager* user. Enter **Username** as *r_rcm_manager* and **Password** as *password*.
3. From the navigation panel at the left-hand side, navigate to **Regulatory Change Management > Regulatory Change Management Home**.
4. Under **Changes to Regulations & Bills**, click the **Regulation Changes** link.



Note: This appendix focuses on creating a regulation change. However, clicking the Bill Changes link shown in the preceding image provides a similar workflow for adding a bill change record.

5. On the **Regulation Changes** tab, click **Add** and select **Regulation Change** from the menu that appears.

Regulation Changes • Content

General Regulation Changes Bill Changes

Regulation Changes

Refresh Add Open Delete Assign... Action Wrap

Record Workflow State	Calendar Year	Regulation Change	Applicability to Organization	Title
<input type="checkbox"/>	2015	SME Analysis	AL	Withholdings
<input type="checkbox"/>	2015	SME Analysis	AL	Application and Membership Contributions
<input type="checkbox"/>	2014	SME Analysis	CA	Boxer Pension Fund
<input type="checkbox"/>	2015	SME Analysis	DE	Standards for Protection Against Radiation
<input type="checkbox"/>	2015	SME Analysis	IL	General Procedures
<input type="checkbox"/>	2015	SME Analysis	IL	Boiler and Pressure Vessel Safety
<input type="checkbox"/>	2015	SME Analysis	IL	Boiler and Pressure Vessel Repairer Regulation
<input type="checkbox"/>	2015	SME Analysis	IL	Boiler and Pressure Vessel Rules for Hearings

- Navigate to each tab and complete the required attributes (marked in red), and then click **Save & Close**.

* Regulation Change (new) Editable Submit to SME Update Save & Close Action

Regulation Topics Status Action Assignment Analysis Actions Discussion / Thread

Title

Public Text Link

State Calendar Year

Agency Name State ID

Date Proposed Date Adopted

Summary

Contact

Citation

Number Date Last Imported

Appendix 4: Managing Distribution Rules

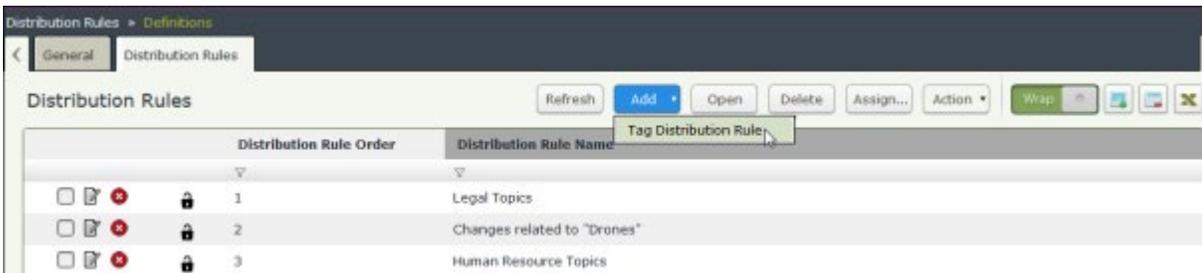
The Rsam Regulatory Change Management module utilizes a core Rsam platform feature called *Distribution Rules* to automatically tag the incoming regulation changes. This tagging facilitates auto-assignment of change records to the appropriate SME user groups. Only an administrator can create a new tag (and the association of a tag with a target SME user group). However, the *RCM Manager* can create Distribution Rules that map the content of Regulation Changes to available assignment tags.

In this appendix, we will walk you through the procedure to create a distribution rule as a supplement to the information covered in the *Regulation Change Management Ste-by-Step Tutorial*. As an example, we will create a new distribution rule that tags a regulation change containing the keyword *employment* to the Human Resources assignment tag.

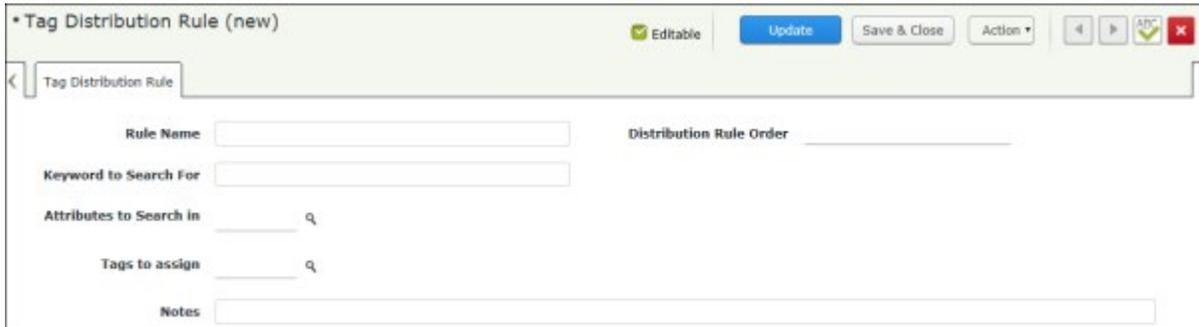
1. Open an Rsam supported browser and enter the URL of your Rsam sandbox containing the RCM module.
2. Sign in as *RCM Manager* user. Enter **Username** as *r_rcm_manager* and **Password** as *password*.
3. From within the navigation panel at the left-hand side, navigate to **Regulatory Change Management > Regulatory Change Management Home**.
4. Under **Changes to Regulations & Bills**, click the **Distribution Rules** link.



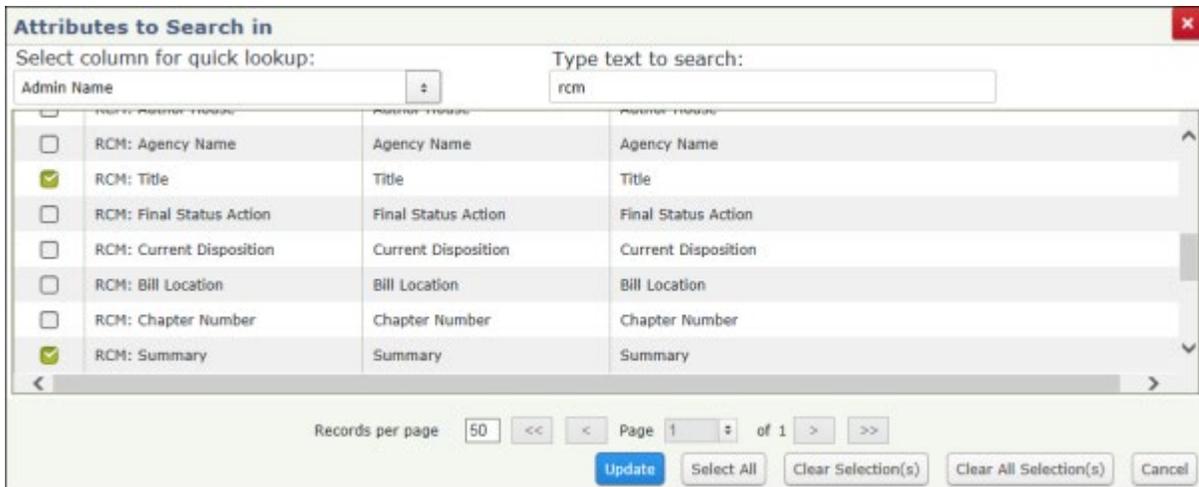
5. On the **Distribution Rules** tab, click **Add** and select **Tag Distribution Rule** from the menu that appears.



- Complete the **Rule Name**, **Distribution Rule Order**, and **Keyword to Search For** attributes.



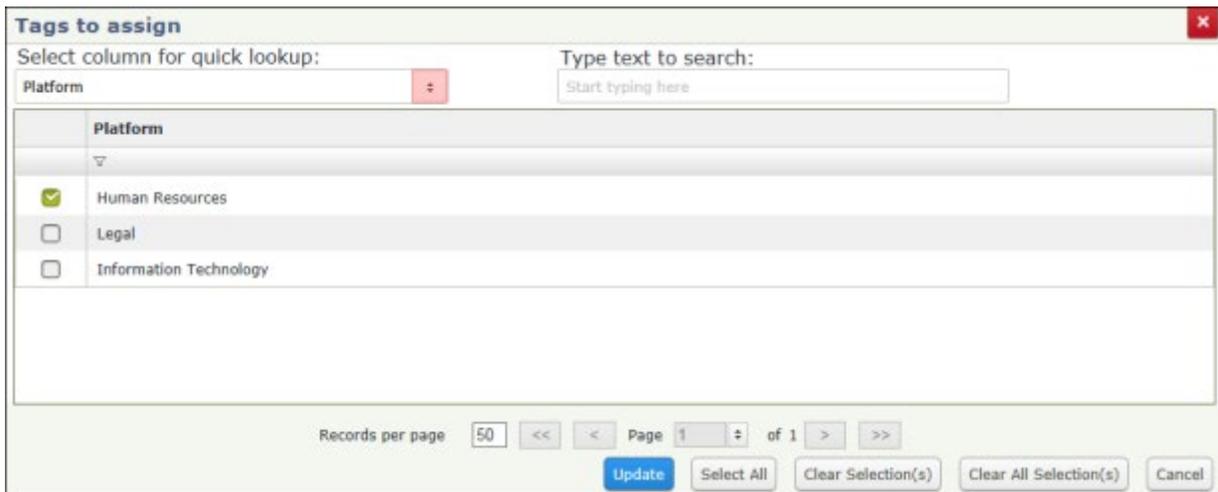
- Click the  lookup icon associated with the **Attributes to Search in** attribute. The **Attributes to Search in** dialog appears.
- Enter *rcm* in the **Type text to search** text box to obtain the RCM module specific attributes.
- Select **RCM: Title** and **RCM: Summary**.



Select column for quick lookup:	Type text to search:
Admin Name	rcm
<input type="checkbox"/> RCM: Agency Name	Agency Name
<input checked="" type="checkbox"/> RCM: Title	Title
<input type="checkbox"/> RCM: Final Status Action	Final Status Action
<input type="checkbox"/> RCM: Current Disposition	Current Disposition
<input type="checkbox"/> RCM: Bill Location	Bill Location
<input type="checkbox"/> RCM: Chapter Number	Chapter Number
<input checked="" type="checkbox"/> RCM: Summary	Summary

- Complete any other required attributes as necessary.
- Click **Update** when you finish selecting the attribute(s) to exit the **Attributes to Search in** dialog. Entering the employment keyword now searches the Title and Summary attributes.
- Click the  lookup icon associated with the **Tags to assign** attribute. The **Tags to assign** dialog appears.

13. Check the box for **Human Resources** to let the Rsam RCM module assign an attribute tag when the keyword employment is entered.



	Platform
<input checked="" type="checkbox"/>	Human Resources
<input type="checkbox"/>	Legal
<input type="checkbox"/>	Information Technology

Records per page: 50 Page 1 of 1

Update Select All Clear Selection(s) Clear All Selection(s) Cancel

14. When the tag(s) has been assigned, click **Update** to exit the **Tags to assign** dialog.
15. Complete other fields as appropriate and then click **Save & Close** to create a new tag distribution rule record.

Now when a new Regulation or Bill change is imported, Rsam will automatically apply the appropriate tags (and trigger any related assignment rules setup by the *Rsam Administrator*).

Appendix 5: Rsam Documentation

Regulatory Change Management Module Tutorial

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

Online Help

This document provides an overview of the Regulatory Change 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.

