



One Identity Manager 8.0.3

Company Policies Administration Guide

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One Identity LLC.
Attn: LEGAL Dept
4 Polaris Way
Aliso Viejo, CA 92656

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Legend

-  **WARNING:** A WARNING icon indicates a potential for property damage, personal injury, or death.
-  **CAUTION:** A CAUTION icon indicates potential damage to hardware or loss of data if instructions are not followed.
-  **IMPORTANT, NOTE, TIP, MOBILE, or VIDEO:** An information icon indicates supporting information.

Contents

Company Policies	5
One Identity Manager Users for Company Policies	6
Base Data for Company Policies	8
Policy Groups	9
Compliance Frameworks	9
Additional Tasks for Compliance Frameworks	10
Schedules for Policy Checking	11
Default Schedules	13
Additional Tasks for Schedules	13
Attestors	15
Policy Supervisors	16
Exception approver	17
Standard Reasons	18
Predefined Standard Reasons	19
Defining Company Policies	19
Setting Up and Editing Company Policies	19
General Master Data for Company Policies	20
Risk Assessment	22
Extended Company Policy Data	24
Policy Comparison	24
Default Company Policies	25
Additional Tasks for Working Copies	26
Additional Tasks for Company Policies	30
Deleting Company Policies	34
Checking Company Policies	34
Calculating Policy Violations	35
Scheduled Policy Checking	35
Ad hoc Policy Checking	35
Reports about Policy Violations	36
Granting Exception Approval	36
Notifications about Policy Violations	37

Demands for Exception Approval	38
Notifications about Policy Violations without Exception Approval	39
Policy Violation Approval Status	39
Creating Custom Mail Templates for Notifications	40
General Properties of a Mail Template	41
Creating and Editing an Email Definition	42
Using Base Object Properties	43
Use of Hyperlinks in the Web Portal	43
Customizing Email Signatures	45
Mitigating Controls	46
General Master Data for a Mitigating Control	47
Additional Tasks for Mitigating Controls	47
The Mitigating Controls Overview	47
Assigning Company Policies	48
Calculating Mitigation	48
General Configuration Parameter for Company Policies	49
About us	51
Contacting us	51
Technical support resources	51
Index	52

Company Policies

Table 1: General Configuration Parameters for Company Policies

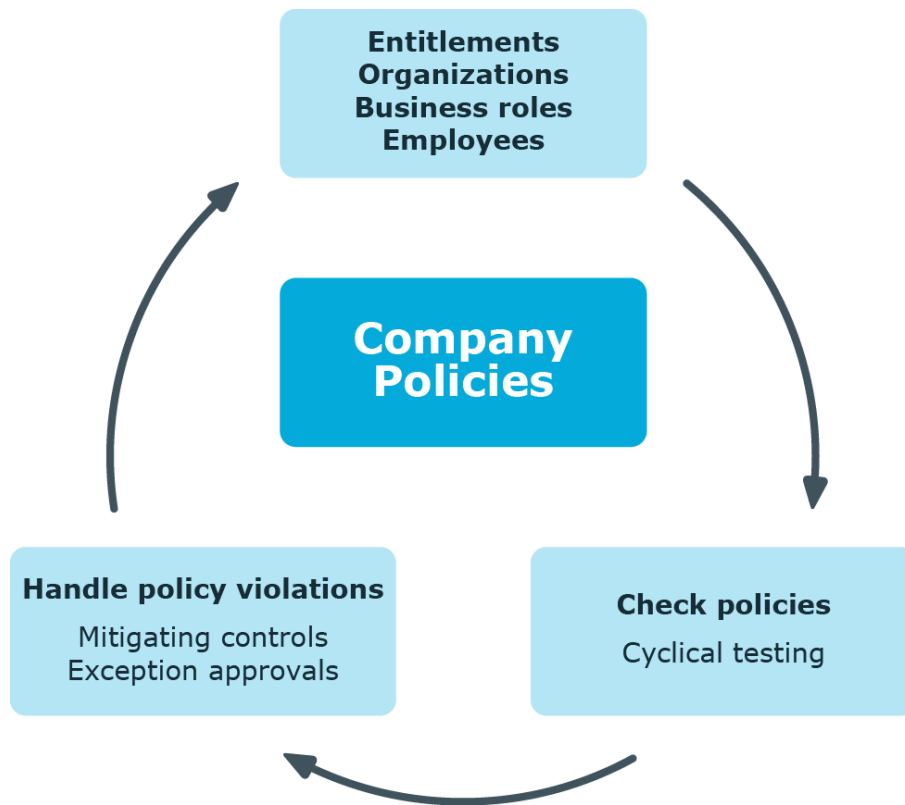
Configuration parameter	Meaning
QER\Policy	Preprocessor relevant configuration parameter for controlling company policy validation. Changes to the parameter require recompiling the database. If the parameter is enabled the target system modules are available.

Companies have varying requirements, which they need for regulating internal and external employee access to company resources. They also have to demonstrate that they adhere to legal requirements. Such requirements can be defined as policies.

One Identity Manager allows you to manage these company policies and thus to assess the risk involved. Assuming the appropriate data is stored in the One Identity Manager database, One Identity Manager determines all the company resources that violate these company policies. You can also define company policies for the purpose of providing reports that do not have any connection with One Identity Manager.

Adherence to company policies is checked regularly using scheduled tasks. You can incorporate company policies into the regular attestation of your company resources to decide on further handling of any violated ones. Risk assessment can be run for all company policies. Different reports and statistics provide you with an overview of violated policies.

Figure 1: Company Policies in One Identity Manager



Example of company policies are:

- All cost centers are assigned a manager.
- All departments are assigned employees.
- All employees are attested.
- Deactivated employees do not have any enabled user accounts.

To be able to map company policies

- Set the configuration parameter "QER\Policy" in the Designer.

One Identity Manager Users for Company Policies

The following users are used for managing company policies.

Table 2: Users

User	Task
Company policy administrators	<p>Administrators must be assigned to the application role Identity & Access Governance Company policies Administrators.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • Enter base data for for setting up company policies. • Set up policies and assign policy supervisors to them. • Can calculation policies and view policy violations if required. • Set up reports about policy violations. • Enter mitigating controls. • Create and edit risk index functions. • Administer application roles for policy supervisors, exception approvers and attestors. • Set up other application roles as required.
Policy supervisor	<p>Policy supervisors must be assigned to the application role Identity & Access Governance Company policies Policy supervisors or another child application role.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • Are responsible for the contents of company policies. • Edit working copies of company policies. • Enable and disable company policies. • Can calculation policies and view policy violations if required. • Assign mitigating controls.
One Identity Manager administrators	<ul style="list-style-type: none"> • Create customized permissions groups for application roles for role-based login to administration tools in the Designer, as required. • Create system users and permissions groups for non-role based login to administration tools, as required. • Enable or disable additional configuration parameters in the Designer, as required. • Create custom processes in the Designer, as required. • Create and configures schedules, as required. • Create and configure password policies, as required.
Exception approver	<p>Exception approvers must be assigned to the application role Identity & Access Governance Company policies Exception approvers or to a child role.</p>

User	Task
	<p>Users with this application role:</p> <ul style="list-style-type: none"> • Edit policy violations. • Can grant exception approval or revoke it.
Company policy attestors	<p>Attestors must be assigned to the application role Identity & Access Governance Company policies Attestors.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • Attest company policies and exception approvals in the Web Portal for which they are responsible. • Can view the master data for these company policies but not edit them. <p>i NOTE: This application role is available if the module Attestation Module is installed.</p>
Compliance & Security Officers	<p>Compliance and security officers must be assigned to the application role Identity & Access Governance Compliance & Security Officer.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • View all compliance relevant information and other analysis in the Web Portal. This includes attestation policies, company policies and policy violations, compliance rules and rule violations and risk index functions. • Edit attestation polices
Auditors	<p>Auditors are assigned to the application role Identity & Access Governance Auditors.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • See the Web Portal all the relevant data for an audit.

Base Data for Company Policies

Various basic data is required to create company policies, run policy checks and handle policy violations.


Policy groups	Policy Groups on page 9
Compliance Frameworks	Compliance Frameworks on page 9
Schedules	Schedules for Policy Checking on page 11
Attestors	Attestors on page 15

Policy supervisors	Policy Supervisors on page 16
Exception approver	Exception approver on page 17
Standard Reasons	Standard Reasons on page 18

Policy Groups

Use policy groups to group together company policies by functionality. You can use policy to groups to structure company policies hierarchically.

To edit a policy group

1. Select the category **Company Policies | Basic configuration data | Policy groups**.
2. Select a policy group in the result list. Select **Change master data** in the task view.
- OR -
Click  in the result list toolbar.
3. Edit the master data for the policy group.
4. Save the changes.

Enter the following data for a policy group

Table 3: General Master Data for a Policy Group

Property	Description
Group name	Name of the policy group.
Parent group	Policy group above this one in a hierarchy. To organize policy groups hierarchically, select the parent rule group in the menu.

In the report **Policy violation overview** you can get an overview of all policy violations for a policy group.

Compliance Frameworks

Compliance frameworks are used for classifying attestation policies, compliance rules and company policies according to regulatory requirements.

Compliance frameworks can be organized hierarchically. To do this, assign a parent framework to the compliance frameworks.

To edit compliance frameworks

1. Select the category **Company Policies | Basic configuration data | Compliance frameworks**.
2. Select the compliance framework from the result list. Select **Change master data** in the task view.
– OR –
Click **New** in the result list toolbar.
This opens a master data form for a compliance framework.
3. Edit the compliance framework master data.
4. Save the changes.

Enter the following properties for compliance frameworks.

Table 4: Compliance Framework Properties

Property	Description
Compliance framework	Name of the compliance framework.
Parent framework	Parent compliance framework in the framework hierarchy. Select an existing compliance framework in the menu to organize compliance frameworks hierarchically.
Managers	Application role whose members are allowed to edit all company policies assigned to this compliance framework.
Description	Spare text box for additional explanation.

Additional Tasks for Compliance Frameworks

After you have entered the master data, you can apply different tasks to it. The task view contains different forms with which you can run the following tasks.

You can obtain a summary of all a compliance framework's policy violations in the report **Policy violation overview**.

The Compliance Framework Overview

You can see the most important information about a compliance framework on the overview form.

To obtain an overview of a compliance framework

1. Select the category **Company Policies | Basic configuration data | Compliance frameworks**.
2. Select the compliance framework from the result list.
3. Select **Compliance framework overview** in the task view.

Assigning Company Policies

Use this task to specify which attestation polices are included in the selected compliance framework.


To assign company policies to compliance frameworks

1. Select the category **Company Policies | Basic configuration data | Compliance frameworks**.
2. Select the compliance framework from the result list.
3. Select the task **Assign company policies**.
4. Double-click on the company policies you want to assign in **Add Assignments**
– OR –
Double-click on the company policies you want to remove in **Remove Assignment**.
5. Save the changes.

Schedules for Policy Checking






Regular testing of company policies is managed through schedules. In the default installation of One Identity Manager, the default schedule "Policy check" is assigned to every new company policy. This schedule generates a process task for DBQueue Processor for every company policy at regular intervals. You can configure your own schedule to check policies on a cycle which suits your requirements. Ensure that the schedules are assigned to the policies.

To edit schedules

1. Select the category **Company Policies | Basic configuration data | Schedules**.
The result list shows exactly those schedules configured for the table QERPolicy.
2. Select a schedule in the result list and run the task **Change master data**.
– OR –
Click  in the result list toolbar.
3. Edit the schedule's master data.
4. Save the changes.

Enter the following properties for a schedule.

Table 5: Schedule Properties

Property	Meaning
Name	Schedule ID. Translate the given text using the  button.
Description	Detailed description of the schedule. Translate the given text using the  button.
Enabled	Specifies whether the schedule is enabled or not.  NOTE: Only active schedules are executed.
Time zones	Unique identifier for the time zone that is used for executing the schedule. Select either "Universal Time Code" or one of the time zones.  NOTE: When you add a new schedule, the time zone is preset to that of the client from which you started the Manager.
Start (date)	The day on which the schedule should be run for the first time.
Validity period	Period within which the schedule is executed. <ul style="list-style-type: none"> • If the schedule will be run for an unlimited period, select the option Unlimited duration. • To set a validity period, select the option Limited duration and enter the day the schedule will be run for the last time in End (date).
Occurs	Interval in which the task is executed. Valid interval types are "Every minute", "Hourly", "Daily", "Weekly", "Monthly" and "Yearly". Specify the exact weekday for the interval type "Weekly". Specify the day of the month (1st - 31st) for the interval type "Monthly". Specify the day of the year (1 - 366) for the interval type "Yearly".  NOTE: Schedules that have the sub-interval "31" and interval type "monthly" are run on the "31st of the month". The task is, therefore, only run in months with 31 days. The same is true of the interval type "yearly" and the sub-interval "366".
Start time	Fixed start time for the interval types "daily", "weekly", "monthly" and "yearly". Enter the time in local format for the chosen time zone. The start time for interval types "Every minute" and "Hourly" is calculated from the rate of occurrence and the interval type.
Repeat every	Rate of occurrence for executing the schedule within the selected time interval. Select at least one weekday for the interval type "Weekly".
Last planned run/Next planned run	Execution time calculated by the DBQueue Processor. They are recalculated each time a schedule is run. The time of the next run is calculated from the interval type, rate of occurrence and the start time.

Property	Meaning
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NOTE: The One Identity Manager provides the start information in the time zone of the client where the program was started. Changes due to daylight saving are taken into account.

Default Schedules

One Identity Manager supplies the following schedules for checking policies, by default.

Table 6: Default Schedules

Calculation schedule	Description
Default schedule policies	Default schedule for checking policies. This schedule generates a DBQueue Processor processing task for each company policy for checking policies at regular intervals.

Related Topics

- [Calculating Policy Violations](#) on page 35

Additional Tasks for Schedules

After you have entered the master data, you can apply different tasks to it. The task view contains different forms with which you can run the following tasks.

The Schedule Overview

You can see the most important information about a schedule on the overview form.

To obtain an overview of a schedule

1. Select the category **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select **Schedule overview** in the task view.

Assigning Company Policies

Use this task to assign company policies to the selected schedule, which will run them. By default, a company policy is assigned to the schedule "default schedule policies". Using the

assignment form you can assign the selected schedule to any of the company policies.

To assign a schedule to a company policy

1. Select the category **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select the task **Assign company policies**.
4. Double-click on the company policies you want to assign in **Add assignments**.
5. Save the changes.

To change an assignment

1. Select the category **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select the task **Assign company policies**.
4. Select **Show objects already assigned to other objects** in the assignment form context menu.

This shows company policies that are already assigned in other schedules.

5. Double-click on one of these company policies in **Add assignments**.

The company policy is assigned to the currently selected schedule.

6. Save the changes.
7. To put the changes into effect, enable the working copy.

i | **NOTE:** Assignments cannot be removed. Assignment of a schedule is compulsory for company policies.

Related Topics

- [Enabling Working Copies](#) on page 28
- [Default Schedules](#) on page 13
- [Extended Company Policy Data](#) on page 24

Starting Schedules Immediately

To start a schedule immediately

1. Select the category **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select **Start immediately** from the task view.

A message appears confirming that the schedule was started.

Attestors

Installed Module: Attestation Module


Employees that can be used to attest attestation procedures can be assigned to company policies. To do this, assign an application role for attestors to a company policy on the master data form. Assign employees to this application role that are authorized to attest company policies.

A default application role for attestors is available in One Identity Manager. You may create other application roles as required. For more information about application roles, see One Identity Manager Application Roles Administration Guide.

Table 7: Default Application Roles for Attestors

User	Task
Company policy attestors	<p>Attestors must be assigned to the application role Identity & Access Governance Company policies Attestors.</p> <p>Users with this application role:</p> <ul style="list-style-type: none">• Attest company policies and exception approvals in the Web Portal for which they are responsible.• Can view the master data for these company policies but not edit them. <p>i NOTE: This application role is available if the module Attestation Module is installed.</p>

To edit attestors

1. Select the category **Company Policies | Basic configuration data | Attestors**.
2. Select **Change master data** in the task view.
- OR -
Select the application role in the result list. Select **Change master data** in the task view.
- OR -
Click  in the result list toolbar.
3. Edit the application role's master data.

Property	Value
Parent application role	Assign the application role Identity & Access Governance Company policies Attestors or a child application role.

4. Save the changes.
5. Select the task **Assign employees**, to add members to the application role.
6. Assign employees in **Add assignments**.
 - OR -
 - Remove employees from **Remove assignments**.
7. Save the changes.

Policy Supervisors


Employees that are responsible for the contents of company policies can be assigned to these company policies. To do this, assign an application role for policy supervisors to a company policy on the master data form.

A default application role for policy supervisors is available in One Identity Manager. You may create other application roles as required. For more information about application roles, see the One Identity Manager Application Roles Administration Guide.

Table 8: Default Application Role for Rule Supervisors

User	Task
Policy Supervisors	<p>Policy supervisors must be assigned to the application role Identity & Access Governance Company policies Policy supervisors or another child application role.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • Are responsible for the contents of company policies. • Edit working copies of company policies. • Enable and disable company policies. • Can calculation policies and view policy violations if required. • Assign mitigating controls.

To edit a policy supervisor

1. Select the category **Company Policies | Basic configuration data | Policy supervisors**.
2. Select **Change master data** in the task view.
 - OR -
 - Select the application role in the result list. Select **Change master data** in the task view.
 - OR -
 - Click  in the result list toolbar.

3. Edit the application role's master data.

Property	Value
Parent application role	Assign the application role Identity & Access Governance Company policies Policy supervisors or a child application role.

4. Save the changes.
5. Select the task **Assign employees**, to add members to the application role.
6. Assign employees in **Add assignments**.
 - OR -
 - Remove employees from **Remove assignments**.
7. Save the changes.

Exception approver

Employees who can issue exception approvals for policy violations can be assigned to company policies. To do this, assign an application role for exception approvers to a company policy on the master data form.

A default application role for exception approvers is available in One Identity Manager. You may create other application roles as required. For more information about application roles, see the One Identity Manager Application Roles Administration Guide.

Table 9: Default Application Role for Exception Approvers

User	Task
Exception Approvers	<p>Exception approvers must be assigned to the application role Identity & Access Governance Company policies Exception approvers or to a child role.</p> <p>Users with this application role:</p> <ul style="list-style-type: none"> • Edit policy violations. • Can grant exception approval or revoke it.

To edit exception approvers

1. Select the category **Company Policies | Basic configuration data | Exception approvers**.
2. Select **Change master data** in the task view.
 - OR -

Select the application role in the result list. Select **Change master data** in the task view.

- OR -

Click  in the result list toolbar.

3. Edit the application role's master data.

Property	Value
Parent application role	Assign the application role Identity & Access Governance Company policies or a child application role.

4. Save the changes.
5. Select the task **Assign employees**, to add members to the application role.
6. Assign employees in **Add assignments**.
- OR -
Remove employees from **Remove assignments**.
7. Save the changes.


Related Topics

- [Granting Exception Approval](#) on page 36

Standard Reasons

In the Web Portal, you can enter reasons, which provide explanations for individual approval decisions of the exception approvals. You can freely formulate this text. You also have the option to predefine reasons. The exception approver selects the most suitable text from these standards reasons in the Web Portal and stores it with the policy violation.

To edit standard reasons

1. Select the category **Company policies | Basic configuration data | Justifications**.
2. Select a standard reason in the result list. Select **Change master data** in the task view.
- OR -
Click  in the result list toolbar.
3. Edit the master data for a standard reason.
4. Save the changes.

Enter the following properties for the standard reason.

Table 10: General Master Data for a Standard Reason

Property	Description
Standard reason	Reason text as displayed in the Web Portal.
Description	Spare text box for additional explanation.
Automatic Approval	Specifies whether the reason text is entered automatically by One Identity Manager into the policy violation. Do not set this option if the you want to select the standard reason in the Web Portal.
Additional text required	Specifies whether an additional reason should be entered in freely formatted text for the exception approval.

Predefined Standard Reasons

One Identity Manager supplies predefined standard reasons. These standard reasons are added to the policy violations by One Identity Manager, if approval is automatic.

To display predefined standard reasons

- Select the category **Company Policies | Basic configuration data | Standard reasons | Predefined.**

Defining Company Policies


Company policies include more properties in One Identity Manager apart from just technical descriptions, for example, risk assessment of a policy violation and accountability. Classification of company policies by compliance framework and structuring in policy groups is also possible.

Setting Up and Editing Company Policies

A working copy is added for every company policy. Edit the working copies to create company policies and change them. Changes to the company policy do not take effect until the working copy is enabled.

- NOTE:** One Identity Manager users with the application role **Identity & Access Governance | Identity Audit | Policy supervisors** can edit existing working copies that they are entered as being responsible for in the master data.

To create a new company policy

1. Select the category **Company Policies | Policies**.
2. Click  in the result list toolbar.
3. Enter the company policy's master data.
4. Save the changes.
This adds a working copy.
5. Select **Enable working copy** from the task view. Confirm the security prompt with **OK**.

An active company policy is added. The working copy is retained and can be used to make changes later.

To edit an existing company policy

1. Select the category **Company Policies | Policies**.
 - a. Select the company policy in the result list.
 - b. Select **Create copy** in the task view.
The data from the existing working copy are overwritten by the data from the original company policy after a security prompt. The working copy is opened and can be edited.

- OR -

Select the category **Company policies | Policies | Working copies of policies**.

- a. Select the working copy in the result list.
 - b. Select **Change master data** in the task view.
2. Edit the working copy's master data.
 3. Save the changes.
 4. Select **Enable working copy** from the task view. Confirm the security prompt with **OK**.





Changes to the working copy are transferred to the company policy. This can reenable a disabled company policy if required.

General Master Data for Company Policies

Enter the following data for a company policy.

Table 11: General Master Data for Company Policies

Property	Description
Policy	Name of the company policy.

Property	Description
Description	Spare text box for additional explanation.
Main version number	Current state of the company policy as a version number. The version number is incremented in One Identity Manager's default installation each time you make a change to the condition.
Working copy	Specifies whether this is a working copy of the company policy.
Disabled	Specifies whether the company policy is disabled or not. Only company policies that are enabled are included in policy checking. Use the tasks Enable policy or Disable policy to enable or disable a company policy. The working copy company policy is always disabled.
Policy group	Policy group to which the company policy belongs, based on its content. Select a policy group from the menu. To create a new policy group, click  . Enter a name and description for the policy group.
Manager / supervisors	Application role whose members are responsible for the company policy, in terms of content. To create a new application role, click  . Enter the application role name and assign a parent application role.
Exception approval allowed	Specifies whether exception approval is permitted when the policy is violated. Assignments that cause the policy to be violated can be approved and issued anyway with this.
Exception approver	Application role, whose members are entitled to grant exception approval for violations to this company policy. To create a new application role, click  . Enter the application role name and assign a parent application role.
Exception approvers info	Information, which the exception approver may require for making a decision. This advice should describe the risks and side effects of an exception.
Attestors	Applications role whose members are authorized to approve attestation cases for company policies and policy violations. To create a new application role, click  . Enter the application role name and assign a parent application role.
Without condition	Specifies whether the company policy a direct relationship to the One Identity Manager data model or not. If this option is set, the button Edit condition... is disabled. If the option is not set, a condition must be entered that finds all the objects that violate the policy.
Base table	Base table referenced by the company policy.

Property	Description
	Based on this table, the system determines which objects violate the company policy.
Edit connection...	Starts the WHERE clause wizard. Use the WHERE clause wizard to set up a condition that finds all the objects in the base table that violate the company policy. Use the Expert view button enter the condition in SQL syntax straight away.
Condition	Data query that finds all the objects that violate the company policy. This option is only available if the task Show condition has been run beforehand.

Detailed information about this topic

- [Enabling and Disabling Policies](#) on page 31
- [Policy Groups](#) on page 9
- [Policy Supervisors](#) on page 16
- [Exception approver](#) on page 17
- [Attestors](#) on page 15
- [Show Condition](#) on page 28

Related Topics

- One Identity Manager User Guide for One Identity Manager Tools User Interface and Default Functions

Risk Assessment

Table 12: Configuration Parameter for Risk Assessment

Configuration parameter	Active Meaning
QER\CalculateRiskIndex	Preprocessor relevant configuration parameter controlling system components for calculating an employee's risk index. Changes to the parameter require recompiling the database. If the parameter is set, a value for the risk index can be entered and calculated.

You can use One Identity Manager to evaluate the risk of policy violations. To do this, enter a risk index for the company policy. The risk index specifies the risk involved for the company if the company policy is violated. The risk index is given as a number in the range 0-1. By doing this you specify whether a policy violation is not considered a risk for the

company (risk index = 0) or whether every policy violation poses a problem (risk index = 1).

You can use the Report Editor to assess policy violations depending on the risk index by creating various reports.

To assess the risk of a policy violation enter values for grading company policies on the **Assessment criteria** tab.

Table 13: Assessment Criteria for a Rule

Property	Description
Severity level	<p>Specifies the impact on the company of violations to this company policy. Use the slider to enter a value between 0 and 1.</p> <p>0 ... no impact</p> <p>1 ... every policy violation is a problem.</p>
Significance	<p>Provides a verbal description of the impact on the company of violations to this company policy. In the default installation value list is displayed with the entries {NONE, 'low', 'average', 'high', 'critical'}.</p>
Risk index	<p>Specifies the risk for the company of violations to this company policy. Use the slider to enter a value between 0 and 1.</p> <p>0 ... no risk</p> <p>1 ... every rule violation is a problem.</p> <p>This property is only visible if the configuration parameter "QER\CalculateRiskIndex" is set.</p>
Risk index (reduced)	<p>Show the risk index taking mitigating controls into account. The risk index for a company policy is reduced by the significance reduction value for all assigned mitigating controls. The risk index (reduced) is calculated for the original company policy. To copy the value to a working copy, run the task Create working copy.</p> <p>This property is only visible when the configuration parameter QER\CalculateRiskIndex is set. The value is calculated by One Identity Manager and cannot be edited.</p>
transparency index	<p>Specifies how traceable assignments are that are checked by this company policy. Use the slider to enter a value between 0 and 1.</p> <p>0 ... no transparency</p> <p>1 ... full transparency</p>
Max. number of rule violations	<p>Number of policy violations allowed for this company policy.</p>

Detailed information about this topic

- [Mitigating Controls](#) on page 46
- One Identity Manager Risk Assessment Administration Guide
- Report Editor in the One Identity Manager Configuration Guide

Related Topics

- [Creating a Working Copy](#) on page 31

Extended Company Policy Data

You can enter additional comments about the company policy and revision data on the **Extended** tab.

Table 14: General Master Data for Company Policies

Property	Description
Policy number	Additional identifier for the company policy.
Implementation notes	Spare text box for additional explanation. You can use implementation notes to enter explanations about the content of the policy condition, for example.
Status	Status of the company policy with respect to its audit status.
Calculation schedule	Schedule for starting policy checks on a regular basis. The schedule "default schedule policies" is assigned by default. You can assign your own schedule.

Related Topics

- [Calculating Policy Violations](#) on page 35

Policy Comparison

You can compare the results of a working copy with the original policy. The comparison values are then displayed on the **Policy comparison** tab on the master data form.

Table 15: Results of a Policy Comparison

Policy violations	Lists all employees for whom the company policy, due to the change is
Newly added	violated for the first time.
Identical	still being violated.
No longer included	no longer violated.

TIP: All working copies with a different condition to that of the original company policy are displayed in **Company policies | Policies | Working copies of policies | Modified working copies**.

Detailed information about this topic

- [Comparing a Company Policy Working Copy with the Original](#) on page 29

Default Company Policies

One Identity Manager provides various default company policies as working copies. In order to include these company policies in the policy check, enable the working copies.

To use a default company policy

1. Select the category **Company policies | Policies | Working copies of policies | Predefined**.
2. Select the company policy in the result list.
3. Select **Enable working copy** in the task view.
4. Confirm the security prompt with **OK**.

You can customize the following default company policy properties:

- Manager/supervisor
- Exception approval allowed
- Exception approver
- Exception approvers info
- Attestors

TIP: If you want to edit more properties, create a copy of a default company policy. You can change more properties in the working copy.

Additional Tasks for Working Copies

After you have entered the master data, you can apply different tasks to it. The task view contains different forms with which you can run the following tasks.

Overview of Working Copies

You can see the most important information about a working copy on the overview form.

To obtain an overview of a working copy

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the company policy in the result list.
3. Select **Company policy overview** in the task view.

Assigning Compliance Frameworks

Use this task to specify which compliance frameworks are relevant for the selected company policy. Compliance frameworks are used to classify company policies according to regulatory requirements.

To assign compliance frameworks to a company policy

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Assign compliance frameworks** from the task list.
4. Double-click on a compliance framework in **Add assignments** to assign it.
– OR –
Double-click on a compliance framework in **Remove assignments** to remove the approver.
5. Save the changes.

Assigning Mitigating Controls

Mitigating controls describe controls that are implemented if a company policy was violated. The next policy check should not find any rule violations once the controls have been applied. Specify which mitigating controls apply to the selected company policy.

To assign mitigating controls to a company policy

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Assign mitigating controls** from the task list.

4. Double-click on a mitigating control in **Add assignments** to assign it.
 - OR –Double-click on a mitigating control in **Remove assignments** to remove the assignment.
5. Save the changes.

Detailed information about this topic

- [Mitigating Controls](#) on page 46

Maintain Exception Approver

Use this task to maintain exception approvers for the selected company policy. You can assign employees to the application role for exception approvers on the master data form and remove them from it.

NOTE: Changes apply to all the company policies assigned to this application role.

To authorize employees as exception approvers

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Maintain exception approvers** in the task view.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.
 - OR –Double-click on the employees you want to remove in **Remove Assignments**.
5. Save the changes.

Related Topics

- [General Master Data for Company Policies](#) on page 20
- [Exception approver](#) on page 17

Maintaining Policy Supervisors

Use this task to maintain policy supervisors for the selected company policy. You can assign employees to the application role for policy supervisors on the master data form and remove them from it.

NOTE: Changes apply to all the company policies assigned to this application role.

To authorize employees as policy supervisors

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Maintain supervisors** in the task view.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.
– OR –
Double-click on the employees you want to remove in **Remove Assignments**.
5. Save the changes.

Related Topics

- [General Master Data for Company Policies](#) on page 20
- [Policy Supervisors](#) on page 16

Enabling Working Copies

When you enable the working copy, the changes are transferred to the original company policy. A company policy is added to a new working copy. Only original company policies are included in policy checking.

To enable a working copy

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Enable working copy** in the task view.
4. Confirm the security prompt with **OK**.

TIP: All working copies with a different condition to that of the original company policy are displayed in **Company policies | Policies | Working copies of policies | Modified working copies**.

Show Condition

The database query for finding objects which violate company policies, is not displayed on the master data form by default.

To show the database query on the master data form

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Change master data** in the task view.
4. Select the task **Show condition** in the task view.

To hide the database query on the master data form

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Change master data** in the task view.
4. Select **Hide condition** in the task view.

Copying Policies

Company policies can be copied, for example, to reuse complex policy conditions. Working copies as well as active company policies can be used as copy templates.

To copy a working copy

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Change master data** in the task view.
4. Select **Copy policy...** in the task view.
5. Enter a name for the copy and click **OK**.
This creates a working copy with the given name.
6. To edit the copy's master data immediately, click **Yes**.

-OR -

To edit the copy's master data later, click **No**.

Comparing a Company Policy Working Copy with the Original

You can compare the results of a working copy with the original company policy. Company policies can only be compared when an original of the working copy exists.

To compare a company policy with the working copy

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Change master data** in the task view.
4. Select **Compare policy** in the task view.

Table 16: Results of a Policy Comparison

Policy violations	Lists all employees for whom the company policy, due to the change is
Newly added	violated for the first time.
Identical	still being violated.
No longer included	no longer violated.

To display the policy comparison as report

- Select the report **Show rule comparison**.

Related Topics

- [Policy Comparison](#) on page 24

Showing Selected Objects

Use this task to show the list of objects found using the condition on the master data form.

To show a list of the objects found

1. Select the category **Company policies | Policies | Working copies of policies**.
2. Select the company policy in the result list.
3. Select **Change master data** in the task view.
4. Select **Show selected objects** in the task view.

An additional tab **Result**, is show on the master data form. This displays a list of objects found through the database query.

Additional Tasks for Company Policies

After you have entered the master data, you can apply different tasks to it. The task view contains different forms with which you can run the following tasks.

Overview of Company Policies

You can see the most important information about a company policy on the overview form.

To obtain an overview of a company policy

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.

3. Select **Company policy overview** in the task view.

Creating a Working Copy

To modify an existing company policy, you need to make a working copy of it. The working copy can be created from the enabled company policy. The data from the existing working copy are overwritten by the data from the enabled company policy after a security prompt.

To create a working copy

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Create working copy** in the task view.
4. Confirm the security prompt with **Yes**.

i **TIP:** All working copies with a different condition to that of the original company policy are displayed in **Company policies | Policies | Working copies of policies | Modified working copies**.

Enabling and Disabling Policies

Enable the company policy so that policy violation can be found. To exclude company policies from policy testing, you can disable them. The DBQueue Processor then removes all information about policy violation for this company policy from the database. The working copy company policy is always disabled.

To enable company policies

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Enable policy** in the task view.

To disable company policies

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Disable policy** in the task view.

Show Condition

The database query for finding objects which violate company policies, is not displayed on the master data form by default.

To show the database query on the master data form

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Change master data** in the task view.
4. Select the task **Show condition** in the task view.

To hide the database query on the master data form

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Change master data** in the task view.
4. Select **Hide condition** in the task view.

Copying Policies

Company policies can be copied, for example, to reuse complex policy conditions. Working copies as well as active company policies can be used as copy templates.

To copy company policies

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Change master data** in the task view.
4. Select **Copy policy...** in the task view.
5. Enter a name for the copy and click **OK**.
This creates a working copy with the given name.
6. To edit the copy's master data immediately, click **Yes**.
-OR -
To edit the copy's master data later, click **No**.

Showing Selected Objects

Use this task to show the list of objects found using the condition on the master data form.

To show a list of the objects found

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Change master data** in the task view.

4. Select **Show selected objects** in the task view.

An additional tab **Result**, is show on the master data form. This displays a list of objects found through the database query.

Recalculate

There are several tasks available for immediately checking a company policy. For more information, see [Checking Company Policies](#) on page 34.

Maintain Exception Approver

Use this task to maintain exception approvers for the selected company policy. You can assign employees to the application role for exception approvers on the master data form and remove them from it.

NOTE: Changes apply to all the company policies assigned to this application role.

To authorize employees as exception approvers

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Maintain exception approvers** in the task view.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.
– OR –
Double-click on the employees you want to remove in **Remove Assignments**.
5. Save the changes.

Related Topics

- [General Master Data for Company Policies](#) on page 20
- [Exception approver](#) on page 17

Maintaining Policy Supervisors

Use this task to maintain policy supervisors for the selected company policy. You can assign employees to the application role for policy supervisors on the master data form and remove them from it.

NOTE: Changes apply to all the company policies assigned to this application role.

To authorize employees as policy supervisors

1. Select the category **Company Policies | Policies**.
2. Select the company policy in the result list.
3. Select **Maintain supervisors** in the task view.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.
– OR –
Double-click on the employees you want to remove in **Remove Assignments**.
5. Save the changes.

Related Topics

- [General Master Data for Company Policies](#) on page 20
- [Policy Supervisors](#) on page 16


Deleting Company Policies

! **IMPORTANT:** All information about a company policy and policy violations is irrevocably deleted when the company policy is deleted! The data cannot be retrieved at a later date.

Write a report about the company policy and its current violations before you delete it, if you want to retain the information (e.g. audit security).

You can delete a company policy, if no policy violations exist for it.

To delete a company policy

1. Select the category **Company Policies | Policies**.
2. Select the company policy to delete in the result list.
3. Select **Disable policy** in the task view.
Existing policy violations are removed by the DBQueue Processor.
4. After the DBQueue Processor has recalculated policy violations for the company policy, click  in the toolbar to delete the company policy.
The company policy and the working copy are deleted.

Checking Company Policies

Processing tasks are created for the DBQueue Processor to check the validity of a company policy. The DBQueue Processor determines, which employees satisfy the company policy

and which employees violate the policy in the case of each company policy. The specified company policy approvers can check policy violations and if necessary grant exception approval.

Calculating Policy Violations

You can start policy checking in different ways to determine current policy violations in the One Identity Manager database.

- Scheduled policy checking
- Ad hoc policy checking

Furthermore, checking a company policy is triggered by different events.

- Enabling a company.
- Enabling a working copy.
- Enabling a company policy.

During policy checking, all objects are found that fulfill the condition defined in the company policy. Only enabled company policies are taken into account.

Scheduled Policy Checking

You can use the schedule "default schedule policies" supplied in the One Identity Manager default installation to test all company policies in full. This schedule generates processing tasks at regular intervals for the DBQueue Processor.

Prerequisites

- The company policy is enabled.
- The schedule stored with the company policies is enabled.

Detailed information about this topic

- [Schedules for Policy Checking](#) on page 11
- [Enabling and Disabling Policies](#) on page 31

Ad hoc Policy Checking

Various tasks for immediate policy checking are available for an enabled company policy.

Table 17: Additional Tasks for Company Policies

Task	Description
Recalculate policy	This immediately checks the company policy.
Recalculate all	All company policies are immediately checked.

Reports about Policy Violations

One Identity Manager makes various reports available containing information about the selected base object and its relations to other One Identity Manager database objects. You can generate the following reports for all enabled company policies and compliance frameworks.

Table 18: Reports about Policy Violations

Report	Description
Policy violation overview (of a company policy)	This report groups together all policy violations for the selected policy. All the objects that violate the company policy are listed. The result list is grouped by: <ul style="list-style-type: none">• Policy violations that still need to be decided• Policy violations without exception approval• Policy violation with exception approval
Policy violation overview (of a policy group)	This report groups together all policy violations for the selected policy group. All the objects that violate the company policy are listed. The number of granted, denied and not yet processed policy violations are given in addition.
Policy violation overview (for a compliance framework)	This report groups together all policy violations for the selected compliance framework. All the objects that violate the company policy are listed. The number of granted, denied and not yet processed policy violations are given in addition.

Granting Exception Approval

There can be individual cases where it is not possible to adhere to company policy. Policy violations can only be accepted occasionally but only if you take the required measures to ensure that these violations are regularly checked. For this purpose, you may grant exception approval for certain policy violations.

You store exception approvals with policy violations. You can see an overview of all unprocessed (new) company policies and policies that have been granted or denied on the overview form for a company policy.

Prerequisites

- The option **Exception approval allowed** is set for the company policy.
- The company policy is assigned an application role for exception approvers.
- Employees are assigned to this application role.

Use the Web Portal to grant exception approvals.

NOTE: If the option **Exception approval allowed** is not set, unedited policy violations for this company policy are automatically denied. Existing exception approvals are withdrawn.

Detailed information about this topic

- [General Master Data for Company Policies](#) on page 20
- One Identity Manager Web Portal User Guide

Notifications about Policy Violations

Table 19: Configuration Parameters for Notifications about Policy Violations

Configuration parameter	Meaning if Set
QER\Policy\EmailNotification	This parameter is used for mail notifications. Information about notifications during company policy checks is stored under the parameter.
QER\Policy\EmailNotification\DefaultSenderAddress	This configuration parameter contains the sender email address for automatically generated messages within company policy checking.

After policy checking, email notifications can be sent through new policy violations to exception approvers and policy supervisors. The notification procedure uses mail templates to create notifications. The mail text in a mail template is defined in several languages. This ensures that the language of the recipient is taken into account when the email is generated. Mail templates are supplied in the default installation with which you can configure the notification procedure.

Messages are not sent to the chief approval team by default. Fallback approvers are only notified if not enough approvers could be found for an approval step.

To use notification in the request process

1. Ensure that the email notification system is configured in One Identity Manager. For more detailed information, see the One Identity Manager Configuration Guide.
2. Set the configuration parameter "QER\Policy\EmailNotification" in the Designer.
3. Set the configuration parameter "QER\Policy\EmailNotification\DefaultSenderAddress" in the Designer and enter the sender address with which the email notifications are sent.
4. Ensure that all employees have a default email address. Notifications are sent to this address. For more detailed information, see the One Identity Manager Identity Management Base Module Administration Guide.
5. Ensure that a language culture can be determined for all employees. Only then can they receive email notifications in their own language. For more detailed information, see the One Identity Manager Identity Management Base Module Administration Guide.
6. Configure the notification procedure.

Related Topics

- [Creating Custom Mail Templates for Notifications](#) on page 40

Demands for Exception Approval

Table 20: Configuration Parameters for Notifications about Policy Violations

Configuration parameter	Meaning if Set
QER\Policy\EmailNotification\NewExceptionApproval	This configuration parameter contains the name of the mail template, which is sent if an approval exception for a new policy violation is required.

If new policy violations are discovered during a policy check, exception approvers are notified and prompted to make an approval decision.

Prerequisites

- The option **Exception approval allowed** is set for the company policy.
- The company policy is assigned to an **Exception approvers** application role.
- Employees are assigned to this application role.

To send demands for exception approval

- Set the configuration parameter "QER\Policy\EmailNotification\NewExceptionApproval" in the Designer.

Notification with the mail template "Policies - new exception approval required" is sent to all exception approvers, by default.

TIP: To use something other than the default mail template for these notifications, change the value of the configuration parameter.

Notifications about Policy Violations without Exception Approval

Table 21: Configuration Parameters for Notifications about Policy Violations

Configuration parameter	Meaning if Set
QER\Policy\EmailNotification\NotPermittedViolation	This configuration parameter contains the name of the mail template which is sent if a new rogue policy violation occurs.

Policy supervisors are notified if new policy violations are discovered during a policy check and these cannot be granted exception approval.

Prerequisites

- The option **Exception approval allowed** is not set for the company policy.
- The company policy is assigned to an **Policy supervisors** application role.
- Employees are assigned to this application role.

To inform a policy supervisor about policy violations

- Set the configuration parameter "QER\Policy\EmailNotification\NotPermittedViolation" in the Designer.
Notification with the mail template "Policy - prohibited violation occurred" is sent by default.

TIP: To use something other than the default mail template for these notifications, change the value of the configuration parameter.

Policy Violation Approval Status

Edit policy violations in the Web Portal. You can also get an overview of the approval status of each policy violation in the Manager. To do this, open the overview form of the enabled company policy whose policy violations you want to look at. You will see new, granted and denied policy violations here.

To display details of a policy violation

1. Select the form element for the policy violation and make the list entries visible.
2. Click the policy violation you want to view.

This opens the policy violation master data form, which shows you an overview of the object that caused the violation, the approval status and the exception approver responsible.

Related Topics


- [Overview of Company Policies](#) on page 30

Creating Custom Mail Templates for Notifications

A mail template consists of general master data such as target format, important or mail notification confidentiality and one or more mail definitions. Mail text is defined in several languages in the mail template. This ensures that the language of the recipient is taken into account when the email is generated.

There is a One Identity Manager in the Mail Template Editor to simplify writing notifications. You can use the Mail Template Editor to create and edit mail text in WYSIWYG mode.

To edit mail templates

1. Select the category **Company Policies | Basic configuration data | Mail templates**.
This shows all the mail templates that can be used for policy checks in the result list.
2. Select the mail template in the result list. Select **Change master data** in the task view.
– OR –
Click  in the result list toolbar.
This opens the mail template editor.
3. Edit the mail template.
4. Save the changes.

To copy a mail template


1. Select the category **Company Policies | Basic configuration data | Mail templates**.
2. Select the mail template you want to copy from the result list. Select **Change master data** in the task view.

3. Select **Copy mail template...** in the task view.
4. Enter the name of the new mail template in **Name of copy**.
5. Click **OK**.

To display a mail template preview

1. Select the category **Company Policies | Basic configuration data | Mail templates**.
2. Select the template in the result list. Select **Change master data** in the task view.
3. Select **Preview...** in the task view.
4. Select the base object.
5. Click **OK**.



To delete a mail template

1. Select the category **Company Policies | Basic configuration data | Mail templates**.
2. Select the template in the result list.
3. Click  in the result list toolbar.
4. Confirm the security prompt with **Yes**.

General Properties of a Mail Template

The following general properties are displayed for a mail template:

Table 22: Mail Template Properties


Property	Meaning
Mail template	Name of the mail template. This name will be used to display the mail templates in the administration tools and in the Web Portal. Translate the given text using the  button.
Base object	Mail template base object. A base object only needs to be entered if the mail definition properties of the base object are referenced. Use the base object QERPolicy or QERPolicyHasObject for notifications about policy violations.
Report (parameter set)	Report, made available through the mail template.
Description	Mail template description. Translate the given text using the  button.

Property	Meaning								
Target format	Format in which to generate email notification. Permitted values are: <table border="1"> <thead> <tr> <th>Value</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>HTML</td> <td>The email notification is formatted in HTML format. HTML format can contain formatting.</td> </tr> <tr> <td>TXT</td> <td>The email notification is formatted in text format. Text format cannot contain any formatting.</td> </tr> </tbody> </table>	Value	Description	HTML	The email notification is formatted in HTML format. HTML format can contain formatting.	TXT	The email notification is formatted in text format. Text format cannot contain any formatting.		
Value	Description								
HTML	The email notification is formatted in HTML format. HTML format can contain formatting.								
TXT	The email notification is formatted in text format. Text format cannot contain any formatting.								
Design type	Design in which to generate the email notification. Permitted values are: <table border="1"> <thead> <tr> <th>Value</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Mail template</td> <td>The generated email notification contains mail text corresponding to the mail definition.</td> </tr> <tr> <td>Report</td> <td>The email notification is generated with the report contained under Report (parameter set) as mail body.</td> </tr> <tr> <td>Mail template, report as attachment</td> <td>The generated email notification contains mail text corresponding to the mail definition. The report entered in the Report (parameter set) field is attached to the mail as PDF file.</td> </tr> </tbody> </table>	Value	Description	Mail template	The generated email notification contains mail text corresponding to the mail definition.	Report	The email notification is generated with the report contained under Report (parameter set) as mail body.	Mail template, report as attachment	The generated email notification contains mail text corresponding to the mail definition. The report entered in the Report (parameter set) field is attached to the mail as PDF file.
Value	Description								
Mail template	The generated email notification contains mail text corresponding to the mail definition.								
Report	The email notification is generated with the report contained under Report (parameter set) as mail body.								
Mail template, report as attachment	The generated email notification contains mail text corresponding to the mail definition. The report entered in the Report (parameter set) field is attached to the mail as PDF file.								
Importance	Importance for the email notification. Permitted values are "low", "normal" and "high".								
Confidentiality	Confidentiality for the email notification. Permitted values are "normal", "personal", "private" and "confidential".								
Can unsubscribe	Specifies whether the recipient can unsubscribe email notification. If this option is set, the emails can be unsubscribed through the Web Portal.								
Disabled	Specifies whether this mail template is disabled.								
Mail definitions	Unique name for the mail definition.								
Language culture	Language which applies to the mail template.								
Subject	Subject of the email message								
Mail body	Content of the email message.								

Creating and Editing an Email Definition

Mail texts can be defined in these different languages in a mail template. This ensures that the language of the recipient is taken into account when the email is generated.

To create a new mail definition

1. Open the mail template in Mail Template Editor.
2. Click the  button next to the **Mail definition** list.
3. Select the language culture you want the mail definition to apply to from the **Language culture** menu.

All active language cultures are shown in the list. To use other languages, enable the corresponding countries in the Designer. For more information, see the One Identity Manager Configuration Guide.

4. Enter the subject in the **Subject** field.
5. Edit the mail text in the **Mail definition** view with the help of the Mail Text Editor.
6. Save the changes.

To edit an existing mail definition

1. Open the mail template in Mail Template Editor.
2. Select the language in the **Mail definition** list.
3. Edit the mail subject line and the body text.
4. Save the changes.

Using Base Object Properties

You can use all the properties of the object entered under **Base object** in the subject line and in the mail body. You can also use the object properties that are referenced by foreign key relation.

To access properties use dollar notation. For more information, see the One Identity Manager Configuration Guide.

Use of Hyperlinks in the Web Portal

Table 23: Configuration Parameters for the Web Portal URL

Configuration parameter	Active Meaning
QER\WebPortal\BaseURL	Web Portal URL This address is used in mail templates to add hyperlinks to the Web Portal.

You can insert hyperlinks to the Web Portal in the mail body. If the recipient clicks on the hyperlink in the email, the Web Portal is opened on that web page and further actions can be carried out. In the default version, this method is implemented for policy checking.

Prerequisites for using this method

- The configuration parameter "QER\WebPortal\BaseURL" is set and contains the Web Portal URL.

http://<Server>/<App>

with:

<Server> = Server name

<App> = Web Portal installation directory path

To add a hyperlink to the Web Portal into the mail text

1. Click in the mail body at the point where you want to add the hyperlink.
2. Open the context menu and select **Hyper Link....**
3. Enter the hyperlink in **Display text**.
4. Set the option **File or website**.
5. Enter the address of the page to be opened in the Web Portal in **Address**.
Use the default functions.
6. To accept the input, click **OK**.

Default Functions for Creating Hyperlinks

Several default functions are available to help you create hyperlinks. You can use these functions to directly insert a hyperlink in a mail body or into processes.

Direct Function Input

A function is referenced in the **Address** field when a hyperlink is inserted:

```
$Script(<Function>)$
```

Example:

```
$Script(VI_BuildQERPolicyLink_Show)$
```

Default function for policy checking

The script VI_BuildComplianceLinks contains a collection of default functions for composing hyperlinks for exception approval of policy violations.

Table 24: Functions of the Script, "VI_BuildComplianceLinks"

Function	Usage
VI_BuildQERPolicyLink_Show	Opens the exception approval page in the Web Portal.

Customizing Email Signatures

Configure the email signature for mail templates using the following configuration parameter.

Table 25: Configuration Parameters for Email Signatures

Configuration Parameter	Description
Common\MailNotification\Signature	Data for the signature in email automatically generated from mail templates.
Common\MailNotification\Signature\Caption	Signature under the salutation.
Common\MailNotification\Signature\Company	Company name.
Common\MailNotification\Signature\Link	Link to company website.

The script `VI_GetRichMailSignature` combines the components of an email signature according to the configuration parameters for use in mail templates.

Mitigating Controls

Table 26: Configuration Parameter for Risk Assessment

Configuration parameter	Active Meaning
QER\CalculateRiskIndex	Preprocessor relevant configuration parameter controlling system components for calculating an employee's risk index. Changes to the parameter require recompiling the database. If the parameter is set, a value for the risk index can be entered and calculated.

Violation of regulatory requirements can harbor different risks for companies. To evaluate these risks, you can apply risk indexes to compliance rules and company policies. These risk indexes provide information about the risk involved for the company in violating the respective rule functionpolicy. Once the risks have been identified and evaluated, mitigating controls can be implemented.

Mitigating controls are independent on One Identity Manager's functionality. They are not monitored through One Identity Manager.

Mitigating controls describe controls that are implemented if a company policy was violated. The next policy check should not find any rule violations once the controls have been applied.


To edit mitigating controls

- Set the configuration parameter "QER\CalculateRiskIndex" in the Designer and compile the database.

For more detailed information about risk assessment, see the One Identity Manager Risk Assessment Administration Guide.

General Master Data for a Mitigating Control

To edit mitigating controls

1. Select the category **Risk index functions | Mitigating controls**.
2. Select a mitigating control in the result list. Select **Change master data** in the task view.
- OR -
Click  in the result list toolbar.
3. Edit the mitigating control master data.
4. Save the changes.

Enter the following master data for mitigating controls.

Table 27: General Master Data for a Mitigating Control

Property	Description
Measure	Unique identifier for the mitigating control.
Significance reduction	When the mitigating control is implemented, this value is used to reduce the risk of denied attestation cases. Enter a number between 0 and 1.
Description	Detailed description of the mitigating control.
Functional area	Functional area in which the mitigating control may be applied.
Department	Department in which the mitigating control may be applied.

Additional Tasks for Mitigating Controls

After you have entered the master data, you can apply different tasks to it. The task view contains different forms with which you can run the following tasks.

The Mitigating Controls Overview

You can see the most important information about a mitigating control on the overview form.

To obtain an overview of a mitigating control

1. Select the category **Risk index functions | Mitigating controls**.
2. Select the mitigating control in the result list.
3. Select the task **Mitigating control overview**.

Assigning Company Policies

Use this task to specify for which company policies the mitigating control is valid. You can only assign company policy working copies on the assignment form.

To assign company policies to mitigating controls

1. Select the category **Risk index functions | Mitigating controls**.
2. Select the mitigating control in the result list.
3. Select the task **Assign company policies**.
4. Double-click on the company policies you want to assign in **Add Assignments**
- OR -
Double-click on the company policies you want to remove in **Remove Assignment**.
5. Save the changes.

Calculating Mitigation

The significance reduction of a mitigating control supplies the value by which to reduce a company policy's risk index if the control is implemented. One Identity Manager calculates a reduced risk index based on the risk index and the significance reduction. One Identity Manager supplies default functions for calculating reduced risk indexes. These functions cannot be edited with One Identity Manager tools.

The reduced risk index is calculated from the company policy and the significance reduced sum of all assigned mitigating controls.

$\text{Risk index (reduced)} = \text{Risk index} - \text{sum significance reductions}$

If the significance reduction sum is greater than the risk index, the reduced risk index is set to 0.

General Configuration Parameter for Company Policies

The following configuration parameters are additionally available in One Identity Manager after the module has been installed. Some general configuration parameters are relevant for company policies. The following table contains a summary of all applicable configuration parameters for company policies.

Table 28: Overview of Configuration Parameters

Configuration parameter	Meaning
QER\Policy	Preprocessor relevant configuration parameter for controlling company policy validation. Changes to the parameter require recompiling the database. If the parameter is enabled the target system modules are available.
QER\Policy\EmailNotification	This parameter is used for mail notifications. Information about notifications during company policy checks is stored under the parameter.
QER\Policy\EmailNotification\DefaultSenderAddress	This configuration parameter contains the sender email address for automatically generated messages within company policy checking.
QER\Policy\EmailNotification\NewExceptionApproval	This configuration parameter contains the name of the mail template, which is sent if an approval exception for a new

Configuration parameter	Meaning
QER\Policy\EmailNotification\NotPermittedViolation	<p data-bbox="927 264 1289 293">policy violation is required.</p> <p data-bbox="927 320 1342 450">This configuration parameter contains the name of the mail template which is sent if a new rogue policy violation occurs.</p>
QER\CalculateRiskIndex	<p data-bbox="927 477 1394 674">Preprocessor relevant configuration parameter controlling system components for calculating an employee's risk index. Changes to the parameter require recompiling the database.</p> <p data-bbox="927 696 1394 786">If the parameter is set, a value for the risk index can be entered and calculated.</p>

One Identity solutions eliminate the complexities and time-consuming processes often required to govern identities, manage privileged accounts and control access. Our solutions enhance business agility while addressing your IAM challenges with on-premises, cloud and hybrid environments.

Contacting us

For sales or other inquiries, visit <https://www.oneidentity.com/company/contact-us.aspx> or call +1-800-306-9329.

Technical support resources

Technical support is available to One Identity customers with a valid maintenance contract and customers who have trial versions. You can access the Support Portal at <https://support.oneidentity.com/>.

The Support Portal provides self-help tools you can use to solve problems quickly and independently, 24 hours a day, 365 days a year. The Support Portal enables you to:

- Submit and manage a Service Request
- View Knowledge Base articles
- Sign up for product notifications
- Download software and technical documentation
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- Engage in community discussions
- Chat with support engineers online
- View services to assist you with your product

A

- administrator 6
- application role 6
 - attestors 15
 - policy supervisor 16
- attestors 6, 15, 20

B

- base object
 - mail template 41
- base table 20

C

- calculation schedule 11, 35
 - assign 24
 - assign company policy 13
 - default schedule 13
 - default schedule policies 11
 - overview form 13
 - start immediately 14
- check company policy 35
- compliance framework 9
 - assign 26
 - assign company policy 11
 - overview form 10
- condition 20
 - display 28, 31
 - hide 28, 31
- create working copy 20

D

- default approval policy 25
- disable 20
 - company policy 31

E

- enable
 - company policy 31
- enable working copy 20
- exception approval reason 18
- exception approver 6, 20
 - assign employees 27, 33
 - notification 38

M

- mail definition 42
- mail template
 - base object 41, 43
 - hyperlink 43
- manager 20
 - notification 39
- mitigating control 46
 - assign 26
 - assign company policy 48
 - log 47
 - overview 47
 - significance reduction 47

N

notification
 mail template 40

O

object with policy violation 30, 32
overview form 26, 30

P

policy
 copy 32
 delete 34
 disable 31
 enable 31
 test 33
policy check
 scheduled 35
 start 35
policy group 9
 assign 20
policy supervisors 6, 16
 assign employees 27, 33
policy violation
 approval status 39
 calculate 33, 35
 determine 35
 email address 37
 exception approver 36
 notification 37
 notify exception approver 38
 notify policy supervisors 39
 object found 30, 32

R

reason 18
risk assessment
 company policy 22
risk index 22
 calculate 48
 reduced
 calculate 48

S

severity 22
significance reduction 47
standard reason 18
status 24

T

transparency index 22

V

version 20

W

working copy 19
 assign mitigating control 26
 compare 24
 compare to policy 29
 copy 29
 create 31
 enable 28
 overview form 26