



One Identity Manager 8.1.2

# Company Policies Administration Guide

## Copyright 2020 One Identity LLC.

### ALL RIGHTS RESERVED.

This guide contains proprietary information protected by copyright. The software described in this guide is furnished under a software license or nondisclosure agreement. This software may be used or copied only in accordance with the terms of the applicable agreement. No part of this guide may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopying and recording for any purpose other than the purchaser's personal use without the written permission of One Identity LLC .

The information in this document is provided in connection with One Identity products. No license, express or implied, by estoppel or otherwise, to any intellectual property right is granted by this document or in connection with the sale of One Identity LLC products. EXCEPT AS SET FORTH IN THE TERMS AND CONDITIONS AS SPECIFIED IN THE LICENSE AGREEMENT FOR THIS PRODUCT, ONE IDENTITY ASSUMES NO LIABILITY WHATSOEVER AND DISCLAIMS ANY EXPRESS, IMPLIED OR STATUTORY WARRANTY RELATING TO ITS PRODUCTS INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTY OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE, OR NON-INFRINGEMENT. IN NO EVENT SHALL ONE IDENTITY BE LIABLE FOR ANY DIRECT, INDIRECT, CONSEQUENTIAL, PUNITIVE, SPECIAL OR INCIDENTAL DAMAGES (INCLUDING, WITHOUT LIMITATION, DAMAGES FOR LOSS OF PROFITS, BUSINESS INTERRUPTION OR LOSS OF INFORMATION) ARISING OUT OF THE USE OR INABILITY TO USE THIS DOCUMENT, EVEN IF ONE IDENTITY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES. One Identity makes no representations or warranties with respect to the accuracy or completeness of the contents of this document and reserves the right to make changes to specifications and product descriptions at any time without notice. One Identity does not make any commitment to update the information contained in this document.

If you have any questions regarding your potential use of this material, contact:

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

Refer to our Web site (<http://www.OneIdentity.com>) for regional and international office information.

### Patents

One Identity is proud of our advanced technology. Patents and pending patents may apply to this product. For the most current information about applicable patents for this product, please visit our website at <http://www.OneIdentity.com/legal/patents.aspx>.

### Trademarks

One Identity and the One Identity logo are trademarks and registered trademarks of One Identity LLC. in the U.S.A. and other countries. For a complete list of One Identity trademarks, please visit our website at [www.OneIdentity.com/legal](http://www.OneIdentity.com/legal). All other trademarks are the property of their respective owners.

### Legend

 **WARNING:** A WARNING icon highlights a potential risk of bodily injury or property damage, for which industry-standard safety precautions are advised. This icon is often associated with electrical hazards related to hardware.

 **CAUTION:** A CAUTION icon indicates potential damage to hardware or loss of data if instructions are not followed.

# Contents

<b>Company policies</b> .....	<b>5</b>
One Identity Manager users for company policies .....	6
Basic data for company policies .....	8
Policy groups .....	9
Compliance frameworks .....	9
Additional tasks for compliance frameworks .....	10
Schedules for checking policies .....	11
Default schedules .....	13
Additional tasks for schedules .....	13
Attestors .....	15
Policy supervisors .....	16
Exception approvers .....	17
Standard reasons .....	18
Predefined standard reasons .....	19
Defining company policies .....	19
Creating and changing company policies .....	19
General master data for company policies .....	20
Risk assessment .....	22
Additional data on company policies .....	24
Policy comparison .....	24
Default company policies .....	25
Additional tasks for working copies .....	25
Additional tasks for company policies .....	30
Deleting company policies .....	34
Checking company policies .....	34
Calculating policy violations .....	34
Scheduled policy checking .....	35
Ad-hoc policy checking .....	35
Reports about policy violations .....	35
Granting exception approval .....	36
Notifications about policy violations .....	37

Request for exception approval .....	37
Notifications about policy violations without exception approval .....	38
Approval status of a policy violation .....	39
Creating custom mail templates for notifications .....	39
General properties of a mail template .....	39
Creating and editing an email definition .....	41
Using base object properties .....	41
Using hyperlinks in the Web Portal .....	42
Customizing email signatures .....	43
<b>Mitigating controls .....</b>	<b>44</b>
Entering master data .....	45
Additional tasks for mitigating controls .....	45
Mitigating controls overview .....	45
Assigning company policies .....	46
Calculating mitigation .....	46
<b>Appendix: Configuration parameters for company policies .....</b>	<b>47</b>
<b>About us .....</b>	<b>49</b>
Contacting us .....	49
Technical support resources .....	49
<b>Index .....</b>	<b>50</b>

# Company policies

**Table 1: General configuration parameters for company policies**

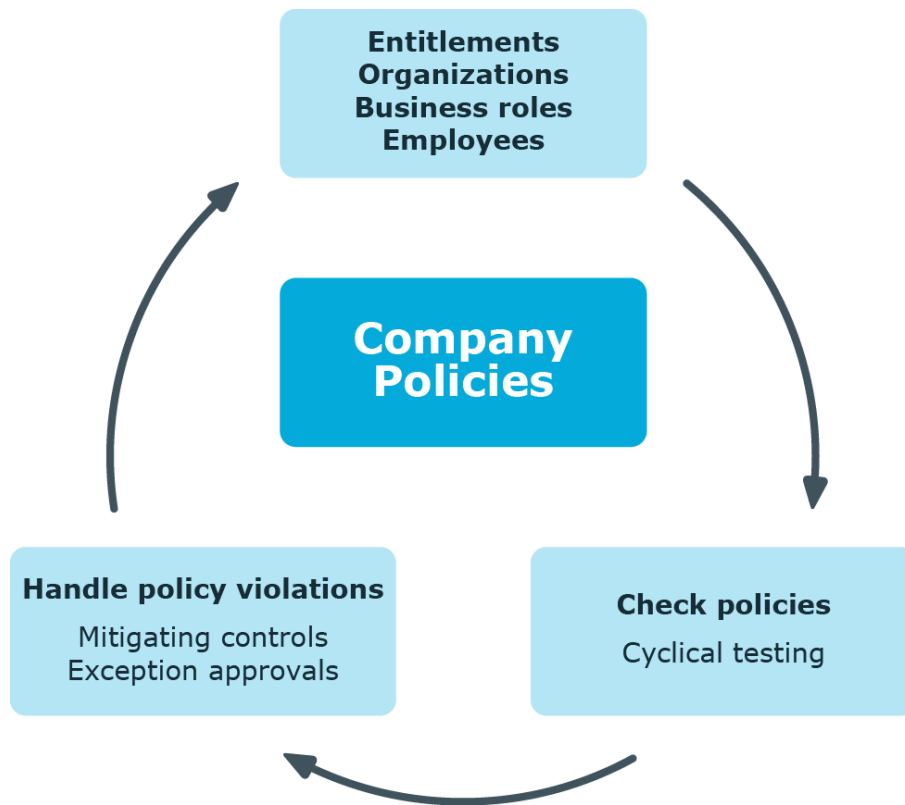
<b>Configuration parameter</b>	<b>Meaning</b>
QER\Policy	Preprocessor relevant configuration parameter for controlling company policy validation. Changes to the parameter require recompiling the database. If the parameter is enabled, you can use the model components.

Companies have varying requirements that 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 "QER\Policy" in the Designer.

## **One Identity Manager users for company policies**

The following users are used for managing company policies.

**Table 2: User**

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

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

## Basic data for company policies

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

Policy groups	<a href="#">Policy groups on page 9</a>
Compliance Frameworks	<a href="#">Compliance frameworks on page 9</a>
Schedules	<a href="#">Schedules for checking policies on page 11</a>




Attestors	<a href="#">Attestors</a> on page 15
Policy supervisors	<a href="#">Policy supervisors</a> on page 16
Exception approvers	<a href="#">Exception approvers</a> on page 17
Standard Reasons	<a href="#">Standard reasons</a> 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 **Company Policies | Basic configuration data | Policy groups**.
2. Select a policy group in the result list. Select the **Change master data** task.  
- OR -  
Click  in the result list.
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 **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 **Company Policies | Basic configuration data | Compliance frameworks**.
2. Select a Compliance Framework in the result list and run the **Change master data** task.  
- OR -  
Click **New** in the result list toolbar.
3. Edit the compliance framework master data.
4. Save the changes.

Enter the following properties for compliance frameworks.

**Table 4: Compliance framework properties**

<b>Property</b>	<b>Description</b>
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.
Manager/supervisor	Application role whose members are allowed to edit all company rules assigned to this compliance framework
Description	Spare field for additional explanation.

## **Additional tasks for compliance frameworks**

After you have entered the master data, you can run the following tasks.

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

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

## Assigning company policies

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


### *To assign company policies to compliance frameworks*

1. Select **Company Policies | Basic configuration data | Compliance frameworks**.
2. Select the compliance framework from the result list.
3. Select **Assign company policies**.
4. In **Add assignments**, double-click the company policies you want to assign.  
– OR –  
In **Remove assignments**, double-click the company policies whose assignment is to be deleted.
5. Save the changes.

## Schedules for checking policies



Regular testing of company policies is managed through schedules. In the default installation of One Identity Manager, "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 **Company Policies | Basic configuration data | Schedules**.  
The result list shows all schedules configured for the QERPolicy table.
2. Select a schedule in the result list and run the task **Change master data**.  
– OR –  
Click  in the result list.
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  .

Property	Meaning
	button.
Enabled	Specifies whether the schedule is enabled or not.    <b>NOTE:</b> Only active schedules are run.
Time zones	Unique identifier for the time zone that is used for running the schedule. Choose between <b>Universal Time Code</b> or one of the time zones in the menu.    <b>NOTE:</b> 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. If this day conflicts with the defined interval type, the first run is on the next available day based on the start date.
Validity period	Period within which the schedule is run. <ul style="list-style-type: none"> <li>• If the schedule will be run for an unlimited period, select the <b>Unlimited duration</b> option.</li> <li>• To set a validity period, select the <b>Limited duration</b> option and enter the day the schedule will be run for the last time in <b>End (date)</b>.</li> </ul>
Occurs	Interval in which the task is run. Permitted interval types are <b>Every minute, Hourly, Daily, Weekly, Monthly, and Yearly</b> .  For the <b>Weekly</b> interval type, specify the precise weekday. For the <b>Monthly</b> interval type, specify the day of the month (1st to 31st day of the month). For the <b>Yearly</b> interval type, specify the day of the year (1st to 366th day of the year).    <b>NOTE:</b> If the schedule is not going to be run until next month because the interval type is <b>Monthly</b> with sub-interval <b>29, 30, or 31</b> , the last day of the current month is used.  Example: A schedule that is run on the 31st day of each month is run on 30th April. In February, the schedule is run on the 28th (or 29th in leap year). Schedules with the interval type <b>Yearly</b> with sub interval <b>366</b> are only run in leap year.
Start time	Fixed start type for the <b>Daily, Weekly, Monthly, and Yearly</b> interval types. Enter the time in local format for the chosen time zone.  For the interval types <b>Every minute</b> and <b>Hourly</b> , the start time is calculated from the rate of occurrence and the interval type.
Repeat every	Rate of occurrence for running the schedule within the selected time interval. For the <b>Weekly</b> interval type, select at least one weekday.

Property	Meaning
Last planned run/Next planned run	<p>Execution time calculated by the DBQueue Processor. Execution times are recalculated whilst the schedule is running. The time of the next run is calculated from the interval type, rate of occurrence, and the start time.</p> <p><b>NOTE:</b> 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.</p>

## Default schedules

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

**Table 6: Default Schedules**

Schedule	Description
Default schedule policies	<p>Default schedule for checking policies.</p> <p>To check policies, this schedule generates a processing task for the DBQueue Processor at regular intervals for each company policy.</p>

### Related topics

- [Calculating policy violations](#) on page 34

## Additional tasks for schedules

After you have entered the master data, you can run the following tasks.

### 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 **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select **Schedule overview**.

## Assigning company policies

Use this task to assign company policies to the selected schedule that will run them. By default, a company policy is assigned to "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 **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select **Assign company policies**.
4. In **Add assignments**, double-click the company policies you want to assign.
5. Save the changes.

### ***To change an assignment***

1. Select **Company Policies | Basic configuration data | Schedules**.
2. Select the schedule in the result list.
3. Select **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.

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

### **Related topics**

- [Enabling a working copy](#) on page 28
- [Default schedules](#) on page 13
- [Additional data on company policies](#) on page 24

## **Starting schedules immediately**

### ***To start a schedule immediately***

1. Select **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 modules: 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 detailed information about application roles, see the *One Identity Manager Authorization and Authentication Guide*.

**Table 7: Default application roles for attestors**

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

## To edit attestors

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

Property	Value
Parent application role	Assign the application role <b>Identity &amp; Access Governance   Company policies   Attestors</b> 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 who 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 detailed information about application roles, see the *One Identity Manager Authorization and Authentication Guide*.

**Table 8: Default application role for rule supervisors**

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

### **To edit a policy supervisor**

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



3. Edit the application role's master data.

Property	Value
Parent application role	Assign the application role <b>Identity &amp; Access Governance   Company policies   Policy supervisors</b> 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 approvers

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 detailed information about application roles, see the *One Identity Manager Authorization and Authentication Guide*.

**Table 9: Default application role for exception approvers**

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

### **To edit exception approvers**

1. Select **Company Policies | Basic configuration data | Exception approvers**.
2. Select the **Change master data** task.  
- OR -  
Select an application role in the result list. Select the **Change master data** task.

- OR -

Click  in the result list.

3. Edit the application role's master data.

<b>Property</b>	<b>Value</b>
Parent application role	Assign the application role <b>Identity &amp; Access Governance   Company policies   Exception approvers</b> 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

For exception approvals, you can specify reasons in the Web Portal that explain the individual approval decisions. You can freely formulate this text. You also have the option to predefine reasons. The exception approvers can select a suitable text from these standard reasons in the Web Portal and store it with the policy violation.

### **To edit standard reasons**

1. Select the **Company policies | Basic configuration data | Standard reasons** category.
2. Select a standard reason in the result list and run the **Change master data** task.
  - OR -
  - Click  in the result list.
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**

<b>Property</b>	<b>Description</b>
Standard reason	Reason text as displayed in the Web Portal.
Description	Spare field for additional explanation.
Automatic Approval	Specifies whether the reason text is only used for automatic approvals by One Identity Manager for policy violations. This standard reason cannot be selected by exception approvals in the Web Portal.  Do not set the 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 free text for the exception approval.
Usage type	Usage type of standard reason. Assign one or more usage types to allow filtering of the standard reasons in the Web Portal.

## 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 **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.

## Creating and changing 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 **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.
3. Enter the company policy's master data.
4. Save the changes.  
This adds a working copy.
5. Select **Enable working copy**. 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 working 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 **Company policies | Policies | Working copies of policies**.

  - a. Select a working copy in the result list.
  - b. Select the **Change master data** task.
2. Edit the working copy's master data.
3. Save the changes.
4. Select **Enable working copy**. 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**

<b>Property</b>	<b>Description</b>
Policy	Name of the company policy.
Description	Spare field 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 <b>Enable policy</b> or <b>Disable policy</b> 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.
Policy 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 approvers	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, <b>Edit condition...</b> is disabled.

Property	Description
	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. 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 <b>Expert view</b> to 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 <b>Show condition</b> 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 approvers](#) on page 17
- [Attestors](#) on page 15
- [Showing conditions](#) on page 28

### Related topics

- One Identity Manager User Guide for One Identity Manager Tools User Interface

## Risk assessment

**Table 12: Configuration parameter for risk assessment**

Configuration parameter	Effect when set
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 enabled, values 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 **Assessment criteria**.

**Table 13: Assessment criteria for a rule**

Property	Description
Severity	<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 ... Any 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 ... Any rule violation is a problem.</p> <p>The input field is only visible if the "QER\CalculateRiskIndex" configuration parameter 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 <b>Create working copy</b>.</p> <p>The input field is only visible if the "QER\CalculateRiskIndex" configuration parameter is set. The value is calculated by the 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 44
- One Identity Manager Risk Assessment Administration Guide
- Report Editor in the One Identity Manager Configuration Guide

## Related topics

- [Creating a working copy](#) on page 30

## Additional data on company policies

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 field 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.
Schedule	Schedule for starting policy checks on a regular basis. "Default schedule policies" is assigned by default. You can assign your own schedule.

## Related topics

- [Calculating policy violations](#) on page 34

## Policy comparison

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

**Table 15: Results of a policy comparison**

Policy violations	Lists all employees who, as a result of the change, would (not) violate the company policy as follows
Newly	would violate the policy for the first time



<b>Policy violations</b>	<b>Lists all employees who, as a result of the change, would (not) violate the company policy as follows</b>
--------------------------	--

---

added

---

Identical	would still violate the policy
-----------	--------------------------------

---

No longer included	would no longer violate the policy
--------------------	------------------------------------

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

You can customize the following default company policy properties:

- Manager/supervisor
- Exception approval allowed
- Exception approvers
- 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 run the following tasks.

## Overview of the working copy

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

## 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 **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 –

In the **Remove assignments** view, double-click on the compliance framework for which you want to delete the assignment.

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 **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 –

In the **Remove assignments** view, double-click on the mitigating control for which you want to delete the assignment.

5. Save the changes.

## Detailed information about this topic

- [Mitigating controls](#) on page 44

## Maintaining exception approvers

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

## Related topics

- [General master data for company policies](#) on page 20
- [Exception approvers](#) 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 **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Maintain supervisors**.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.  
– OR –

In **Remove assignments**, double-click on the compliance rules that you want to remove.

5. Save the changes.

## Related topics

- [General master data for company policies](#) on page 20
- [Policy supervisors](#) on page 16

## Enabling a working copy

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 **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select **Enable working copy**.
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**.

## Showing conditions

The database query for finding objects that 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 **Company policies | Policies | Working copies of policies**.
2. Select the working copy in the result list.
3. Select the **Change master data** task.
4. Select the task **Show condition** in the task view.

### *To hide the database query on the master data form*

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

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

**Table 16: Results of a policy comparison**

<b>Policy violations</b>	<b>Lists all employees who, as a result of the change, would (not) violate the company policy as follows</b>
Newly added	would violate the policy for the first time
Identical	would still violate the policy
No longer included	would no longer violate the policy

### *To display the policy comparison as report*

- Select **Show rule comparison**.

## Related topics

- [Policy comparison](#) on page 24

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

**Result** is shown 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 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 **Company policies | Policies**.
2. Select the company policy in the result list.
3. Select **Company policy overview**.

## 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 **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**.

**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 **Company policies | Policies**.
2. Select the company policy in the result list.
3. Select **Enable policy**.

### *To disable company policies*

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

## Showing conditions

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

### *To hide the database query on the master data form*

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

## Show 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 **Company policies | Policies**.
2. Select the company policy in the result list.
3. Select the **Change master data** task.
4. Select **Show selected objects** in the task view.  
**Result** is shown on the master data form. This displays a list of objects found through the database query.

## Recalculating

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

## Maintaining exception approvers

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 **Company policies | Policies**.
2. Select the company policy in the result list.
3. Select **Maintain exception approvers**.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.  
– OR –  
In **Remove assignments**, double-click on the compliance rules that you want to remove.
5. Save the changes.

### **Related topics**

- [General master data for company policies](#) on page 20
- [Exception approvers](#) 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 **Company policies | Policies**.
2. Select the company policy in the result list.
3. Select **Maintain supervisors**.
4. Double-click on the employees you want to assign be assigned to the application role in **Add Assignments**.  
– OR –  
In **Remove assignments**, double-click on the compliance rules that you want to remove.
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.

One Identity therefore recommends that you create a report about the company policy and its current violations before deleting it, if you want to retain the information (for audit reasons, for example).

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**.  
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 default schedule policies from One Identity Manager's 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 checking policies](#) 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	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

Report	Description
overview (of a company policy)	grouped by: <ul style="list-style-type: none"> <li>• Policy violations that still need to be decided</li> <li>• Policy violations without exception approval</li> <li>• Policy violation with exception approval</li> </ul>
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

- **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 **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

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 Installation Guide*.
2. In the Designer, set the **QER | Policy | EmailNotification** configuration parameter.
3. In the Designer, set the **QER | Policy | EmailNotification | DefaultSenderAddress** configuration parameter and enter the sender address used to send the email notifications.
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 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 39

# Request for exception approval

**Table 19: 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**

- **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 configuration parameter "QER\Policy\EmailNotification\NewExceptionApproval" in Designer.  
Notification with "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 20: Configuration parameters for notifications about policy violations**

<b>Configuration parameter</b>	<b>Meaning if Set</b>
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**

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

### **To inform a policy supervisor about policy violations**

- Set "QER\Policy\EmailNotification\NotPermittedViolation" in Designer.  
Notification with "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.

# Approval status of a policy violation

Edit policy violations in the Web Portal. You can also get an overview of the approval status of each policy violation in 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



## **To edit mail templates**

1. In the Manager, select the **Company Policies | Basic configuration data | Mail templates** category.  
This shows all the mail templates that can be used for policy checks in the result list.
2. Select a mail template in the result list and run the **Change master data** task.  
- OR -  
Click  in the result list.  
This opens the mail template editor.
3. Edit the mail template.
4. Save the changes.

# General properties of a mail template

The following general properties are displayed for a mail template:

**Table 21: Mail template properties**

<b>Property</b>	<b>Meaning</b>
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 QERPolicy or QERPolicyHasObject base object 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.
Target format	Format in which to generate email notification. Permitted values are: <ul style="list-style-type: none"> <li>• <b>HTML:</b> The email notification is formatted in HTML. Text formats, for example, different fonts, colored fonts, or other text formatting, can be included in HTML format.</li> <li>• <b>TXT:</b> The email notification is formatted as text. Text format does not support bold, italics, or colored font, or other text formatting. Images displayed directly in the message are not supported.</li> </ul>
Design type	Design in which to generate the email notification. Permitted values are: <ul style="list-style-type: none"> <li>• <b>Mail template:</b> The generated email notification contains the mail body in accordance with the mail definition.</li> <li>• <b>Report:</b> The generated email notification contains the report specified under <b>Report (parameter set)</b> as its mail body.</li> <li>• <b>Mail template, report in attachment:</b> The generated email notification contains the mail body in accordance with the mail definition. The report specified under <b>Report (parameter set)</b> is attached to the notification as a PDF file.</li> </ul>
Importance	Importance for the email notification. Permitted values are <b>Low</b> , <b>Normal</b> , and <b>High</b> .
Confidentiality	Confidentiality for the email notification. Permitted values are <b>Normal</b> , <b>Personal</b> , <b>Private</b> , and <b>Confidential</b> .
Can unsubscribe	Specifies whether the recipient can unsubscribe email notification. If this option is set, the emails can be unsubscribed through the Web Portal.
Deactivated	Specifies whether this mail template is disabled.
Mail definition	Unique name for the mail definition.




Property	Meaning
Language	Language that applies to the mail template. The recipient's language preferences are taken into account when an email notification is generated.
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 the Mail Template Editor.
2. Click the  button next to the **Mail definition** list.
3. In the result list, select the language for the mail definition in the **Language** menu.  
All active languages are shown. To use another language, in the Designer, enable the corresponding countries. For more detailed information, see the *One Identity Manager Configuration Guide*.
4. Enter the subject in **Subject**.
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 the Mail Template Editor.
2. Select the language in **Mail definition**.
3. Edit the mail subject line and the body text.
4. Save the changes.

## Using base object properties

In the subject line and body text of a mail definition, you can use all properties of the object entered under **Base object**. You can also use the object properties that are referenced by foreign key relation.

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

# Using hyperlinks in the Web Portal

**Table 22: Configuration parameters for the Web Portal URL**

<b>Configuration parameter</b>	<b>Effect when set</b>
QER\WebPortal\BaseURL	Web Portal URL This address is used in mail templates to add hyperlinks to the Web Portal.

You can add hyperlinks to the Web Portal in the mail text of a mail definition. If the recipient clicks on the hyperlink in the email, the Web Portal opens on that web page and further actions can be carried out. In the default version, this method is implemented in policy checks.

### **Prerequisites for using this method**

- The **QER | WebPortal | BaseURL** configuration parameter is enabled and contains the URL path to the Web Portal. You edit the configuration parameter in the Designer.

`http://<server name>/<application>`

with:

`<server name>` = name of server

`<application>` = path to the Web Portal installation directory

### **To add a hyperlink to the Web Portal in the mail text**

1. Click the position in the mail text of the mail definition where you want to insert a hyperlink.
2. Open the **Hyperlink** context menu and enter the following information.
  - **Display text:** Enter a caption for the hyperlink.
  - **Link to:** Select the **File or website** option.
  - **Address:** Enter the address of the page in the Web Portal that you want to open.

**NOTE:** One Identity Manager provides a number of default functions that you can use to create hyperlinks in the Web Portal.
3. To accept the input, click **OK**.

## Default functions for creating hyperlinks

Several default functions are available to help you create hyperlinks. You can use the functions directly when you add a hyperlink in the mail body of a mail definition or in processes

## Direct function input

You can reference a function when you add a hyperlink in the **Address** field of the **Hyperlink** context menu.

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

Example:

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

## Default function for policy checking

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

**Table 23: Functions of the `VI_BuildComplianceLinks` script**

Function	Usage
<code>VI_BuildQERPolicyLink_Show</code>	Opens the exception approval page in the Web Portal.

## Customizing email signatures

Configure the email signature for mail templates using the following configuration parameter. Edit the configuration parameters in the Designer.

**Table 24: 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 the company's website.
Common   MailNotification   Signature   LinkDisplay	Display text for the link to the company's website.

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

## Mitigating controls

**Table 25: Configuration parameter for risk assessment**

Configuration parameter	Effect when set
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 enabled, values 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 company policies. These risk indexes provide information about the risk involved for the company if this particular policy is violated. 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**

- In the Designer, set the **QER | CalculateRiskIndex** configuration parameter and compile the database.

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

# Entering master data

## *To edit mitigating controls*

1. In the Manager, select the **Risk index functions | Mitigating controls** category.
2. Select a mitigating control in the result list and run the **Change master data** task.  
- OR -  
Click  in the result list.
3. Edit the mitigating control master data.
4. Save the changes.

Enter the following master data for mitigating controls.

**Table 26: General master data for a mitigating control**

<b>Property</b>	<b>Description</b>
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 run the following tasks.

## 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. In the Manager, select the **Risk index functions | Mitigating controls** category.
2. Select the mitigating control in the result list.
3. Select the **Mitigating control overview** task.

# 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 **Risk index functions | Mitigating controls** category.
2. Select the mitigating control in the result list.
3. Select the **Assign company policies** task.
4. In **Add assignments**, double-click the company policies you want to assign.  
- OR -  
In **Remove assignments**, double-click the company policies whose assignment is to be deleted.
5. Save the changes.

# Calculating mitigation

The reduction in significance of a mitigating control supplies the value by which the risk index of a company policy is reduced when 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**.

## Appendix: Configuration parameters 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 27: 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, you can use the model components.
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 policy violation is required.

Configuration parameter	Meaning
QER\Policy\EmailNotification\NotPermittedViolation	This configuration parameter contains the name of the mail template which is sent if a new rogue policy violation occurs.
QER\CalculateRiskIndex	<p>Preprocessor relevant configuration parameter controlling system components for calculating an employee's risk index. Changes to the parameter require recompiling the database.</p> <p>If the parameter is enabled, values 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 and other inquiries, such as licensing, support, and renewals, visit <https://www.oneidentity.com/company/contact-us.aspx>.

## 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
- View how-to videos at [www.YouTube.com/OneIdentity](http://www.YouTube.com/OneIdentity)
- Engage in community discussions
- Chat with support engineers online
- View services to assist you with your product

## A

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

## B

- base object
  - mail template 39
- base table 20

## C

- check company policy 34
- compliance framework 9
  - assign 26
  - assign company policies 11
  - overview form 10
- condition 20
  - hide 28, 31
  - show 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, 32
  - notify 37

## M

- mail definition 41
- mail template
  - base object 39, 41
  - hyperlink 42
- manager 20
  - notify 38
- mitigating control 44
  - assign 26
  - assign company policy 46
  - enter 45
  - overview 45
  - significance reduction 45

## N

- notification
  - mail template 39

## O

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

## P

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

## R

reason 18

risk assessment  
    company policy 22  
risk index 22  
    calculate 46  
    reduced  
        calculate 46

## S

schedule 11, 35  
    assign 24  
    assign company policy 13  
    default schedule 13  
    default schedule policies 11  
    overview form 13  
    start immediately 14  
severity 22  
significance reduction 45  
standard reason 18  
status 24  
supervisors 16

## T

transparency index 22

## V

version 20

## W

working copy 19  
    assign mitigating control 26  
    compare 24  
    compare to policy 29  
    copy 29

create 30  
enable 28  
overview form 26