Access Policies sp™

User Guide – Part 2: More Details

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Introduction

Thank you for purchasing Access Policies sp Manager. We hope that you find the application easy to use and helpful as you centralize, organize and administer you policies and procedures.

This User Guide provides an overview of the application: its structure and functionality. The User Guide is available in two parts online:

 Part 1: The Basics

 Part 2: More Details

We highly recommend that you start with Part 1: The Basics.

Use this guide in conjunction with the other support documents and videos available at www.accesspoliciessp.com/support.html.

More Details

The Home Page

The Home Page is the first page all users see. The main content section of the Home page includes lists of:

- Pending Tasks
  - Policy reviews the user has been asked to comment on and are not completed
- Draft Policies
  - Lists abbreviated information
    - Unique Id, Name, Details, Owner, Review Status
  - Not all Draft policies are listed; lists only policies for which the user
    - Is the Policy Owner
      - Or member of a Policy Owner's Read or Edit group
    - Has been asked to review
- Approved Policies
  - Lists abbreviated information
    - Unique Id, Name, Details, Owner, Review Status
  - Lists all Approved policies

Tip: You cannot start a workflow for a policy from the Home page. Go to the actual library to start a workflow.

Workflows

Each library has workflows relating to managing the policy life cycle. These include:
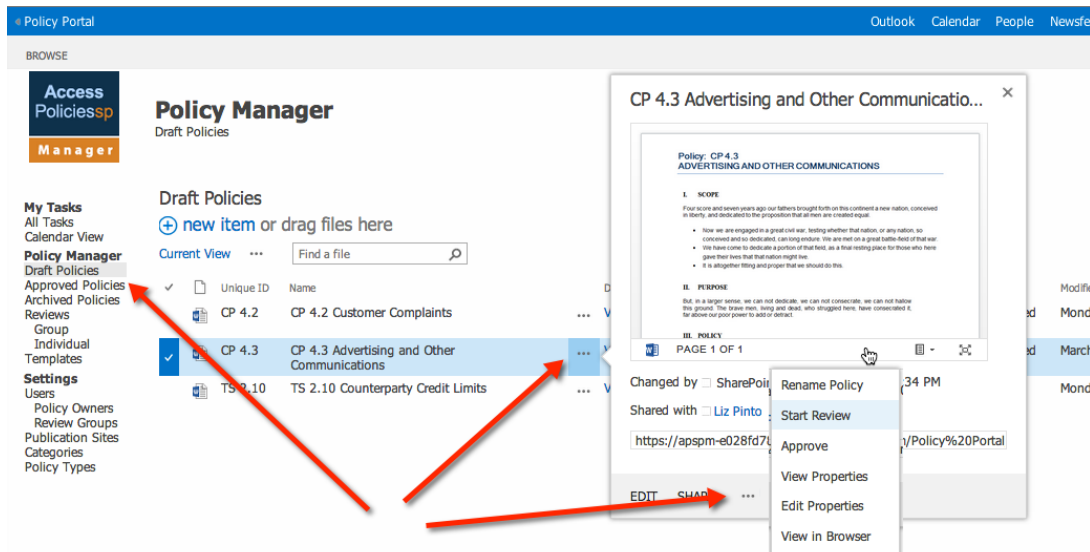
- Start a Review   Draft Policies Library
- Approve   Draft Policies Library
- Publish   Approved Policies Library
- Create a Draft   Approved Policies Library
- Archive   Approved Policies Library

There are two other app workflows:

- Rename Policy   Draft Policies Library
- Edit Metadata   Approved Policies Library

Starting a Workflow

All workflows are available in the specific policy library. To access a workflow, click on the "…" next to the policy Name. That launches a new window. Then, click on the "…" to see available workflows. Click on the title of the workflow that you want to start.

Policy Life Cycle Workflows

Start Review (Drafts Library)

The Review workflow allows you to assign tasks to designated reviewers (either as a member of a Review Group or as an individual) to review and comment on a draft policy by a certain date.

To start a Review, navigate to the dropdown menu for the policy and select Start Review. The Start Review workflow page pops up and requests the following information:

- Task Title
  - The name use to refer to this review
- Due Date
  - The date reviewers need to complete their tasks
- Review Group
  - If the policy has an assigned Review Group, then that group's name is listed. You may also select a different

group from the dropdown menu. Only current members of the group are included in the review. If you add users to a Review Group after the workflow has been started, they will not be included in the review.

- Additional Reviewers
    - Additional users who are not members of the selected review group
- Instructions
    - Your instructions to the Reviewers

When all the information is entered, click on the Start a Review button in the lower right corner. You will receive a system message that the workflow is being created. The process may take a few minutes; when it is completed, the Status of the policy in the Draft library list changes to Review Pending.

The Start a Review workflow creates:
- Group Task
    - For the overall workflow—monitoring the overall data for the review
    - When all Individual Tasks are completed, the Group Task is marked as complete
- Individual Task
    - For each Reviewer—monitoring the specific data for each reviewer
- E-mail Messages for Each Reviewer
    - Subject: New Review Task in APSP Manager

You have been issued a new Task in the Access Policies sp Manager. Please review the instructions and click on the link below to complete this task by the scheduled Due Date.

Instructions:

Due Date:

Link:

Thank you.

When the Reviewer clicks on the link, he or she is taken to the Task, which includes your instructions, a place for the Reviewer to add comments, and the policy.

Example of Individual Task

When the Reviewer finishes the task, he or she clicks on the Complete button. The Task is removed from the Pending Tasks list on the Home page, but it is still accessible to the Reviewer from the My Tasks link on the left navigation bar.

Approve (Drafts Library)

To approve a policy, navigate to the dropdown menu for the policy and select Approve. The Approve workflow page pops up and requests the following information:

- Approval Date
    - The date the policy was approved
- Effective Date
    - The date the policy becomes effective

- Send Publication Reminder
    - An automatic e-mail reminder sent to the person(s) you identify.
    Subject: Publication Reminder
    This is your reminder to publish the policy referenced below.
    Policy:
    Notes:
    Go to [link] to publish this Policy.

    Thank you.
- Notes
    - Any note you may want to add regarding the approval
    - Available in the Policy Life Cycle History popup (View Details > Overview)
- Related Documents
    - You may want to add documents associated with the approval (for example, minutes of meetings) to the Related Documents section within the Details section for the policy. These files are uploaded during the approval workflow and available in the Related Documents section of the Details for the policy.

When all the information is entered, click on the Approve button in the lower right corner. You will receive a system message that the workflow is being processed. The process may take a few minutes; when it is completed, the policy appears in the Approved Policies library with the status of Approved.

Note: Even after the policy appears in the Approved library, it may take a few seconds for the workflow to completely finish. If you access the policy during this time, you may get an error message, saying policy not found. Simply, back up and try again.

Publish (Approved Library)

To publish a policy, navigate to the dropdown menu for the policy and select Publish. The Publish workflow page pops up and requests the following information:

- Publication Site
    - Select the site from the dropdown list
    - To add a site to the list, see Settings > Publication Sites
- Notes
    - Any notes related to the publication
    - Available in the Policy Life Cycle History popup (View Details > Overview)

When all the information is entered, click on the Publish button in the lower right corner. The status of the policy is changed to Published, and a copy of the policy is moved to the Publication Site.

Create Draft (Approved Library)

To create a new draft of a policy, navigate to the dropdown menu for the policy and select Create Draft. The Create Draft workflow page pops up.

The Create Draft workflow creates a copy of the currently Approved policy in the Drafts Policies library. The Approved policy remains unchanged. The new draft policy may be used during the Review and Approval Process.

The only information that you may add during this workflow is Notes related to the new draft. These notes are available in the Policy Life Cycle History popup (View Details > Overview).

Archive (Approved Library)

To archive a policy, navigate to the dropdown menu for the policy and select Archive. The Archive workflow page pops up.

The Archive workflow moves the policy from the Approved Policies library to the Archived Policies library and changes the Status of the policy to Archived.

The only information that you may add during this workflow is Notes related to the workflow. These notes are available in the Policy Life Cycle History popup (View Details > Overview).

Additional Workflows

Rename Policy (Drafts Library)

The Name of a policy is important to the operations of the App and cannot simply be changed using the Edit Properties feature. If you

need to change the name of a policy, use the Rename Policy workflow in the Draft Policies library.

The Name of a policy is used to maintain the document Version History and related properties. If you change the name of a policy, please note that this will *not* create a new policy.

Edit Metadata (Approved Library)

Once a policy is moved to the Approved Policies library, it is assumed that no more changes will be made to the policy. However, this is not always the case as properties may need to be changed. The Edit Metadata workflow allows you modify the following properties of an Approved policy:

- Owner
- Unique Id
- Point of Contact
- Escalate To
- Related Policies
- Notes

Reviews

The Reviews section of the Policy Manager identifies all Review workflows that have been started for policies in the App. As addressed in the Start Review workflow section, each Review workflow creates two types of tasks: Group Tasks (for the overall review) and Individual Tasks (one for each assigned Reviewer). The Reviews section has views for each type: Group and Individual.

Group Tasks

The Group Tasks view lists are Group Tasks by:
- Title
- Start Date
- Due Date
- Review Group
- Additional Reviewers
- Status (overall Review)
- Policy Name
- Policy Unique Id

You can sort or filter the list by using the standard SharePoint functionality.

Individual Tasks

The Individual Tasks view lists all assigned Individual Tasks by:
- Task Name
- Reviewer (Assigned To)
- Due Date
- Task Status (Individual task)
- Date Last Modified
- Policy Name
- Policy Unique Id
- Reviewer Comments

You can sort or filter the list by using the standard SharePoint functionality.

Tip: In addition to the Reviews section of the Policy Manager, information on a Review of a policy can be found within the Details pages for that policy. Click on View under the Details column in the policy list. Then, click on the Review tab. This page lists all Reviews issued for this policy by Group Tasks and Individual Tasks. To view the Individual Tasks for a Group Tasks, click on the Select double arrow next to the Group Tasks ID and Title.

Templates

The Templates section of the Policy Manager allows you store policy templates (Word templates) that can be used as a resource when creating new policies. For instance, you may use different layouts or formats for different policy types (e.g., policies vs. procedures) or for different categories (e.g., Human Resources vs. Legal). Templates for these different layouts can be added to this section and downloaded by Policy Owners when creating a new policy.

Settings

Users

In the *Before Downloading the App* guide, we suggested that when setting up the Policy Management Team Site (the site in which to download the App), you follow these naming convention for the standard access groups:

- For Visitors   Policy Reviewers
- For Members   Policy Owners
- For Owners   App Administrators

Policy Owners

Each Policy in the APSP Manager must be assigned to an Owner. Only the Owner of the Policy has access to a Policy in the Drafts library besides App Administrators (site owners).[1]

To add a user to the list of possible Policy Owners, click on ⊕ new item. The following page will load:

Owner *	
Read Group	Enter a name or email address...
Edit Group	Enter a name or email address...
	Save Cancel

The only required field is for the Owner. Enter the name of the new Policy Owner. The name must correspond to an existing user of the App. You can select any user of the App to be a Policy Owner; however, the user's permissions is based on the user group that he or she is assigned: (App Administrators (Site Owners), Policy Owners (Site Members), or Policy Reviewers (Site Visitors).

Assigning a user as the Owner of a policy (within the policy Properties) gives that user access to the policy in the Draft Policies library. Except for the Drafts library, access to policies is based on the permissions of the group that the user belongs to at the site level.

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[1] Strictly speaking, this is the case; however, other users can gain access to a Policy in the Drafts library 1) as a member of the Owner's Read or Edit groups; or 2) by having been assigned to review the Policy (members of a Review Group assigned to a Policy are not given access to that Policy until a Review workflow has been started).

	Drafts	Approved	Archived
App Administrators (Site Owners)	All (Full Control)	All (Full Control)	All (Full Control)
Policy Owners (Site Members)	Limited* (Full Control)	All (Read Only)	All (Read Only)
Policy Reviewers (Site Visitors)	Limited** (Contribute)	All (Read Only)	All (Read Only)

* Policy Owners (Site Members) only have access to policies in the Draft Policies library for which they are the Owner.

** Policy Reviewers (Site Visitors) only have access to the policies in the Draft Policies library that they have been assigned a review task.

Read and Edit Groups
There are two optional fields for each Policy Owner: Read Group and Edit Group. When a Policy is in the Drafts library, only the assigned Policy Owner and those who have been asked to review the Policy, in addition to App Administrators (site owners), have access to the Policy.

You can expand the number of users who have access to policies to which a Policy Owner is assigned by using the Policy Owner's Read and Edit groups.

These groups must be defined in Site Settings > Users and Permissions > People and Groups for the site that the App is in before they can be added to a Policy Owner. A Read Group should be set up with Read and View Only permissions. An Edit Group should be set up with Edit permissions.

You can set up these groups in any way you like. For instance, you may choose to set up just two groups—one Read and one Edit—and then assign them to each Owner. Or you may elect to set up a unique group for each Owner.

Review Groups

A Review Group is a list of users who you want to weigh in on the review process for a Policy. For instance, you may elect to create a Compliance Review Group and then list all the users whom you want to comment on a Compliance policy during a review process.

A Review Group can be assigned to a Policy. When a review is started for the Policy, the assigned Review Group is set as the default Review Group. When you start the review, individual tasks and e-mails are sent to each user in the Review Group.

The Review Group is defined in Site Settings > Users and Permissions > People and Groups for the site that the App is in before it can be added to the list of Review Groups.

To add a group to the list of possible Review Groups:
- Click on the Review Groups link
- Click on ⊕ new item
- Enter the group name
- Click on Save

Publication Sites

Publication Sites are available in the Publish workflow. These sites are within the same Site Collection as the Access Policies sp Manager App that you will use to host policies for employee access. Note: Policies are managed in the Access Policies sp Manager App but made available to employees in the Publication Sites.

You may publish a Policy to more than one Publication Site; however, the Policy Overview page only shows the site to which you last published. Additional published site can be viewed by clicking on the View History link on the same page.

To add a site to the list of Publication Sites:

- Click on the Publication Site link

- Click on ⊕ new item

- Enter the name you want the site to be known as

- Enter the URL for the site

- Click on Find

- Select the appropriate library for the Policies within the site

- Click on Add

Categories

Category is a property of a Policy. Access Policies sp Manager has default categories that include:

- Administrative

- Government Operations

- Human Resources

- Information Security
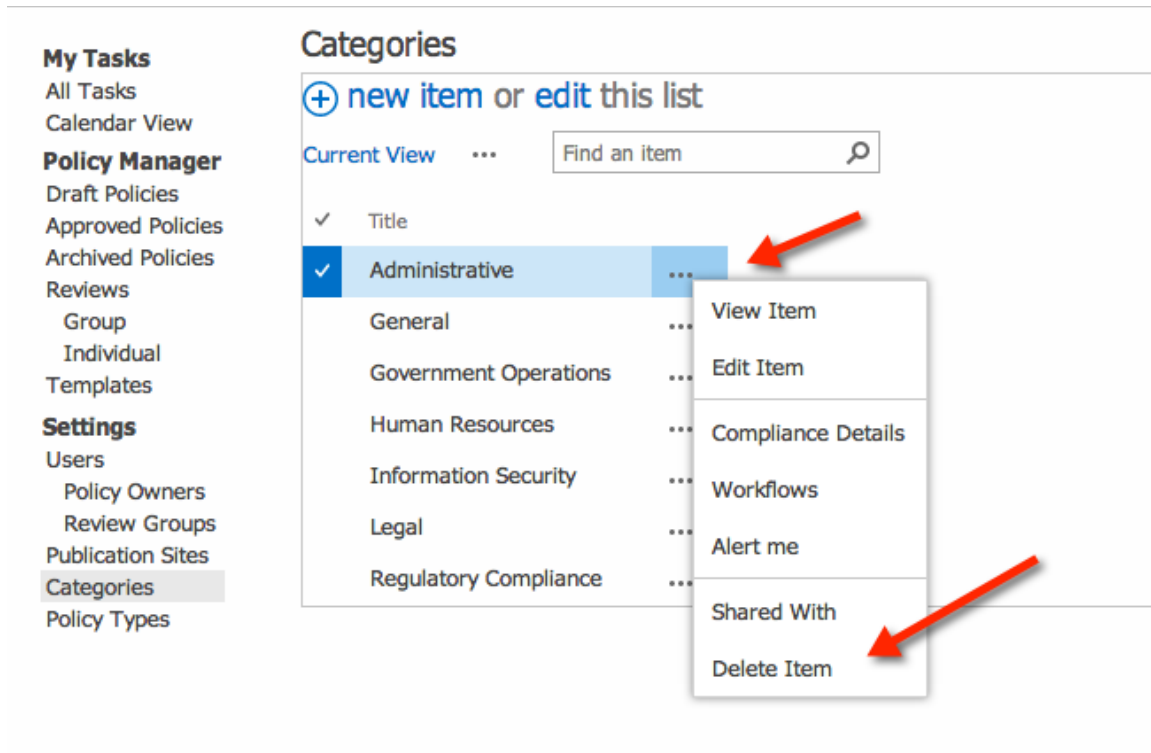
- Legal

- Regulatory Compliance

You may add to or delete items from the list.

To add a category to the list:

- Click on the Categories link

- Click on ⊕ new item

- Enter the name of the Category

- Click on Save

To delete an item from the list:

- Click on the Categories link

- Click on the ellipsis (…) next to the item you want to delete

- Click on Delete Item

- Click on OK to send the item to the site recycle bin

Policy Types

Policy Type is a property of a Policy. Access Policies sp Manager has default policy types that include:

- Policy
- Procedure
- Guidance
- Other

You may add to or delete items from the list.

To add a policy type to the list:

- Click on the Policy Types link
- Click on ⊕ new item
- Enter the name of the Policy Type

- Click on Save

To delete an item from the list:

- Click on the Policy Types link

- Click on the ellipsis (…) next to the item you want to delete

- Click on Delete Item

- Click on OK to send the item to the site recycle bin

(See graphic above in Categories for a similar screen shot.)