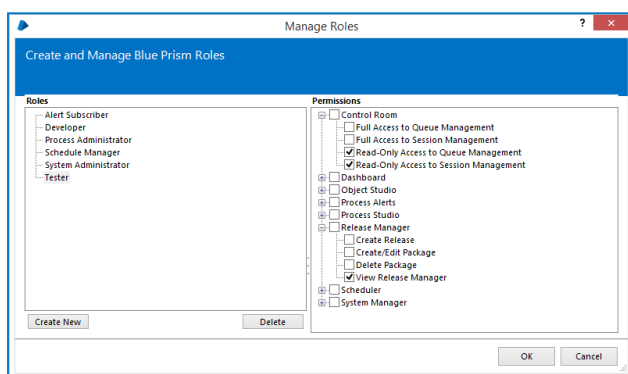


## Operational Audit Overview

This guide outlines the Blue Prism product features that enable the audit of all changes within the platform. The comprehensive audit scope includes changes to the platform itself and also covers changes made to process automations.

### User Access Control (UAC) and Environmental Context

It should first be noted that the ability to implement change within the platform is governed by comprehensive User Access Control, which gives System Administrators the ability to control user's roles and permissions within the platform down to a granular level.

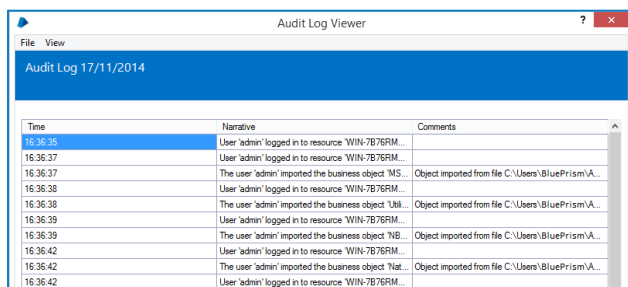


This access is defined within the context of each environment - Development, UAT and Production - and is (optionally) governed centrally by means of integration with Microsoft Active Directory.

“UAC mechanisms facilitate IT control from a centralised point. This mirrors the central principle of the Blue Prism Framework: operational governance layered on top of architectural guardrails, creating a safe and managed environment for operational efficiency initiatives.”

### Platform Changes

Changes to the platform itself are audited as well as changes within it. Each event, as well as each change, is audited. This includes the mere action of logging in to the system; changes made to environment variables; changes to users' privileges; the importing and exporting of data; etc. In effect, this means that the System Administrator's behavior is subject to the same level of scrutiny as ordinary users.



## Operational Audit

Work items are typically captured in a Blue Prism queue, (except perhaps where an external source is used for workflow). This provides Operations teams with immediate access to case status and outcomes as well as management information on case times, creation & completion dates, etc.

Queue Name	Status	Worked	Pending	Referred	Total
IFA Applications	Running	792	0	79	871

Item Key	Priority	Status	Tags	Resource	Attempt
24021542532808	0			AUTHORISEDPC	1
24071313382094	0				1
24129830875012	0				1
24071313382094	0				1
24148247204724	0				1
24081312332144	0				1
24129830875012	0				1
12345612345678	0				1
24129830875012	0				1
24021542532808	0				1
24071313382094	0				1
24021542532808	0				1
24071313382094	0				1
24021542532808	0				1
24071313382094	0				1
24129830875012	0				1
24071313382094	0				1

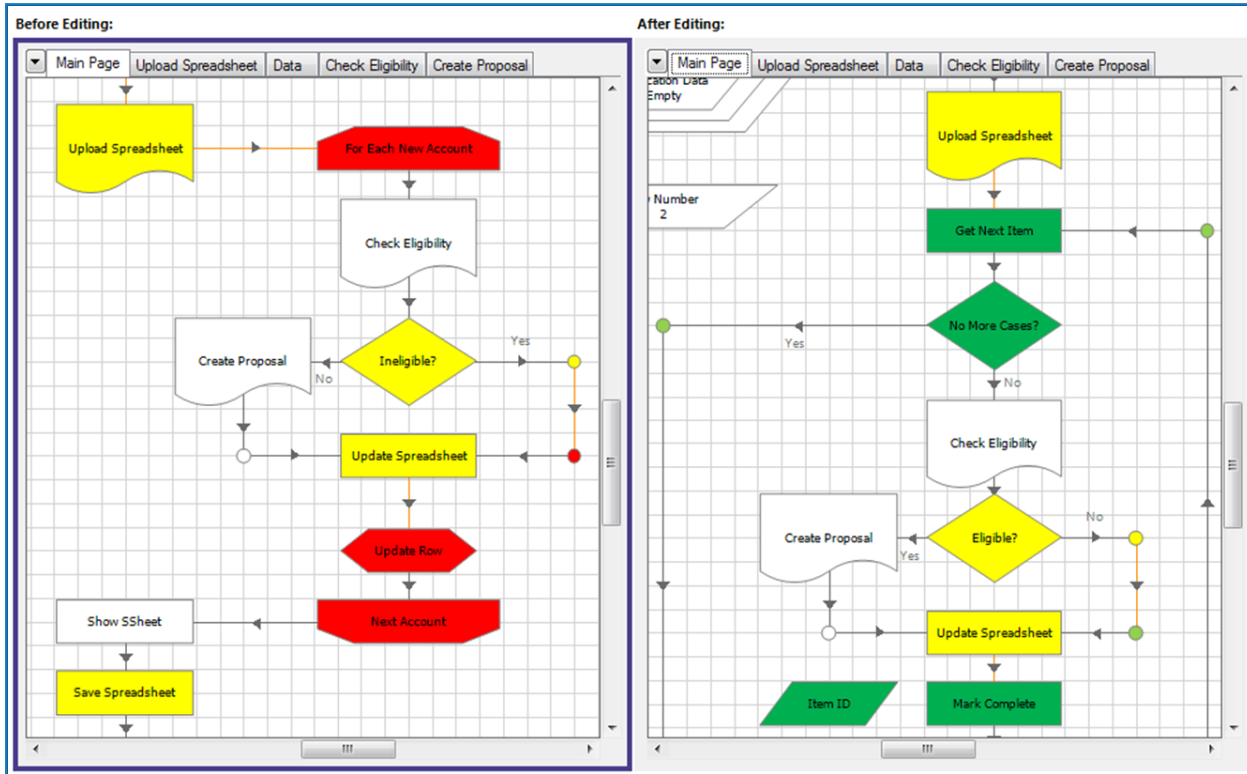
A detailed history of activity on a case by case basis is captured by runtime robots, who record all of their activity in a session log. This record includes - for example - every button pressed, every piece of data that is read, every decision made, etc. Where sensitive data is concerned, the logged information can be masked or omitted if necessary in order to comply with data standards such as PCI. The detail of the log relates directly back to the structure of the process diagram, making it easy to interpret by business users.

## Process Change and Version Control

Users are required to document their changes each time they save a change to a process and a full version history is captured along with the date/time and identity of the person making each change.

Date and Time	Type of Edit	By User	Edit Summary	Available?
27/10/2015 13:04:29	Modification	GJones	Updated Operational Fo...	Yes
02/10/2015 15:13:07	Modification	LWinter	Process overwritten by i...	Yes
20/03/2015 13:49:34	Modification	MMayhew	Remove start time variable	Yes
20/03/2015 13:49:22	Modification	GJones	Monitor start time for m...	Yes
20/03/2015 13:48:54	Modification	LWinter	Add status stage	Yes
20/03/2015 13:48:11	Modification	GJones	Updated case complete ...	Yes
18/11/2014 08:31:48	Modification	LWinter	Updated for new system ...	Yes
17/11/2014 16:36:42	Creation (vi...	admin		Yes

A full visual comparison can be made between any two versions in Blue Prism "Process History" and this uses a red/amber/green convention to highlight deleted/modified/new stages, respectively, as illustrated below.



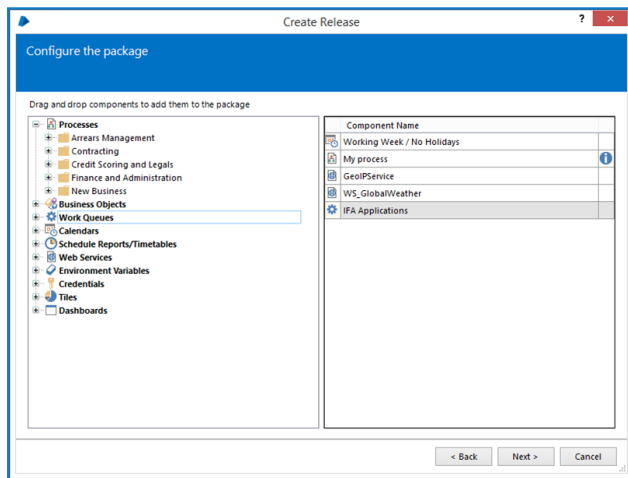
Process History exists not only as an audit feature but also to facilitate rollback to old versions and to allow the correct interpretation of historic log files against the corresponding process, as it appeared at the time.

## Change Management

Process changes are managed in line with the rules and procedures defined in the Agility Framework. The platform facilitates the proper audit and governance of such changes through a combination of permissions (UAC) and the Blue Prism Release Manager, which provides a secure, audited and managed means of deploying changes from one environment to another – e.g. from Development to Production environments.

The Release Manager takes the form of an intelligent wizard that helps the user to wrap all of the components and dependencies of an automation into a single unit, allowing changes to be implemented atomically.

The resulting package is exported in an open xml-based file format which can be stored and versioned in independent repositories, if required.



## Summary of audit actions and events

This table lists the categories of audit events and provides a summary of the type of events that are raised. This list is not exhaustive.

Platform access	Users logging into and out of the platform.
User management	User creation and management including account and password management.
Process management	Process creation and management including importing/exporting, attribute and dependency management.
Business object management	Business object creation and management including importing/exporting, attribute and dependency management.
System configuration	Includes the management of: <ul style="list-style-type: none"> <li>• Resource archives</li> <li>• License keys</li> <li>• Management information</li> <li>• Encryption schemes</li> <li>• Session and audit log export</li> <li>• System settings updates</li> </ul>
Web connection settings	Web connection settings management including adding, deleting, and editing.
Package management	Package creation and management including importing releases.
Object management	Object creation and management.
Resource management	Resource and pool management.
Calendar	Calendar creation and management.
Schedule	Schedule creation, triggering, and management including adding and removing tasks.
Work queues	Work queue creation and management including item management, data exports/imports, and unlocking.
Fonts	Font creation and management.
Key store	Encryption scheme creation and management.
Credentials	Credential creation and management.
Dashboards and tiles	Dashboard and tile creation and management.
Groups	Group creation and management.
Environment locks	Unlocking environment locks.
Skills	Editing skill settings.
Session logs	Session log archiving, deletion, restoring.
Data Gateways	Data Gateways configuration and output creation and management.
Work queue analysis	Work queue snapshot configuration creation and management.