

Policy & Procedure Management Edition Comparison

ProcessUnity offers Policy & Procedure Management pricing plans to accommodate organizations of all sizes and program maturity levels. Each plan offers a combination of system users, lite users and base functionality – all which can be modified to fit an organization’s specific policy management requirements.

SILVER	GOLD	PLATINUM						
\$2700 /month*	\$3350 /month*	\$6000 /month*						
<table border="1"> <tr> <td>5 USERS</td> <td>500 LITE USERS</td> </tr> </table>	5 USERS	500 LITE USERS	<table border="1"> <tr> <td>15 USERS</td> <td>1000 LITE USERS</td> </tr> </table>	15 USERS	1000 LITE USERS	<table border="1"> <tr> <td>30 USERS</td> <td>2000 LITE USERS</td> </tr> </table>	30 USERS	2000 LITE USERS
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Policy Management Silver is ProcessUnity’s base package, designed to get small organizations started with policy management automation. The package includes a basic set of capabilities and starter workflows to establish the framework for a successful policy management program.

Policy Management Gold combines the most common capabilities associated with standardized policy management programs and is designed for organizations looking to improve policy awareness, expand reporting capabilities and ensure results stand up to regulatory scrutiny.

Policy Management Platinum is designed for organizations with robust policy management practices and a large employee base. This package allows organizations to effectively and efficiently manage the risk, cost and complexity of detailed organizational policies and their requirements through the entire policy management lifecycle.

* Paid Annually

ENTERPRISE	
Custom	
CUSTOM USERS	CUSTOM LITE USERS

ProcessUnity works with companies of all sizes and sophistication – from community banks to Global 50 organizations.

If your company has requirements beyond the scope of our Silver, Gold or Platinum offerings, our team will work with you to build a custom solution package.

The following pages outline the specific features and functions for each package. If you have any questions, please contact your ProcessUnity account representative directly or contact us via our web site at www.processunity.com/contact.

Policy & Procedure Management: Capabilities by Edition

The chart below outlines the specific capabilities available for the Silver, Gold and Platinum editions of Policy Management. Click the hyperlinks for a detailed description of each capability.

CAPABILITY	SILVER	GOLD	PLATINUM
Policy Library	■	■	■
Policy Approval Workflow	■	■	■
Organization	■	■	■
Read/Acknowledge Certifications	■	■	■
Document Requests	■	■	■
Documents Library	■	■	■
Expression Builder and Scoring Rules	■	■	■
Questionnaires & Assessments	■	■	■
Single Sign-on	■	■	■
Standard Reports	■	■	■
Standard Properties	■	■	■
Standard Dashboards	■	■	■
User Notifications	■	■	■
User Properties	■	■	■
User Reports	■	■	■
Policy Exceptions	\$	■	■
Policy Exception Requests	\$	■	■
Policy Violations	\$	■	■
Policy Feedback	\$	■	■
Regulations, Standards & Assessments	\$	■	■
Issue Management	\$	■	■
Test Instance	\$	■	■
Import/Export Services	\$	■	■
Controls Library & Assessments	\$	\$	■
Risk Register & Assessments	\$	\$	■
Process Library & Assessment	\$	\$	■

CAPABILITY	SILVER	GOLD	PLATINUM
User Defined Hierarchy	\$	\$	■
External Components	\$	\$	■
MS Word™ Connector	\$	\$	■
Projects Tracking	\$	\$	\$
Change Notices	\$	\$	\$
Financial Accounts Hierarchy	\$	\$	\$
Lite User Auto-Provisioning	\$	\$	\$
Loss Events	\$	\$	\$
MS Excel™ Connector	\$	\$	\$
User Defined Object	\$	\$	\$
Metrics	\$	\$	\$
Analytics DB	\$	\$	\$
Salesforce Connector	\$	\$	\$
Configurable Email Gateway	\$	\$	\$
Integration Hosting Service	\$	\$	\$
Self-Service DB Archives	\$	\$	\$
Web Services	\$	\$	\$

SYSTEM LIMITS	SILVER	GOLD	PLATINUM
Maximum User Properties	10	Unlimited	Unlimited
Maximum User Reports	10	Unlimited	Unlimited
Maximum User Notifications	4	Unlimited	Unlimited
Storage	Unlimited	Unlimited	Unlimited

■ Included with edition

\$ Available for additional fee

For More Information:

Please contact your ProcessUnity account representative or visit our web site at www.processunity.com.

Policy & Procedure Management Capability Descriptions

Policy Library

Categorize, store and track your organizations policies through a version controlled, easy to use interface. Properties on the policy help to categorize, track ownership and policy refresh dates, and relate policies to related business units.

Policy Approval Workflow

Policies may require approval before being placed into In Use with an Effective Date. The Policy Approval Workflow provides the functionality for a single set of review and approvals for all policies that can be submitted when new versions of a policy are created, sending notifications to workflow participants and allowing for Approve/Reject actions.

Read/Acknowledge Certifications

Define multiple certifications and types that can be sent to business process owners for reviewing and certifying that they understand the designated policy. Track certification status of individuals through easy to use reports.

Document Requests

Identify required policies to be gathered and send requests to the appropriate business units to submit and upload their policies into the library. Document requests can be tracked with reporting and provide reminder notifications against relevant due dates.

Policy Exception Requests

The Request Exception form allows business users to submit a request for an exception to a policy. New requests can then be tracked by policy and approval status. If approved, exceptions can be tracked against the Policy and reported on for expiration and renewal.



Organization

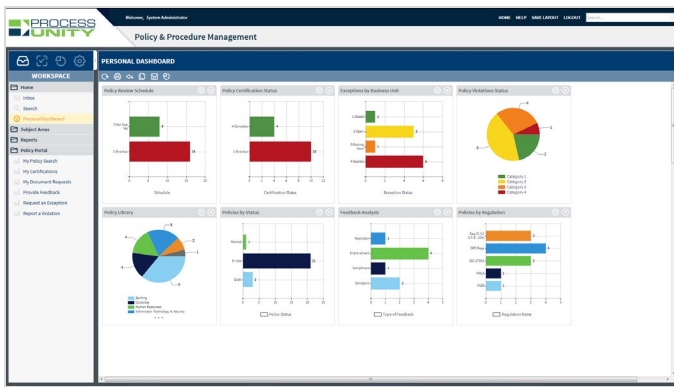
The Organization Subject Area represents functional elements of a business such as departments or groups. Organizational Units (the lowest level of the hierarchy) can be scoped in assessments. People that are related to Organizational Units can also be used to define dynamic teams used for various permissions throughout ProcessUnity.

Single Sign-On

Single Sign-On (SSO) authentication enables all users to bypass the ProcessUnity Login screen by authenticating via a corporate network. This provides convenience by eliminating the need to remember and maintain multiple username and password combinations, improving productivity and security while facilitating collaboration between in-house applications. ProcessUnity supports SAML 2.0, which is an industry standard for SSO.

Policy Exceptions

Policy exceptions are used to document, report, and notify on identified exceptions to corporate policies. Reminders and review notifications can be sent when the allotted time for the exception is coming to an end. Functionality supports tracking all known and ongoing exceptions throughout the organization.



Issue Management

Issue management provides a centralized repository for managing policy related issues, and their remediation plans. Issues can be described, categorized and have severity set so that appropriate personnel are notified on issue creation, upcoming due, and past due. Issue reporting provides complete issue status that can be used to track down systemic problems within the organization.

Test Instance

Non-production, test instances allow customers to host data in an environment suitable for development, testing, and training – without compromising the data and configuration in a production environment. Test environments are completely isolated from the ProcessUnity production instance, so testing will not affect live system work (and vice-versa). Customers can refresh their test environment data at any time. Limited to 10 users and refresh from 1 production instance.

Controls Library & Assessments

The Control Library provides a central system of record for defining, managing, testing, and reporting on an organizations control framework. Controls can have test procedures defined to describe how that control should be tested and control objectives to categorize the controls by their central purpose. In addition controls can be related to the various areas throughout the organization including, policies, processes, risks, impacted regulations, and third parties. Assessments can be created and executed to test groups of controls by schedule, policy, business unit, required regulatory requirement, or third party.

Policy Violations

Policy management violations can occur at any time and be reported by multiple individuals. Typically policy management teams require that certain types of incidents be captured, reported, and tracked to closure. ProcessUnity's configurable policy violations subject area provides mechanisms by which users can report incidents of various types, assign ownership for incidents, engage in a dialog about incidents, and finally close incidents and maintain them for historical reporting.

Policy Feedback

Business users can provide feedback to policies by submitting a form with comments, questions, and areas of improvement. The feedback is then available for reporting and analysis by the policy administrator to consider policy improvements and/or changes to procedures that would be more impactful.

Regulations, Standards & Assessments

Policies can be related to specific regulations or compliance mandates that an organization is responsible to uphold. Regulations and Provisions allow organizations to define their applicable regulations, document changes against those regulations, and through relationships, see which policies are impacted by those regulatory or compliance changes. Notification rules can alert policy owners to changes in provisions.

Risk Register & Assessments

The building blocks of a robust risk management solution begin with cataloging institutional risks, whether at the operational or enterprise level. A good starting point for an overall ERM solution is to start simple. The ProcessUnity Risk Register provides the ability to define risk categories, risk families, determine both inherent and residual risk, and then aggregate that risk to organizational groups within the organization. Over time, these subject areas can be the scope of assessments and audit.

Process Library & Assessments

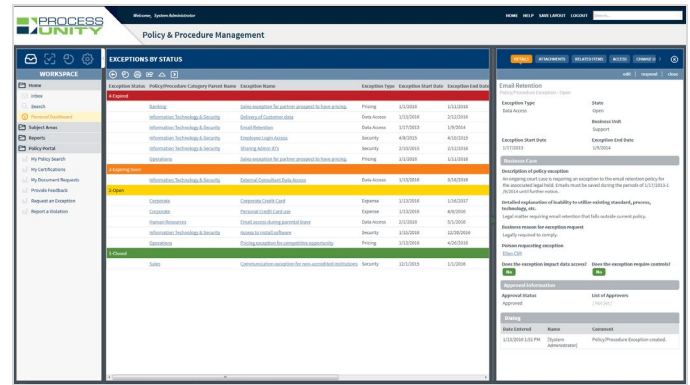
The Process subject area provides a framework that allows organizations to enumerate internal business practices and the related sets of steps/activities that a business carries out to achieve its various objectives. The Process hierarchy provides a blueprint for internal and/or external audits. Being auditable entities, advanced implementations of the Process library include the ability to perform assessments to meet SOX or other compliance reporting requirements.

User Defined Hierarchy & Assessments

Based upon each organizations policy structure, the user defined hierarchy provides a way to further describe the policy in terms of related business units, divisions, departments, or other dimensions of an organization for reporting and management purposes.

Projects Tracking

A subject area that provides definition, storage, and workflow for managing projects, defined as formal activities, typically involving multiple participants that have a defined deliverable or outcome, assigned responsibility, target start and end dates, and status. Sample uses: Correct a control deficiency, develop new controls, update/manage a system or business process.



The screenshot displays the 'EXCEPTIONS BY STATUS' view in the ProcessUnity Risk Register. The main table lists various exceptions with columns for Exception Status, Policy/Procedure Category, Name, Description Name, Exception Type, Exception Start Date, and Exception End Date. The table is filtered to show 'Critical' exceptions. On the right side, there are panels for 'Email Notifications', 'Exception Type', 'Business Unit', 'Exception Start Date', and 'Exception End Date'. Below these panels, there are sections for 'Description of policy exception', 'Description of impact data access', and 'List of Agreements'.

External Components

Customize your ProcessUnity instance with data widgets from outside systems, allowing users to view relevant business data in context and within the ProcessUnity framework. Some examples include market data, Google maps, news feeds, social media, etc. These components can be accessed directly from external websites or built in-house to support customer needs.

MS Word™ Connector

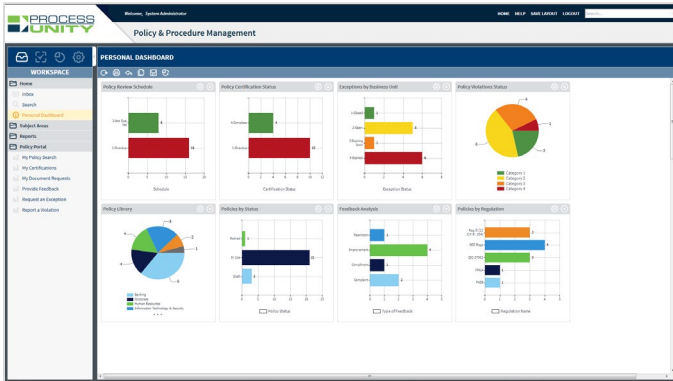
Create formatted Microsoft Word™ documents within ProcessUnity, based on customer-defined Word™ templates that access context-based content and reports for a specific ProcessUnity record. Examples include customer-formatted welcome letters, statements of services, third-party contracts, assessment summary documents, and more.

Questionnaires & Assessments

ProcessUnity includes capabilities to define custom questionnaires (sections and questions) for use in questionnaire-scoped assessments. A questionnaire template allows any number of question types to be created (freeform, yes/no, pick lists, numbers, dates, etc.). The system supports conditional skip rules at the question or section level, required flags, tooltips and suggested attachments. ProcessUnity's flexible scoring system allows organizations to define and implement their own scoring system.

Standard Dashboards

Built-in standard Dashboards consolidate and visualize the status of policy reviews, issues, control assessments, and more. Each system user has the ability to configure their personal dashboard to maximize productivity. Any user defined report can be delivered in graphical format with drill down capability to detailed information. In addition, selected users can copy their dashboard to other users, roles, or teams to instantly share valuable analytics with others.



Standard Reports

Built-in Standard Reports provide the basic information required to manage policies & procedures. Out-of-the-box reports include: Policy Review Schedule, Policy Library, Policy Certification Status, Policies by Status, My Certifications, My Policies, Exceptions by Business Unit, Feedback Analysis, Policy Violations Status, and Policies by Regulation

Standard Properties

Standard properties are provided for Policies, Procedures, Certifications, Issues, Violations, Feedback, and Exceptions. Standard properties can be disabled - or renamed to suit a particular customer's nomenclature. Non-standard properties are also available (see user defined properties)

User Defined Notifications

Notifications are pre-defined communications that can be triggered automatically when data certain conditions are met. Notifications can be issued as email messages and/or ProcessUnity Inbox entries. System users (with appropriate permissions) can specify the condition, the triggering method, the notification content (text) and recipients. Notifications can be as simple as indicators or reminders, or can feed more robust workflows such as review and approval requests and/or escalations for overdue items.

User Defined Properties

ProcessUnity includes default properties all system areas to help organizations get started. In addition, user defined properties can be easily defined and configured to extend the system for customer-specific program requirements.

Exception ID	Exception Name	Exception Type	Exception Start Date	Exception End Date
1	Banking	Self-reported for further review to be an active	1/1/2019	1/1/2019
2	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
3	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
4	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
5	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
6	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
7	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
8	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
9	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019
10	Information Technology & Security	Self-reported for further review to be an active	1/1/2019	1/1/2019

User Defined Reports

ProcessUnity allows system users (with permission) to author custom reports against system data via a simple-to-use reporting building interface. Custom reports can access any customer-defined properties/attributes, and can be grouped/sorted/totalled according to customer preference. Design-time or interactive filters can also be applied, as well as calculated columns. Charts can be added to visualize reports, and finalized reports can be published to specific roles or teams for easy access to view or export their content.

Expression Builder and Scoring Rules

All ProcessUnity applications feature robust business rules that are created to perform calculations, translate and weight scores into ratings, aggregate information from related records, perform automated scoring during assessments, and highlight and format data conditionally. This powerful feature provides organizations the ability to deploy their specific business requirements, from simple color coded scores and fields, up to robust score aggregation, weighting, and calculations that can be used to trigger workflow notifications or report against enterprise wide anomalies.

MS Excel™ Connector

Seamlessly share data between ProcessUnity and Microsoft Excel. The ProcessUnity Excel Connector allows licensed users to quickly load data into ProcessUnity from Excel, as well as access data stored in their ProcessUnity instance to support external workflows – all via a simple to use Excel toolbar extension.

Documents Library

The Documents Subject Area in ProcessUnity is a centralized repository of file attachments, or URL-accessible links that can be shared, linked, and referenced by any internal Subject Area within the application. Documents can also be associated to an entity (using the Attachments tab), which offers a common link to standardized organizational content. Managed documents are also available to track versions, and route documents via workflow. Workflow can be performed when changes occur or when review dates mature.

Financial Accounts Hierarchy

The Financial Accounts Subject Area allows customers to capture their general ledger accounts in ProcessUnity to support compliance processes such as Sarbanes-Oxley program management. Financial Accounts are auditable entities, and can be included in the scope of assessments, such as annual risk assessments.

Loss Events

Loss Events are occurrences that result in a financial loss (or gain) to a business, resulting in a negative change in the status of the business's assets, or an increase in the business's liabilities. Loss Events provide a framework and workflow allowing organizations to capture and track any losses in a shared database, with commonly defined attributes, follow-up, and resolution.

Change Notices

Change Notices is a subject area used to define and manage one-way communication to one or more individuals. Notices can be linked (related) to any type of record in ProcessUnity. Example uses include: bulletin-board style postings, organizational or team announcements, new service offerings and more.

AnalyticsDB

ProcessUnity's AnalyticsDB provides advanced analytics ability via a ProcessUnity-managed relational reporting database for use by external 3rd party reporting platforms and report writers (e.g., Tableau™, Oracle™, SSRS™, Cognos™, BO™, etc.). Being a cloud-managed reporting database, AnalyticsDB is “connection ready” to external reporting tools, and its content can be refreshed on demand, or automatically each night.

Configurable Email Gateway

A custom delivery mechanism in which all ProcessUnity-generated emails are routed to a single, customer SMTP gateway and then routed to the recipient according to customer-defined delivery workflows and protocols. Enabled in conjunction with the customer's IT department, benefits include enhanced legitimacy and credibility to recipients, customer-controlled email handling, and visual branding / reformatting. Allows your IT organization to own the email lifecycle and incorporate Out-of-Office handling, specialized routing, and message archiving needs.

Integration Hosting Service

ProcessUnity provides hosted hardware to support your custom integration requirements. With the help of our professional services team to build your integration requirements, your import and/or export job(s) reside on our hardware and run on a schedule of your choosing. All hardware is secured in our data center, and jobs are monitored and managed by ProcessUnity technical resources for your convenience.

Import/Export Services

Import/Export services provides the ability to import data into the system via "import templates" - a method to add or update data in bulk via CSV (comma separated values) file format. Bulk importing of data also supports "relationship" imports (allowing existing records to be linked together), as well as a variety of single-purpose import template types. Also provided is the ability to execute automated import/exports via batch scripts such as CURL that can be scheduled to automate the movement of data into and out of ProcessUnity. These easy-to-define templates are also the basis for deeper integration requirements including web-services, the Salesforce Connector, or the Excel Connector.

Salesforce Connector

ProcessUnity's Salesforce Connector provides a flexible method for building and scheduling integration workflows between ProcessUnity and Salesforce, and as a result, customers of both ProcessUnity and Salesforce can tightly integrate shared data in both of environments. The connector automates the data movement process using ProcessUnity's familiar import/export functionality and standard Salesforce.com APIs without requiring users to learn new programming techniques or unfamiliar reporting tools.

Web Services

For custom integration requirements, ProcessUnity's Web Services API allows customer IT organizations to programmatically design an integration workflow to push and/or pull data to/from ProcessUnity. This Web Services capability provides an easy-to-use WSDL making programmatic data exchange with ProcessUnity technically straightforward.

User Defined Objects

User defined objects provide customers with the ability to deploy custom data forms, workflow, and relationships to match individual business requirements that are not able to be deployed through the standard ProcessUnity RiskSuite platform. These objects can be renamed, configured, related to other objects, reported against, and secured all via the standard administration and settings areas within the application. These powerful extensions allow customers to tailor fit their unique requirements and extend their programs with flexible data forms and workflow, all without requiring developers or technical resources. Priced per object – up to 5 additional objects can be added.

Metrics

Metrics are hierarchically-stored collections of performance indicators and other captured information used to measure any organizational aspect of risk management (including KRI, KPI, SLA, SLC, etc.). Metrics provides configurable mechanisms and workflow to schedule ownership-based data collection, and the ability to create notifications for results that exceed thresholds or escalation levels.

Self-Service DB Archives

For organizations looking to self-manage archive instances available for immediate recall and access, Self-Service DB Archives provides an additional instance where snapshots can be taken from production and placed for retrieval and viewing. Self-Service DB Archives is useful for high risk and audit retention requirements where customers need access to archived data.

Lite User Auto-Provisioning

ProcessUnity's Auto-Provisioning capabilities streamline access management for customers with large or fluctuating Lite User populations. The platform add-on allows organizations to self-provision Lite Users automatically in Single Sign-on (SSO) environments, reducing administrative overhead and potential IT development and support.