

Policy Management Gold Package: Included Capabilities

The Policy & Procedure Management Gold package provides the most common capabilities for organizations with a standard policy & procedure management program who are looking to gain control of their policies and track the impact of those policies across the organization. Features include:

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.



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 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 on against the Policy and reported on for expiration and renewal.

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.

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.

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.

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.

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.

Import/Export Services

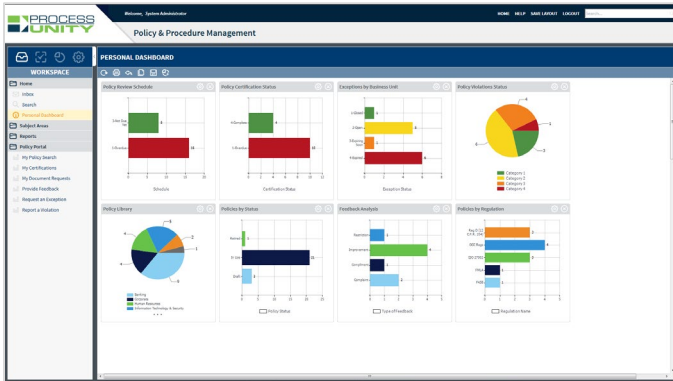
The ability to import data into the system via "import templates" - a method to add or update data in bulk via CSV (comma separated values) file format. Bulk importing of data also supports "relationship" imports (allowing existing records to be linked together), as well as a variety of single-purpose 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.

Regulations & Standards

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.

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 action required to be an active	3/1/2014	3/1/2014
2	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
3	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
4	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
5	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
6	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
7	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
8	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
9	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014
10	Information Technology & Security	Self-reported for action required to be an active	3/1/2014	3/1/2014

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.