

Policy Management Platinum Package: Included Capabilities

The Policy & Procedure Management Platinum package provides the highest level of risk management capabilities, offering customers a sustainable, long term platform to improve the effectiveness and efficiency of their policy & procedure management program. 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 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.

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.

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.

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

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.

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.

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.

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.

Exception Status	Policy/Procedure Category/Item Name	Exception Name	Exception Type	Exception Start Date	Exception End Date
Expired	Business	Information Security for employees' laptops	Privacy	3/15/2018	3/15/2018
Expired	Information Technology & Security	Delivery of Customer data	Data Access	3/15/2018	3/15/2018
Expired	Information Technology & Security	Email Management	Data Access	3/15/2018	3/15/2018
Expired	Information Technology & Security	Employee Login Access	Security	4/9/2018	4/9/2018
Expired	Information Technology & Security	Sharing Admin IDs	Security	3/15/2018	3/15/2018
Expired	Information Technology & Security	How employees can purchase products from vendors	Privacy	3/15/2018	3/15/2018
Expired	Information Technology & Security	General Computer Use Policies	Data Access	3/15/2018	3/15/2018
Expired	Customer	Customer CRM Lead	Customer	3/15/2018	3/15/2018
Expired	Customer	How to add a lead to CRM	Customer	3/15/2018	3/15/2018
Expired	Information Technology & Security	How to add a new user to the system	Data Access	3/15/2018	3/15/2018
Expired	Information Technology & Security	How to add a new user to the system	Security	3/15/2018	3/15/2018
Expired	Sales	Communication capabilities for new account lead acquisition	Security	12/12/2017	1/1/2018

External Components

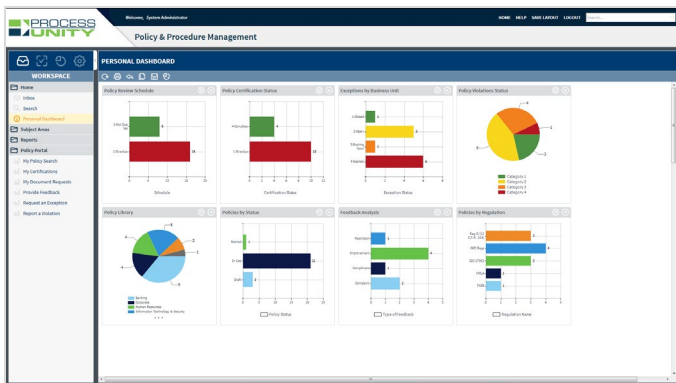
Customize your ProcessUnity instance with data widgets from outside systems, allowing users to view relevant business data in context and within the ProcessUnity framework. Some examples include market data, Google maps, news feeds, social media, etc. These components can be accessed directly from external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

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

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.