

version 10.6

PolicyTech Policy and Procedure Management Administrator's Guide



PolicyTech[®] 10.6 Administrator's Guide

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Introduction to the Administrator's Guide

The *Administrator's Guide* helps you efficiently set up and manage PolicyTech. To get started, please read the following introductory topics:

Who Should Use This Guide?

Installing PolicyTech

Logging In

Setting Preferences

Setting Up Document Access

"The Publishing Process" in the User's Guide

Getting Help

Who Should Use This Guide?

You will want to use the *Administrator's Guide* if you've been given one of the following system permissions within PolicyTech:

- Administrator (global or site)
- Category Owner
- Company / User
- System / IT
- Manager

Notes:

- See <u>Assigning System Permissions</u> for a description of each permission listed.
- If you've been assigned the Report Manager permission, see the <u>Reports Supplement</u>.

The table below lists the sections that are applicable to each of these permissions.

Permission	Applicable Chapters
Administrator, Global	All
Administrator, Site	All except "System and IT Settings"
Category	Categories
Company / User	Company Setup, User Setup

System / IT	System and IT Settings
Manager	<u>User Manager</u>

Installing PolicyTech

This guide assumes that PolicyTech has already been installed at your site or that your organization has opted to have your PolicyTech installation hosted by NAVEX Global. If you need installation help, go to the <u>Client Resource Center</u> or call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

Logging In

PolicyTech is a web-based application, and you can access it using the latest versions of one of the following browsers:

- Microsoft[®] Internet Explorer[®]
- Google Chrome[™]
- Mozilla Firefox[®]

Note: Firefox can be used to view documents PolicyTech documents but not edit them.

To log in,

- 1. If you don't already have it, obtain the PolicyTech URL from your network administrator.
- 2. Enter the URL on the address line of your browser.
- 3. At the login prompt, type your user name and password, and then click **Log** in.

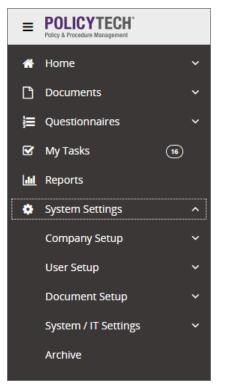
Note: If you happen to get a message asking for the configuration user name and password, submit a support ticket at

https://navexglobal.force.com/crc/crc_newCase or call 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

POLICYTECH TM Policy & Procedure Management		
Username		
Password		
Language (Choose your language)		
English (English)	• Log in	
	Forgot password?	

Working with System Settings

Most of the work of setting up PolicyTech is done in **System Settings**.



The following are the sections corresponding with each System Settings area:

Company Setup User Setup Document Setup

System and IT Settings

Setting Up Document Access

Accessing Documents via WordModulePlus

WordModule*Plus* is an ActiveX[®] module that enables the following PolicyTech functionality:

- Create, edit, and view Microsoft[®] Word and Excel[®] documents from within PolicyTech.
- Launch Microsoft PowerPoint[®] and Visio[®] files from within PolicyTech, with the file opening in PowerPoint or Visio outside the browser. Saving the file in PowerPoint or Visio automatically updates the file in PolicyTech.
- Launch any other file type from within PolicyTech, with the file opening in the operating system's default application for the file's extension. After editing and saving a file that is not a Word, Excel, PowerPoint, or Visio file, a user must upload that file into PolicyTech again to replace the previous version. (This functionality is not enabled by default. See <u>Enabling Other</u> <u>File Types</u> below for details.)

Installing WordModulePlus On Demand

Users are prompted to download and install **WordModule***Plus* the first time they attempt to create or open a Word or Excel document. They can follow the prompts to install the module and then continue working where they left off in PolicyTech.

Important: Users must have **Local Administrator** rights in order to successfully install **WordModule***Plus*. Without **Local Administrator** rights, users still see the installation prompt and can click the **Install** button, but the usual result is that installation appears to start but never completes.

Installing WordModulePlus via Active Directory

An alternative to having users install the module on demand is to use the **Group Policy** feature of Active Directory[®] to distribute **WordModulePlus**.

- 1. <u>Download</u> and unzip the Windows Installer (MSI) package for **WordModule***Plus*.
- 2. Use **Group Policy** in Active Directory to assign the MSI package to PolicyTech users or computers within a domain.

Important: It is not within the scope of this guide to instruct on how to use Active Directory. If you need help, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123 and request the

document for their preferred method of configuring a group policy to allow users to install and manage **WordModule***Plus*. You can also refer to the following Microsoft knowledge base article: http://support.microsoft.com/kb/302430.

3. Depending on the installer package assignment, notify all users that, before they can use **WordModule***Plus*, they must either log out and log in again if you assigned the installer package to users, or reboot their computers if you assigned the installer package to computers.

Enabling Other File Types

You can enable PolicyTech to launch and sync the editing (automatically save changes back to the PolicyTech database) of any file with a file name extension for which Windows can assign a default application. For details, call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

Accessing Documents From SharePoint

You can use the Page Viewer Web Part to access documents directly from PolicyTech in a SharePoint[®] portal. See <u>Appendix E: SharePoint Integration</u> for details.

Getting Help

For links to all help resources, see <u>Help and Support</u>. Instructions are included below for how to use the online **Help**.

Using In-Product Help

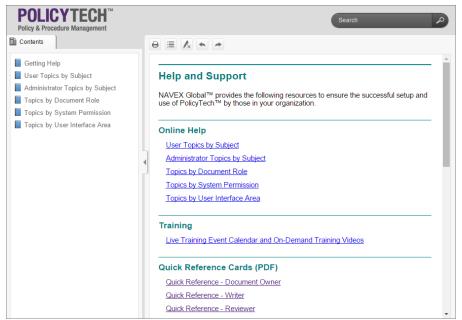
You can find answers to many of your questions by using the **Help** feature, which you can access in the following ways:

 Near the upper right corner, click your user name, and then click Help. Browse the table of contents or search for a specific topic.

Main Help Link

💄 Douglas Johnson 🔻			
	-	My Profile	
	0	About	
	0	Help	
on	ወ	Sign Out	





 Click Help at the top of the currently displayed list or window to get specific help with what you're currently working on.

List Help

Departments		
Corporate Headquarters	Choose a department or an action	
[Corporate Headquarters]	I I	
Accounting		
 Administration 		
Disaster Recovery		
Educational Resources		
Engineering		
Environmental Services		
Fiscal Services		
 Human Resources 		
Installations		
 Manufacturing 		
Operations		

Window Help

awna Gifford			@
General Information	Roles System Permissions	Proxy Settings Manage	r
BASIC INFORMATIO	N		
First Name	Middle Name	Last Name	Email Address
Tawna		Gifford	tg@email.com
Username	Password	Unique Employee ID	
******	*******	5	
Corporate Headquarters	Accounting		~
Site Corporate Headquarters	Department V Accounting	Job Title (Accounting)	~
Additional Departments or J	ob Titles for Tawna Gifford (0)		
OTHER SETTINGS			
Domain	Language		
None	English (English) V	Lock user out of system	
Custom Attributes			
		Archive	Save Save and Close Next

Customer Support Contact Information

Important: Only a PolicyTech administrator designated by your organization as an authorized contact can communicate with Customer Support. If you have a question or issue, please contact your PolicyTech administrator, who can then contact Customer Support if he or she cannot resolve the issue.

Customer Resource Center Email: policytech@navexglobal.com Toll-free: 888-359-8123 (in the U.S. and Canada) Local: 208-359-8123

Company Setup

Refer to the following sections for details on setting up company preferences:

<u>General Properties</u> <u>Working with Sites</u> <u>Working with Departments</u> <u>Working with Department Groups</u> <u>Working with Job Titles</u> Working with Custom Links

General Properties

To set up general properties,

1. Click System Settings, click Company Setup, and then click General Properties.

E POLICYTECH	GENERAL PROPERTIES	💧 Douglas Johnson	
🖶 Home	General Properties Notification Messages Dashboards	0	
Documents	General Properties Notification Messages Dashboards		
Questionnaires	ORGANIZATION SETUP		
My Tasks 16	Business Title		
🔟 Reports			
System Settings	Document Arrangement ① O Display all items, regardless of document count.		
Company Setup	Only display items assigned to documents.		
General Properties	 Display document count next to items. Filter the user's document list by their assigned department(s). 		
Sites	Filter the user's document list by their assigned language.		
Departments	Automatically load the document list on the Browse screen. Restrict users to viewing documents within their site(s).		
	Search feature always searches all fields		

2. Click a tab, and then refer to one of the following sections for further instructions:

<u>General Properties Settings</u> <u>Notification Messages Settings</u> (available only if your PolicyTech system is hosted by NAVEX Global) Dashboards Settings

3. When finished with changes, click **Save**.

General Properties Settings

General Properties settings are divided into the following groups:

Organization Setup

System-Wide Regional Settings

Login Logo

Default Document Logo

Organization Setup

Business Title. In the Business Title box, type your organization's name.

Business Title		
NAVEX Global		
·		

The text you enter here is used in several locations, including the **Properties** page of the document **Overview** and welcome emails. The business title is also available to insert into documents using **Insert Properties**.

Document Arrangement. The **Document Arrangement** options let you control which items and documents or questionnaires are displayed when browsing.

Document Arrangement 🕄
O Display all items, regardless of document count.
Only display items assigned to documents.
Display document count next to items.
Filter the user's document list by their assigned department(s).
Filter the user's document list by their assigned language.
Automatically load the document list on the Browse screen.
Restrict users to viewing documents within their site(s).
Search feature always searches all fields

 When browsing for a document or questionnaire, users can choose to arrange results by one of many properties, such as what department or category the document/questionnaire is assigned to.

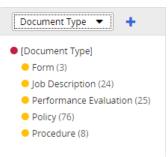
Arrange by
Departments
Template
Document Owner
Writer
Reviewer
Approver
All Categories
Document Type
FLSA
0000 OZI
OSHA
Sarbanes-Oxley Guidelines
Cancel

Selecting a property displays a list of all the items, or options, that can be assigned for that property. In the example below, **Departments** is the selected property.



By default, only those properties with documents or questionnaires assigned to them appear in the **Arrange by** list. To change this setting, click **Display all items, regardless of document count**.

 By default the number of documents or questionnaires assigned to each item in an Arrange by list is displayed, as shown below.



To disable this feature, click to clear the **Display document count next to items** check box.

- By default, users can see unrestricted documents and questionnaires (with the All Users security level assigned) in all departments. If you want to restrict all users to viewing only the documents/questionnaires in their assigned departments, select Filter users' document lists by their assigned department(s).
- By default, users also see documents/questionnaires in all languages. To limit the display of documents/questionnaires to only those in the user's preferred language, select Filter the user's document list by their assigned language.

Important: This setting applies to all users, except those assigned the **Administrator** or **View Docs All Departments** permission (see <u>Assigning</u> <u>System Permissions</u> for details on assigning permissions to users).

- When a user first accesses Browse after logging in, that user's default Browse arrangement is displayed, but no documents/questionnaires are displayed in the grid until the user clicks one of the Arrange by items (such as clicking a department name when arranged by departments). To have PolicyTech immediately load a list of all documents/questionnaires matching users' default browse arrangements, select Automatically load the document list on the Browse screen.
- When using Browse or Search, a user can only find documents assigned to the site or sites that user has been assigned to. However, if a PolicyTech user shares a document's URL with another user, by default that other user can always access the document directly by entering the URL in a browser, regardless of his or her site assignments. To also enforce site restrictions on documents accessed by URL, select Restrict users to viewing documents within their site(s).
- By default, users can select in My Profile which document element document title, full text, keywords, or reference number—to target when

using **Search** and **Find**. To lock targeted search fields for all users, select **Search feature always searches all fields**.

System-Wide Regional Settings

Choose the time zone, time format, date format, and language settings you want to appear as the default settings for each site you add. You can override these settings when you create a site (see <u>Adding a Site</u> for details).

SYSTEM-WIDE REGIONAL SETTINGS ()
Time Zone
-05:00 America/New_York 🔹
Time Format
HH:MM am/pm
Date Format
MM/DD/YYYY v
Language
English (English)

Login Logo

You can upload a graphic file, such as a company logo, that will be displayed above the login box, as shown in the example below.

Dicy & Procedure Management Username Password Log In Forgot password?	Company Logo Tag Line	My
	Procedure Management	Policy 4 Username
Privacy Statement Terms of Use	Forgot password?	

1. For **Image Justify**, click **Center**, **Left** (aligned with the left edge of the login box), or **Right** (aligned with the right edge of the login box).

Important: The box that holds the login logo is set at 400 pixels wide (the same width as the login dialog box below it), but the height will adjust automatically. If you upload a graphic that is wider than 400 pixels, the **Image Justify** option will have no effect. The left edge of the image will be aligned with the left edge of the login dialog box.

LOGIN LOGO ()	
Image Justify	
Center	•
Select Image Browse	
Preview 🖻	
My Company Logo Tag Line	

- 2. Use **Browse** to find and select the image file.
- 3. Click **Open**. A preview of the login logo is displayed.

Note: To remove the currently selected logo, click i after **Preview**. To replace it, simply upload another graphic file.

Default Document Logo

Default Document Logo

You can upload a graphic file, such as a company logo, that users can then insert into documents and document templates.

DEFAULT DOCUMENT LOGO 3		
Select Image		
Browse		

- 1. Use **Browse** to find and select the image file.
- 2. Click Open. A preview of the new default logo is displayed.

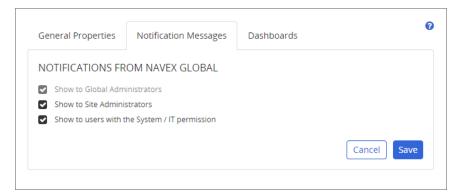
Note: To remove the currently selected logo, click i after Preview. To

replace it, simply upload another graphic file.

Notification Messages Settings

These settings control who sees alerts sent by NAVEX Global to inform of upcoming events, such as software updates and upgrades.

Note: You will see the **Notification Messages** tab only if your site is hosted by NAVEX Global.



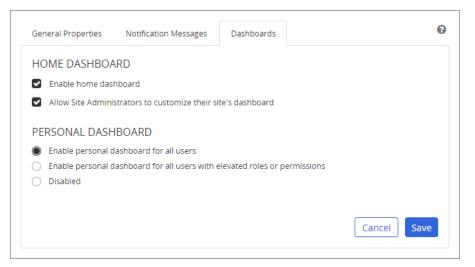
The **Show to Global Administrators** option is selected by default and cannot be changed, meaning that users assigned the Administrator permission for all sites (global permissions) will always see NAVEX Global alerts.

To hide alerts from users assigned the Administrator permission for one or more individual sites, click to clear the **Show to Site Administrators** check box.

To hide alerts from users assigned the System / IT permission, click to clear the **Show to users with the System / IT permission** check box.

Dashboard Settings

A dashboard provides at-a-glance insights into document workflow status and quick access to key reports and documents. You can enable either or both the home dashboard and personal dashboards.

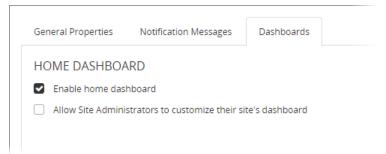


If you enable the home dashboard, continue with "Setting Up a Home Dashboard" below.

If you enable personal dashboards, refer users to the "Setting Up a Personal Dashboard" section of the User's Guide.

Setting Up a Home Dashboard

The home (system default) dashboard is available to all users at all sites by clicking **Home** and can be set up and modified (see <u>Setting Up the System</u> <u>Default Home Dashboard</u> below) only by a global administrator with permissions for all sites.



The home dashboard is enabled by default. To disable it, click to clear the **Enable home dashboard** check box.

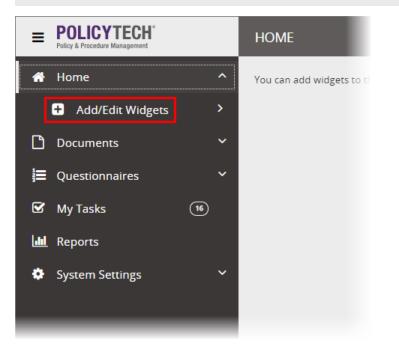
Select **Allow Site Administrators to customize their site's dashboard** to enable the creation of site-specific home dashboards that override the system-wide dashboard. A site dashboard can be set up or modified by any site administrator (see <u>Setting Up the Home Dashboard for a Site</u> below).

Note: The site-specific dashboard option is only available when **Enable** home dashboard is selected.

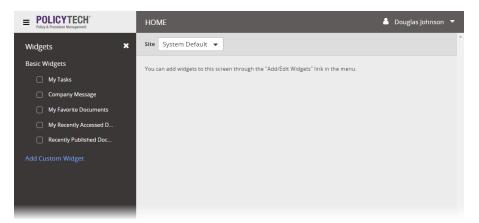
Setting Up the System Default Home Dashboard

- 1. Log in as a global administrator (with permission to control all sites).
- 2. Click Home, and then click Add/Edit Widgets.

Note: A widget is a compact view you can add to and arrange in a dashboard.



3. Under **Basic Widgets**, select the widgets you want to add (see <u>Basic</u> <u>Widget Descriptions</u> below).

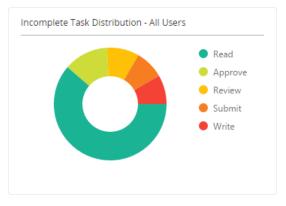


4. (Optional) You'll see a **My Saved Reports** section below **Basic Widgets** if you've saved any of the following reports types.

- Tasks by Document Current
- Tasks by Document All Tasks
- Tasks by User Current
- Tasks by User All Tasks

If desired, add saved report widgets.

Note: For security reasons, a saved report widget contains only high-level summary data, and the **View Report** link is available only to the report creator.

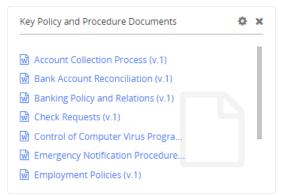


A custom widget is similar to the **Company Message** widget, in that you can enter a title and body text (one language only), but you can also add a list of the documents assigned to a specific category.

- 5. (Optional) Add a custom widget.
 - a. Click Add Custom Widget, and then type the title and body text.

Custom Widget	×
Widget Title	
Body	
 Include a list of published documents from a certain category (limited to the first 100 ordered alphabetically by title) 	
Cancel	

- b. If desired, select **Include a list of published documents from a certain category**, and then select a category.
- c. Click Save.



6. When you're done adding widgets, arrange them by clicking on a widget header and dragging the widget to a new position.

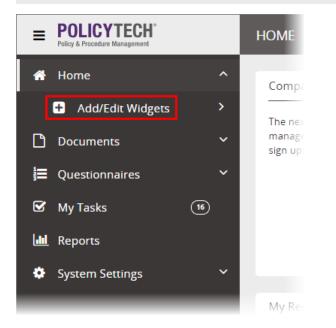
POLICYTECH [®] Policy & Procedure Management	HOME	💧 Douglas Johnson 🔻
Widgets 🗙	Site System Default 💌	•
Basic Widgets My Tasks Save the date! My Favorite Documents My Recently Accessed D Recently Published Doc My Saved Reports Incomplete Task Distri	Save the date!	My Favorite Documents \chi Account Collections Form (v. 1) Characteristic form (v. 1) Characteristic form (v. 1) Fair Trade Policy (v. 1) Safety Guidelines (v. 1)
Custom Widgets Key Policy and Procedu Add Custom Widget	My Recently Accessed Documents	Key Policy and Procedure Documents Image: Construction of the second
		X GLOBAL' ms of Use Policy Share

7. When finished, at the top of the Widgets menu, click X.

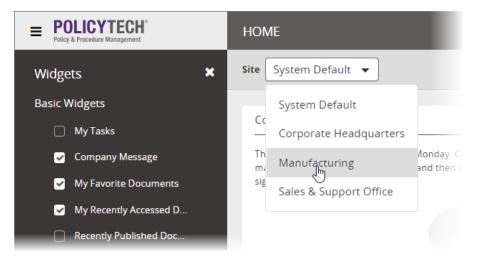
Setting Up the Home Dashboard for a Site

- 1. Log in as a site administrator.
- 2. Click Home, and then click Add/Edit Widgets.

Note: A widget is a compact view you can add to and arrange in a dashboard.



3. If you have the Administrator permission for multiple sites, the home dashboard for your primary site (the one you're assigned to in User Manager) is displayed by default. For **Site**, select the site whose dashboard you want to set up.



For the site-specific dashboard, you start with a new, blank area with no widgets selected. If you'd like to see the system default dashboard for reference, for **Site**, select **System Default**. Switch back to the site dashboard when you're ready to continue.

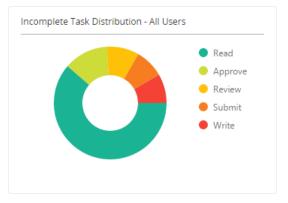
4. Under **Basic Widgets**, select the widgets you want to add (see <u>Basic</u> <u>Widget Descriptions</u> below).

POLICYTECH [®] Procedure Management	HOME 🛔 Douglas johnson 👻			
Widgets 🗶	Site Sales & Support Office 🔻			
Basic Widgets	This site is using the System Default settings. You can override the System Default settings and add widgets to this screen through the			
My Tasks	"Add/Edit Widgets" link in the menu.			
Company Message				
My Favorite Documents				
My Recently Accessed D				
Recently Published Doc				
My Saved Reports				
Incomplete Task Distri				
Add Custom Widget				

- 5. (Optional) You'll see a **My Saved Reports** section below **Basic Widgets** if you've saved any of the following reports types.
 - Tasks by Document Current
 - Tasks by Document All Tasks
 - Tasks by User Current
 - Tasks by User All Tasks

If desired, add saved report widgets.

Note: For security reasons, a saved report widget contains only high-level summary data, and the **View Report** link is available only to the report creator.

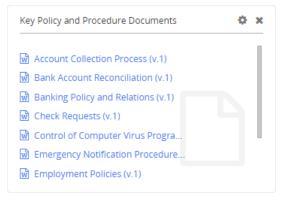


A custom widget is similar to the Company Message widget, in that you can enter a title and body text (one language only), but you can also add a list of the documents assigned to a specific category.

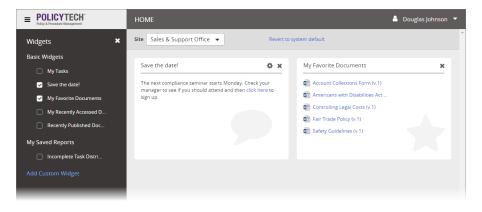
- 5. (Optional) Add a custom widget.
 - a. Click Add Custom Widget, and then type the title and body text.

Custom Widget	×
Widget Title	
]
Body	
	J
 Include a list of published documents from a certain category (limited to the first 100 ordered alphabetically by title) 	
Cancel Save	

- b. If desired, select **Include a list of published documents from a certain category**, and then select a category.
- c. Click Save.



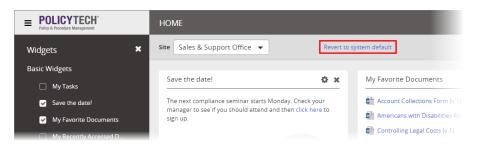
6. When you're done adding widgets, arrange them by clicking on a widget header and dragging it to a new position.



7. When finished, at the top of the **Widgets** menu, click X.

Reverting a Site Dashboard to the System Default

- 1. Log in as a site administrator.
- 2. Click Home, and then click Add/Edit Widgets.
- 3. If you're an administrator for multiple sites, for **Site**, select the site whose home dashboard you want to revert.
- 4. Click Revert to system default.

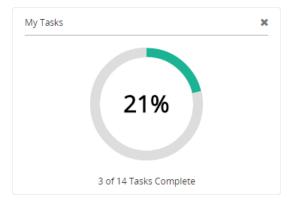


5. At the top of the Widgets menu, click X.

Basic Widget Descriptions

Some basic widgets will have essentially the same contents for all users (Company Message and Recently Published Documents), while others will show information specific to the currently logged in user (My Tasks, My Favorite Documents, and My Recently Accessed Documents). The structure and content of all basic widgets except Company Message are preset and cannot be modified.

My Tasks: Shows the percentage of the user's assigned tasks for the past year that have been completed.



Company Message: Adds text in the form of a subject and body that you can edit to provide a general announcement or reminder.

Important: If you're a site administrator setting up a site dashboard, you can add the Company Message widget but not edit it. Also, the global

administrator may have changed this widget's default header from "Company Message" to something more specific.

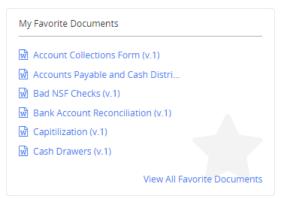
Save the date!	¢ ×
The next compliance seminar starts Monday. your manager to see if you should attend and here to sign up.	

To edit the text, in the widget header, click , click **Edit Header** or **Edit Body**, make your changes, and then click **Save**.

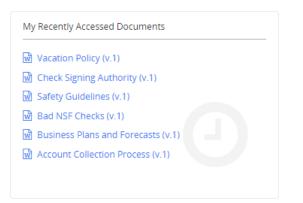
Notes:

- If you have multiple languages enabled, you'll see multiple text boxes one for each language. The language a user sees is determined by the Language setting in My Profile.
- You can use basic HTML codes in the Company Message widget, such as font styles, lists, and hyperlinks.

My Favorite Documents: Lists the first six documents alphabetically that the user has marked as favorites. The user can click a title to open a document. If the user has more than six favorites, a **View All Favorite Documents** link is available.



My Recently Accessed Documents: Lists the last six documents and questionnaires the user has opened. The user can click a title to reopen the document/questionnaire.



Recently Published Documents: Lists the last 25 documents/questionnaires that have been approved and published. Users see only those documents/questionnaires they currently have access to by virtue of their assigned roles and permissions and each document's/questionnaire's settings.



Working with Sites

You can think of a site as a container holding all the departments, users, job titles, categories, and documents specific to a particular location.

Single Site or Multiple Sites?

Single Site or Multiple Sites?

Deciding whether to stick with a single site or create multiple sites can be a challenge, because there are so many factors to consider. Listed below are some of the benefits of single- and multiple-site configurations:

Benefits of a Single-Site Configuration

- Less complexity, making the system easier to set up and maintain
- Easier for users to find documents if document volume is relatively low

Benefits of a Multiple-Site Configuration

- Added security for location-specific documents, as users from one site cannot access documents from another site unless they are explicitly granted that permission
- Faster searches for high-volume document repositories
- Less confusion from duplicate document titles that may occur when multiple locations create the same types of location-specific documents
- A possible better match with Active Directory[®] or your human resources database structure

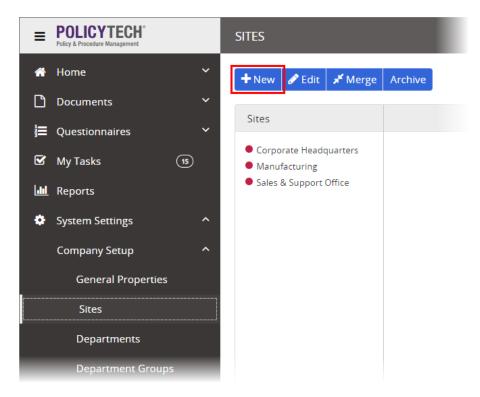
You will want to carefully consider these factors and others before you decide which configuration is best for your organization. We highly recommend that you contact one of our experienced implementation specialists (call 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123) to ensure that you have considered as many factors as possible.

Refer to the following topics for details on the tasks related to working with sites:

Adding a Site Editing Site Settings Merging Sites Archiving a Site Adding a Site

To add a site,

- 1. Click System Settings, click Company Setup, and then click Sites.
- 2. Click New.



- 3. Add information in the following areas, which are described in the sections that follow. Keep in mind that these settings apply only to the site you are currently creating.
 - Default Display Options
 - Basic Search
 - Regional Settings
 - Anonymous Access
 - Public Viewer
 - Document Logo
- 4. Click Save.

Site Information

SITE INFORMATIO	ON		
Name			
Reference ID			

In the **Name** box, type the name that will be used to uniquely identify this site within PolicyTech.

The reference ID is used only by the **Automated User Synchronization** feature. Its purpose is to allow the site name in a snyc file to be different than the PolicyTech site name. In other words, the reference ID may or may not be the same as the site name. When users are imported from a sync file, they are assigned to sites based on site reference IDs rather than site names. (See <u>Automated User Sync for a Hosted (SaaS) PolicyTech System</u> for complete details.) If you do not use **Automated User Synchronization**, we suggest that the site name and reference ID be the same.

Default Display Options

DEFAULT DISPLAY OPTIONS	
Default View 🕄	
Documents - Browse	•
Filter by Language	
(Default)	•

Note: Users assigned to this site inherit these settings as defaults but can override them with the corresponding options in **My Profile**.

Default View

The **Default View** options correspond to most of the options in the left panel of the main PolicyTech screen and determine which is selected and displayed when users log in.

DEFAULT DISPLAY OPTIONS				
Default View 🚯				
Documents - Browse	•			
Home Documents - Search				
Documents - Browse Documents - Favorites				
Doc Que Que Policy & Procedure Management	SEARCH			
My [*] Rep 🖀 Home 💙				
Documents ^				
Q Search				
🗅 Browse		Site Corporate Headquarters 👻	My Relationship All 👻	Status Published 👻
🛨 Favorites		Search		
🕐 Recent				
+ New				
Questionnaires Y				
My Tasks (16)				

Filter by Language

When set to **Yes**, this option hides documents and questionnaires that are not in a user's preferred language. When set to **No**, users see all documents/questionnaires regardless of their assigned languages.

Note: When a site is first added, it inherits the language filtering setting from **General Properties** in **Company Setup** (see <u>General Properties</u>). Thus, the site's initial **Filter by Language** setting is **(Default)**.

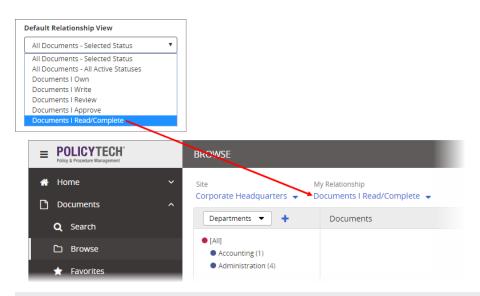
Search/Browse Options

SEARCH/BROWSE OPTIONS	
Default Relationship View	
All Documents - Selected Status	~
Default Search/Find Field	
Full Text	~
Default Browse Arrangement	
Departments	~
Limit find to selected item in arrangement	

Note: Users assigned to this site inherit these settings as defaults but can override them with the corresponding options in **My Profile**.

Default Relationship View

This setting determines the default **My Relationship** setting in **Search** and **Browse**. To set a default relationship view that applies to all users and not just those with specific role assignments, select either **All Documents - Selected Status**, **All Documents - All Active Statuses**, or **Documents I Read/Complete**.



Note: If a user is not assigned the document role corresponding with the default relationship view, **My Relationship** will default to **All Documents -Selected Status** for that user. For example, if you select **Documents I Approve** as the site default, the default **My Relationship** setting for a user with only the **Assignee** role will be **All Documents - Selected Status**.

Default Search/Find Field

This setting determines the default **Search Field** setting for both **Search** and the **Find** feature in **Browse**.

Note: If the Search feature always searches all fields option is selected in General Properties in Company Setup (see <u>General Properties</u> <u>Settings</u>), that option overrides the **Default Search/Find Field** selection for a specific site.

Default Search/Find Field Title Full Telt Keywordt Reference# All of the appre	
SEARCH Douglas Johnson -	
Site McRelationship Status Main Office All - Published - Search	
BROWSE A Doug as Johnson Site Corporate Headquarters Documents I Read/Complete	•
Find Q •• Departments • Documents • [All] • • Accord Find • Acm Find	1
Find Site My Relationship	
Corporate Headquarters All Status Published Limit find to selected item in arrangement	
Cancel	

Default Browse Arrangement

These options correspond to the **Arrange by** options in a **Browse** document list and determine which is selected and in effect when a user first accesses **Browse** after login.

Default Browse Arrangement			
Departments	•		
Departments Template Document Owner Writer Reviewer Approver Category	ROWSE		_
All Categories Custom			
DCA Arrangement	Site Corporate Headquarters 🔻	My Relationship All 🔻	Status Published 🔻
	Departments 💌 🕇		Documents
	 [All Documents] Accounting (15) Administration (9) Fiscal Services (1) Human Resources (1) 		

Limit Find

This setting determines whether the Limit find to selected item in arrangement option in Browse is selected by default.

Regional Settings

When you create a site, it inherits the current settings in <u>System-Wide Regional</u> <u>Settings</u> in **General Properties**, and all the site regional settings say (**Default**). You can change any of these settings for the current site.

REGIONAL SETTINGS Time Zone	
(Default)	~
Time Format	
(Default)	~
Date Format	
(Default)	~
Language	
(Default)	~

Anonymous Access

You can set up the site so that anyone (including PolicyTech users) can access any published document assigned the **All Users** or **Public** security level. An

anonymous user needs only the site URL to access that site's published documents; no user name or password is required.

Note: Both **Anonymous Access** and **Public Viewer** (see <u>Public Viewer</u>) allow those who are not defined as PolicyTech users to access documents in the PolicyTech repository through a special URL. The difference between the two is that **Anonymous Access** allows access to documents with both the **All Users** and **Public** security levels, while **Public Viewer** limits access to only those documents with the **Public** security level. Also, **Anonymous Access** is included with your PolicyTech purchase, while **Public Viewer** is a separately purchased add-on.

ANONYMOUS ACCESS Turn on Anonymous Access for this site 3
Site URL 🚯
https:// .policytech.com/D/?anonymous=true&siteid=1
IP Range(s) 🚯

- 1. To enable anonymous access, select **Turn on Anonymous Access for this site**.
- 2. In the **IP Range(s)** box, type the range of IP addresses you want to be able to access this site anonymously.

Note: Each computer on a network has its own IP address, which belongs to a specific range of IP addresses assigned to the organization hosting the network. To ensure that only intended users can access PolicyTech site anonymously, you must provide a range, or ranges, that contains the computer IP addresses of any users to whom you want to give anonymous access. To obtain an IP address range, contact the network administrator of the organization whose users will be accessing this site anonymously. See "IP Range Syntax" below for details on how to format IP address ranges.

3. If a URL is not already displayed in the **Site URL** box, click **Save**, and then click the site name to show its details. The URL should now be displayed. You will need to provide this URL to all users who will be accessing this site anonymously.

Note: PolicyTech automatically generates the site URL the first time you save the site. You cannot change or delete the URL.

IP Range Syntax

You can use both IPv4 (32 bit) and IPv6 (128 bit) IP address formats to specify a range. Type the lower limit of the IP range first, followed by a dash and then the upper limit of the IP range, as shown below. (Each number has been replaced with an x in the example.)

XX.X.X.XX-XX.X.X.XX

To include multiple ranges, separate each range with a comma. Do not include a space before or after the comma.

XX.X.X.XX-XX.X.X.XX,XXX.XX.XX.XX.XX.XX.XX.XX

Public Viewer

PUBLIC VIE	WER	
Site URL 🕄		
https://	.policytech.com/?public=true&siteid=1	

Important: You will only see the **Public Viewer** area if the **Public Viewer** add-on module has been purchased and enabled. See <u>Module Manager</u> for more information.

You can set up the site so that anyone who is not a PolicyTech user can access any published document assigned the **Public** security level. A public viewer needs only the site URL to access the site's published documents—no user name or password is required.

Note: The Site URL is automatically generated and cannot be changed.

Document Logo

You can select a graphic file, such as a company logo, that users can then insert into documents and document templates. You can either use the graphic file (if any) uploaded in **General Properties** of **Company Setup** (see "Document Logo" in the "General Properties" section) or upload a different graphic file for the current site.

Use the Logo from General Properties

Click Import Default Logo. The imported logo appears in the Preview area.

DOCUMENT LOGO ()		
Import Default Logo		
	Browse	Upload File
Preview 		

Note: If a logo file has not been uploaded in **General Properties**, you will see an alert instead of seeing a file preview. Click **OK** to clear the alert and then either upload a logo for this site (see next section) or upload a logo in **General Properties** and then repeat these steps.

Upload a Site-Specific Logo

- 1. Use **Browse** to find and select an image file.
- 2. Click Upload File. A preview of the new default logo is displayed.

Notes:

- See "Logo" in the "Appendix: Document Property Details" topic in the User's Guide for details on inserting the default site logo into a document.
- There can only be one default site logo at a time. If you upload another file, it replaces the existing one. Be aware that replacing an existing default logo with a graphic of a different size could adversely affect the formatting of existing documents containing the default logo.
- To delete the current default logo, click in the **Preview** area.

Editing Site Settings

- 1. Click System Settings, click Company Setup, and then click Sites.
- 2. Click the site you want to edit.

POLICYTECH Policy & Procedure Management	SITES	🛔 Douglas Johnso	n 🔻
Home Y	+ New 🖋 Edit 🖈 Merge	Archive	0
📜 Questionnaires 🗸 🗸	Sites	Edit Site - Corporate Headquarters	
☑ My Tasks 🕫	Corporate Headquarters Manufacturing Sales & Support Office	SITE INFORMATION Name	L
Liui Reports		Corporate Headquarters	L
Company Setup ^		Reference ID Corporate Headquarters	L
General Properties Sites		DEFAULT DISPLAY OPTIONS	
Departments		Default View 🖲 Documents - Browse	
Department Groups			

- 4. Make the desired changes (see Adding a Site for details on each setting).
- 5. Click Save.

Merging Sites

When merging one or more sites into another site (the target site), all of the users, departments, categories, templates, and documents assigned to the sites to be merged will be reassigned to the target site. The sites to be merged will be deleted, with the target site remaining.

Important: A site that is merged into another is not placed in the **Archive** and can only be restored by restoring a backup database.

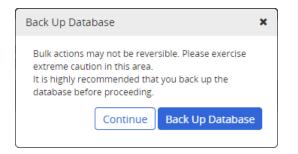
Note: For a merge to be successful, the site being merged cannot contain any departments or job titles that are the same as those in the target site. If you know of duplicate names, you can rename or archive duplicates before performing the merge. If you don't know of any duplicate names, go ahead and perform the merge. If there are duplicates, you will see a list of the duplicate departments and job titles that you must rename or archive before the merge can be completed.

To merge sites,

- 1. Click System Settings, click Company Setup, and then click Sites.
- 2. Click Merge.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Ple extreme caution in this area.	ase exercise
	Continue



- 3. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 and 2 above. Then, on this step, click Continue.
- 4. In the site list on the left, select the sites to be merged.

+ New 🖋 Edit 🖈 Merge	Archive	8
Sites	Merge Sites	
 Corporate Headquarters Manufacturing Sales & Support Office 	Sites to be Merged: Sales & Support Office Manufacturing	<u>↓</u>
	Merge the above sites into the following site	
	Corporate Headquarters	
	Cancel	erge

- 5. In the lower box of the Merge Sites window, click the target site.
- 6. Click Merge, and then click OK.

Note: If you see a list of duplicate departments or job titles, rename or archive them from the site to be merged, and then try the merge again. If you archive duplicate departments or job titles, you must also delete them from the **Archive** before the merge can be successfully completed (see <u>The Archive</u>).

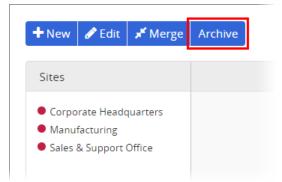
Archiving a Site

Important: If any of the following are assigned to a site, you must reassign or archive them before you can archive that site.

- Users
- Documents
- Departments
- Categories
- Templates

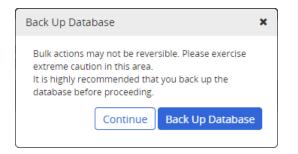
To archive a site,

- 1. Click System Settings, click Company Setup, and then click Sites.
- 2. Click Archive.



You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Plea extreme caution in this area.	
	Continue



- 3. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 and 2 above. Then, on this step, click Continue.
- 4. Select a site.
- 5. Click the red **Archive** button, and then click **OK**.

Sites	Archive	
 Corporate Headquarters Manufacturing Sales & Support Office 	The following have been marked for archival: Sales & Support Office Cancel	Live

Notes:

- If you see a Please correct the following message, take the necessary corrective actions and then try archiving the site again.
- See <u>The Archive</u> for details on restoring or permanently deleting a site.

Working with Departments

You can create departments in PolicyTech that mirror the departments or other organizational units in your company. You can also create a hierarchy of departments with levels of subdepartments.

Keep in mind the following when working with departments:

- Each user, document, and questionnaire must be assigned to a department.
- A user can assign a task to a department rather assigning the task to each user in the department individually.
- When a task is assigned to a department, users who are later added to the department are automatically assigned that task.

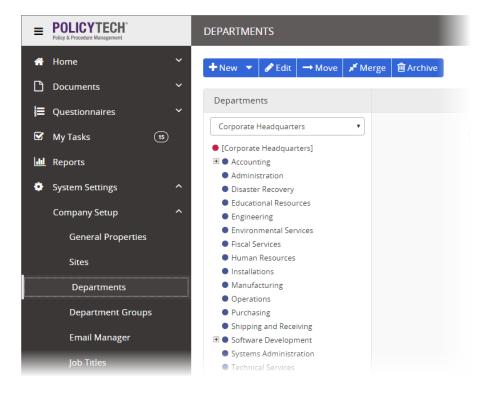
Refer to the following topics for details on working with departments:

Adding a Department Editing a Department Moving a Department Merging Departments Deleting a Department

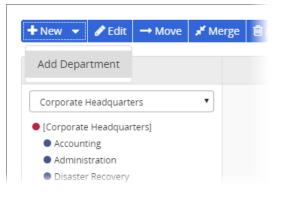
Adding a Department

Note: You can automatically create departments in PolicyTech by importing users from Active Directory[®] or a human resources database. See <u>Importing</u> and Syncing Users from Another Database for details.

- 1. Click System Settings, click Company Setup, and then click Departments.
- 2. If multiple sites exist, select the site you want to add a department to.



- 3. Do one of the following:
 - If you're adding a top-level department, click New, and then click Add Department.



If you're adding a subdepartment, click the department you want to add the subdepartment to, click New, and then click Add Subdepartment.

• New 👻 🖋 Edit 🛛 → N	love	,≓ Me	rge	Archive
Add Department			Ed	lit Departmen
Add Sub Department		¥	De	partment Nam
 [Corporate Headquarters] 				Accounting
Accounting				
Administration			Re	ference ID
Disaster Recovery				
Educational Resources			1	Accounting

4. Type a department name.

Departments	Add Department to 'Corporate Headquarters'	
Corporate Headquarters	• Department Name	
[Corporate Headquarters]	Research	Add
Accounting Administration		
Disaster Recovery	Reference ID	
Educational Resources	Research	
 Engineering 		
Environmental Services	Departments	Ē
Fiscal Services		*
Human Resources		· · · · · · · · · · · · · · · · · · ·
Installations		
 Manufacturing Operations 		Cancel Save
Purchasing		
 Shipping and Receiving 		
Software Development		
Systems Administration		
Technical Services		

Note: Notice that the department name you type is copied into the **Reference ID** box. The reference ID is used only by the **Automated User Synchronization** feature. Its purpose is to allow the department name in a sync file to be different than the PolicyTech department name. In other words, the reference ID may or may not be the same as the department name. When users are imported from a sync file, they are assigned to departments based on department reference IDs rather than department names. (See <u>Automated User Synchronization</u> for complete details.)

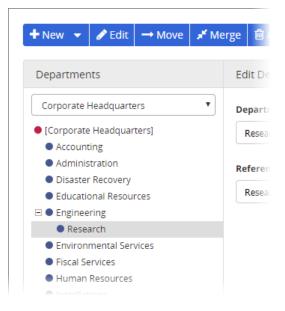
If you do not use **Automated User Synchronization**, it is usually okay to leave the reference ID the same as the department name. However, because department reference IDs must be unique within a particular site, you may need to change the reference name of a duplicate subdepartment name. For example, if you want to add a **Research** subdepartment to both the **Marketing** and **Engineering** departments, you might want to use a naming convention like the following for the reference IDs: **Marketing.Research**, **Engineering.Research**.

5. Click Add to add the department to the Departments box.

• New ▼ Selit → Move	🗚 Merge 🛛 🖻 Archive	
Departments	Add Department to 'Corporate Headquarters'	
Corporate Headquarters	Department Name	
[Corporate Headquarters]		Add
 Accounting 		
 Administration 	Reference ID	
 Disaster Recovery 		
Educational Resources		
 Engineering 		
Environmental Services	Departments	圃
 Fiscal Services 	Research	
 Human Resources 		
Installations		
 Manufacturing 		
 Operations 		
Purchasing		
 Shipping and Receiving 		
Software Development		
 Systems Administration 		
 Technical Services 		
		-
		Cancel Save
		Cancer Save

- 6. (Optional) Repeat steps 3 through 5 above to add other departments or subdepartments.
- 7. Click Save.

If you added a subdepartment, it appears below the department you added it to.



Editing a Department

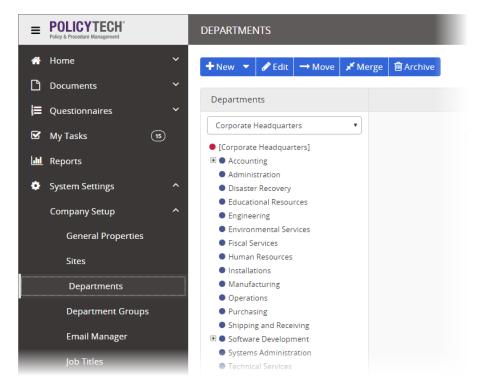
You can change the name and reference ID of any department or subdepartment. Changes will automatically be reflected in the properties of all

users and documents/questionnaires assigned to that department.

Important: If you are using **Automated User Synchronization**, you should not change a department's reference ID unless it has also changed in Active Directory[®] or in the human resources database that PolicyTech is synchronizing with. Otherwise, the department will no longer be synchronized.

To change the department name or reference ID for an existing department,

- 1. Click System Settings, click Company Setup, and then click Departments.
- 2. If multiple sites exist, select the site containing the department you want to change.



3. Click the department you want to change.

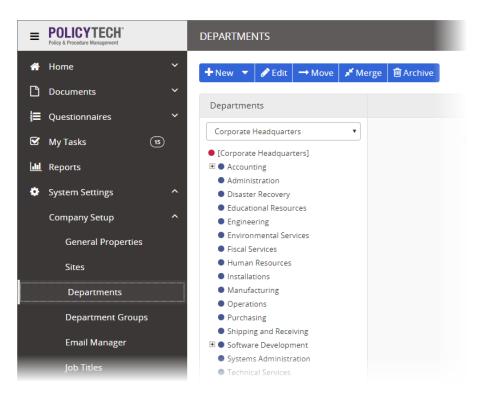
 Accounting Administration Disaster Recovery Educational Resources 	ration
Accounting Administration Disaster Recovery	
Administration Administration Disaster Recovery Educational Resources	: ID
Disaster Recovery Educational Resources	
Environmental Services Fiscal Services Human Resources Installations	Cancel Save
 Manufacturing Operations Purchasing Shipping and Receiving 	
 Software Development Systems Administration Technical Services 	

4. Make the desired changes, and then click **Save**.

Moving a Department

You can move a department from one site to another or up or down within the department-subdepartment structure.

- 1. Click System Settings, click Company Setup, and then click Departments.
- 2. If multiple sites exist, select the site containing the department you want to move.



3. Click Move.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	٤.
Bulk actions may not be reversible. Please exercise extreme caution in this area.	
Continue	
Back Up Database	•
Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	
Continue Back Up Database	

- 4. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click Continue.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because

backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click **Continue**.

5. In the department list on the left, select the departments you want to move to the same location. Each selected department name appears under **Departments to be Moved**.

Departments	Move Departments	
Corporate Headquarters	Departments to be Moved:	Ŵ
[Corporate Headquarters] Accounting Administration Disaster Recovery Educational Resources	Research	•
Engineering Environmental Services Fiscal Services Human Resources	Move the above departments into the following departments	ent v
 Installations Manufacturing Operations Purchasing Research Shipping and Receiving Software Development Systems Administration Technical Services 	 [Corporate Headquarters] Accounting Administration Disaster Recovery Educational Resources Engineering Environmental Services 	Move

6. If you need to move the selected departments to a different site, directly below **Move the above departments into the following department**, select the target site.

+ New \checkmark <i>B</i> Edit \rightarrow Move $\mathbf{x}^{\mathbf{c}}$ Me	erge 🗎 🛍 Archive	0
Departments	Move Departments	
Corporate Headquarters	Departments to be Moved:	ŵ
 [Corporate Headquarters] Accounting Administration Disaster Recovery Educational Resources Engineering 	Research	•
 Environmental Services Fiscal Services Human Resources Installations Manufacturing Operations Purchasing Research Shipping and Receiving Software Development Systems Administration Technical Services 	Move the above departments into the following department Corporate Headquarters Corporate Headquarters Manufacturing Sales & Support Office Accounting Administration Disaster Recovery Educational Resources Engineering Engineering Cancel Mov	▼ ▼

- 7. Do one of the following:
 - To move the selected departments to become top-level departments, click the site name preceded by ●.

Departments	Move Departments	
Corporate Headquarters	Departments to be Moved:	Û
 [Corporate Headquarters] Accounting Administration Disaster Recovery 	Research	•
Educational Resources Engineering Environmental Services Fiscal Services	Move the above departments into the followin	ng department
 Human Resources Installations Manufacturing Operations Purchasing Research Shipping and Receiving Software Development Systems Administration Technical Services 	 [Corporate Headquarters] Accounting Administration Disaster Recovery Educational Resources Engineering Environmental Services 	Cancel Move

 To move the selected departments as subdepartments, click a department or subdepartment preceded by •.

Departments	Move Departments	
Corporate Headquarters	Departments to be Moved:	ŵ
Corporate Headquarters Accounting Administration Disaster Recovery	Research	*
Educational Resources Engineering Environmental Services Fiscal Services Human Resources	Move the above departments into the follow	ving department v
 Installations Manufacturing Operations Purchasing Research Shipping and Receiving Software Development Systems Administration Technical Services 		•

8. Click Move, and then click OK.

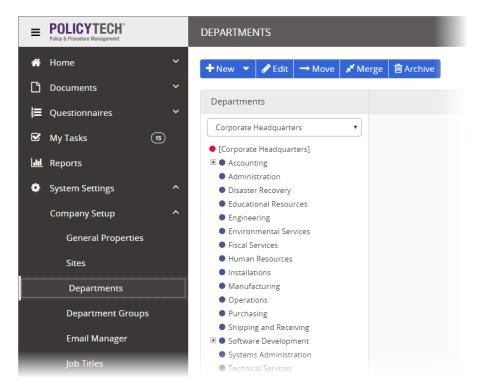
Merging Departments

When merging one or more departments into a another department (the target department), all of the users, subdepartments, categories, templates, and documents/questionnaires assigned to the departments to be merged will be reassigned to the target department. The departments to be merged will then be deleted, with the target department remaining.

Important: A department that is merged into another is not placed in the **Archive** and can only be restored by restoring a backup database.

To merge one or more departments into another,

- 1. Click System Settings, click Company Setup, and then click Departments.
- 2. If multiple sites exist, select the site containing the department you want to merge.



3. Click Merge.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Please exercise extreme caution in this area.	
Continue]
<u></u>	
Back Up Database	×
Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	
Continue Back Up Database	

- 4. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click Continue.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because

backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click **Continue**.

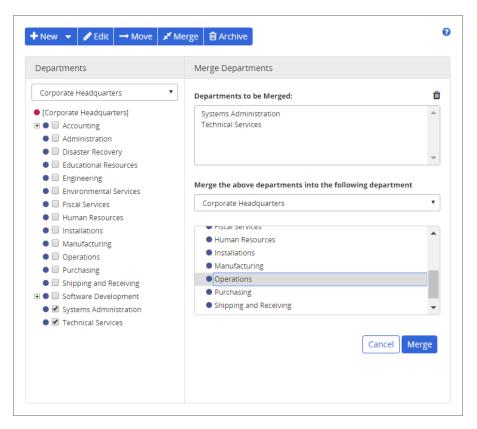
5. In the department list on the left, select the departments you want to merge into the same target department. Each selected department name appears under **Departments to be Merged**.

Departments	Merge Departments	
Corporate Headquarters	Departments to be Merged:	ŵ
Corporate Headquarters Accounting Administration Disaster Recovery Fiducational Resources	Systems Administration Technical Services	*
Educational Resources Engineering Environmental Services Fiscal Services Human Resources	Merge the above departments into the following	g department v
 Installations Manufacturing Operations Purchasing Shipping and Receiving Software Development Systems Administration Technical Services 	 [Corporate Headquarters] Accounting Administration Disaster Recovery Educational Resources Engineering Environmental Services 	Cancel Merge

6. If you need to merge the selected departments into a department in a different site, directly below **Merge the above departments into the following department**, select the target site.

Departments	Merge Departments	
Corporate Headquarters	Departments to be Merged:	Ô
 [Corporate Headquarters] Accounting Administration Disaster Recovery Educational Resources Engineering 	Systems Administration Technical Services	~
 Environmental Services Fiscal Services Human Resources Installations Manufacturing Operations Purchasing Shipping and Receiving Software Development Systems Administration Technical Services 	Merge the above departments into the following Corporate Headquarters Corporate Headquarters Manufacturing Sales & Support Office Conting Administration Disaster Recovery Educational Resources Engineering Engineering	Cancel Merge

7. Click the target department.

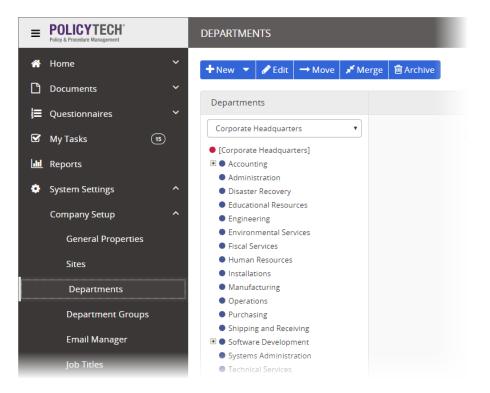


9. Click Merge, and then click OK.

Archiving a Department

Important: If any of the following are assigned to a department, you must reassign or archive them before you can archive that department.

- Users
- Documents
- Subdepartments
- 1. Click System Settings, click Company Setup, and then click Departments.
- 2. If multiple sites exist, select the site containing the department you want to archive.



3. Click Archive.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Please exercise extreme caution in this area.	
Continue	
<u></u>	
Back Up Database	×
Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	
Continue Back Up Database	

- 4. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click Continue.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because

backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click **Continue**.

5. Select a department.

Departments	Archive	
Corporate Headquarters	The following have been marked for archival:	圃
[Corporate Headquarters]	Disaster Recovery	
🗉 🛑 🔲 Accounting		
Administration		
Disaster Recovery		
Educational Resources		
🛾 🛑 🔲 Engineering		-
Environmental Services		
Fiscal Services		
🔵 🔲 Human Resources	Cancel	Archive
Installations		
Manufacturing		
Operations		
Purchasing		
Shipping and Receiving		
🛚 🔍 🔲 Software Development		
Systems Administration		
Technical Services		

6. Click the red **Archive** button, and then click **OK**.

Note: See The Archive for details on restoring an archived department.

Working with Department Groups

When you create a group of departments, users can then assign documents, questionnaires, and templates to all the users in those departments at once. You can create groups that contain departments from only a single site and groups with departments from multiple sites.

Refer to the following topics for details:

Adding a Department Group

Editing a Department Group

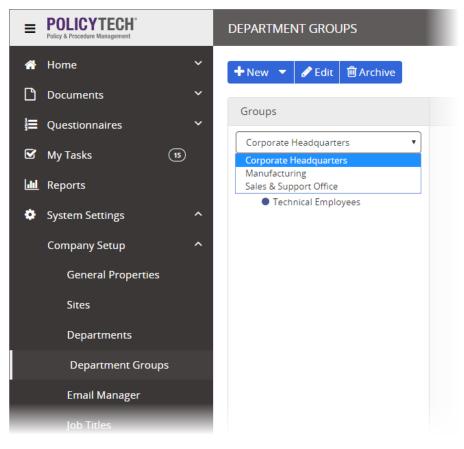
Deleting a Department Group

Adding a Department Group

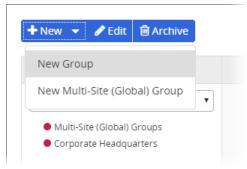
When adding a department group, you can include departments from a single site, or you can create a multisite group.

Adding a Single-Site Department Group

- 1. Click System Settings, click Company Setup, and then click Department Groups.
- 2. If multiple sites exist, select the site you want to add a department group to.



3. Click New, and then click New Group.



- 4. Type a group name.
- 5. Select the departments to include in the group, and then click Save.

🕇 New 🔻 🖋 Edit 🗎 Archive			
Groups	Add Department Group		
Corporate Headquarters Multi-Site (Global) Groups Corporate Headquarters	Group Name All Accounting		
	Departments	Selected Accounting Accounts Payble (Accounting) Accounts Receivable (Accounting)	The second secon

Adding a Multisite Department Group

- 1. Click System Settings, click Company Setup, and then click Department Groups.
- 2. Click New, and then click New Multi-Site (Global) Group.

•New 🔻 🖋 Edit	Archive
New Group	
New Multi-Site (Glo	obal) Group
 Multi-Site (Global) Corporate Headq 	

- 3. Type a group name.
- 4. To add departments from a site, under **Departments**, expand a site by clicking *∃*.
- 5. Select the departments to include in the group.

Groups	Add Department Group		
Corporate Headquarters	Group Name		
Corporate Headquarters	Departments	Selected	ī
	 Corporate Headquarters] [Manufacturing] Sales & Support Office] Administration Customer Service Sales & Marketing VP 	[Corporate Headquarters] Administration [Sales & Support Office] Administration	
	Shift+Click selects a span of checkboxes.	0	

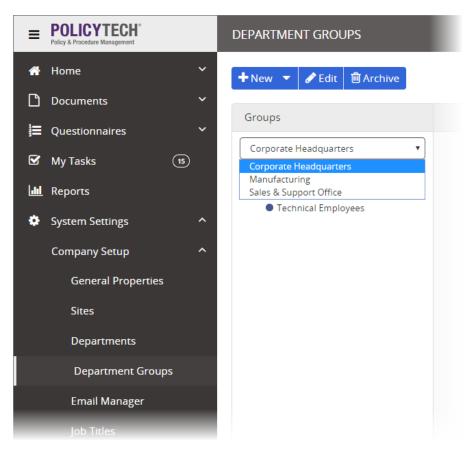
- 6. Repeat steps 4 and 5 as necessary to add departments from other sites.
- 7. Click Save.

Editing a Department Group

How you access a department group depends on whether it is a single-site or multisite group.

Editing a Single-Site Department Group

- 1. Click System Settings, click Company Setup, and then click Department Groups.
- 2. If multiple sites exist, select the site containing the department group.



3. Click the department group you want to change.

Groups	Edit Department Group		
Corporate Headquarters	Group Name Financial Departments		
 Corporate Headquarters Financial Departments 	Departments	Selected	Ē
Technical Employees	 Accounting Accounts Payble Accounts Receivable Administration Disaster Recovery Educational Resources Engineering Environmental Services Fiscal Services Human Resources Installations Manufacturing Operations Multiple Services 	 Accounting Accounts Payble (Accounting) Accounts Receivable (Accounting) Fiscal Services Purchasing 	*

4. Make the desired changes, and then click **Save**.

Editing a Multisite Department Group

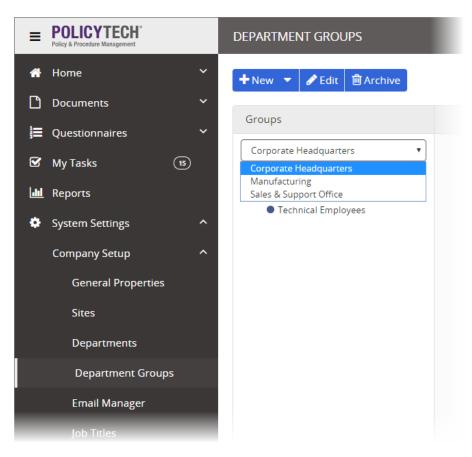
- 1. Click System Settings, click Company Setup, and then click Department Groups.
- 2. To expand Multi-Site (Global) Groups, click H.
- 3. Click the department group you want to change.

2		
Edit Department Group		
Group Name		
An wanagement		
Departments	Selected	圃
 ● [Corporate Headquarters] ● [Manufacturing] ● [Sales & Support Office] 	[Corporate Headquarters] Administration [Sales & Support Office] Administration	*
Shift+Click selects a span of checkboxes. 🜖	Cancel	Save
	Edit Department Group Group Name MI Management Departments I (Corporate Headquarters) (Manufacturing) I (Sales & Support Office]	Edit Department Group Group Name All Management Departments © (Corporate Headquarters)

4. Make the desired changes, and then click **Save**.

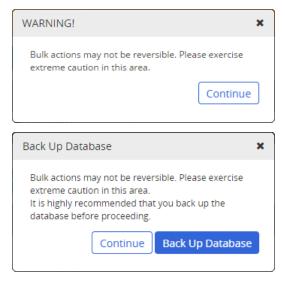
Archiving a Department Group

- 1. Click System Settings, click Company Setup, and then click Department Groups.
- 2. If you're deleting a single-site group and multiple sites exist, select the site containing the department group.



3. Click Archive.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).



4. Do one of the following:

- If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
- If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click Continue.
- 5. Select a department group, and then click the red Archive button.

	8
Archive	
The following have been marked for archival: Technical Employees (Corporate Headquarters)	1
Cancel Archiv	•
	Archive The following have been marked for archival: Technical Employees (Corporate Headquarters)

Note: See <u>The Archive</u> for details on restoring an archived department group.

Email Manager

Use Email Manager to do the following:

- Enable or disable notification email groupings or individual emails
- Edit and preview email contents
- Customize your organization's email template
- Configure email settings
- Schedule the frequency of various task emails

Note: You must be a global administrator for with permissions for all sites to access **Email Manager**.

See the following sections for instructions on using Email Manager features:

Email List Template

<u>Settings</u>

Schedule Emails

Email List

Use **Email List** to enable or disable notification email groupings and individual emails.

1. Click System Settings, click Company Setup, and then click Email Manager. The Email List tab is selected by default.

POLICYTECH Policy & Procedure Management	EMAIL MANAGER	💄 Douglas Johnson 🔻
♣ Home ~ P Documents ~	Email List Template Settings Schedule Emails	0
Documents V	Task Notifications Document Owner / Proxy Author Workflow Tasks Administrator Document Change Notifications Critical Changes Document Status Changes Task Status Changes 	 Enabled Locked
Email Manager	Miscellaneous V Summary	Enabled Locked
Job Titles Custom Links User Setup ~ Document Setup ~	 Other Reports System Information 	Enabled Locked Enabled Locked Enabled Locked
Document Setup × System / IT Settings × Archive	NAVEX GLOBAL* Privacy Statement Terms of Use Policy Share	Cancel Save

2. Each of the **Task Notifications**, **Document Change Notifications**, and **Miscellaneous** groupings contains multiple subgroupings. Click a subgrouping name to see the emails it contains.

POLICYTECH	EMAIL MANAGER	💄 Douglas John	ison 🔻
Home	Email List Template Settings Schedule Emails		0
j≡ Questionnaires		Enabled 🗌 Locked	
🗹 My Tasks 🛛 🚯	 Document Owner / Proxy Author 	Enabled Locked	
📶 Reports	 Workflow Tasks 	Enabled Locked	
System Settings	 Administrator 	Enabled Locked	
Company Setup	Document Change Notifications	Enabled Locked	
General Properties	 Critical Changes 	Enabled Locked	
Sites	Document Replacement Pending	Enabled 🗌 Locked	
Departments	Master Document Edited in Its Current State	Enabled Locked	
Department Groups	Document Edited in Its Current State	Enabled Locked	
Email Manager	Document Set as Approved	Enabled Locked	
Job Titles	No Revision Necessary	Enabled 🗌 Locked	
Custom Links	 Document Status Changes 	Enabled Locked	
User Setup	✓ Task Status Changes	Enabled Locked	
Document Setup	Miscellaneous	Enabled Locked	
	y Summany		

- 3. Do any of the following:
 - Select or click to clear the Enabled check box for any grouping, subgrouping or individual email.

Notes:

- The following email subgroupings are enabled by default: Document Owner / Proxy Author, Workflow Tasks, Administrator, Critical Changes, Other, Reports.
- Certain emails, such as summaries and some administrator notifications, cannot be disabled.
 - If you choose to allow users to manage their own email settings (see <u>Email Manager: Settings</u>), you can limit their ability to enable or disable specific emails or groupings. After configuring **Enabled** settings, select Locked for a grouping, subgrouping, or individual email.
 - To view the description of an individual email, along with its subject and body text, click an email name. For instructions on changing an email's contents, see <u>Editing and Previewing a Notification Email</u>.

Editing and Previewing a Notification Email

Important: Use the following instructions when editing all but the Welcome email. For additional instructions, see <u>Editing and Sending the Welcome</u> <u>Email</u>.

1. In the Email List tab of Email Manager, locate and click the email name.

iail Ma	NAGER		
mail List	Template	Settings	Schedule Emails
ask Notifi	cations		
Docum	ent Owner / Pr	oxy Author	
Action Re	equired on a Drat	ft Document	
Periodic	Review of Docum	nent Required	
Check Do	ocument Link		
Writing C	Complete		
Submit a	Document for R	eview upon Re	quest
Docume	nt Sent Back to D	raft	
Docume	nt Submitted for	Periodic Review	v
Docume	nt Owner Assigne	ed	
Proxy	Document Ser	nt Back to Dra	aft
Docum	DESCRIPTIO	N	
	Sent to the docu	ument owner a	nd assigned proxy author whe
	SUBJECT		
	Subject 🥒 🛕 Sent back to	draft: "{{ Docu	ment Title }}"
	MAIN BODY	CONTENT	
	Body 🥜		
	{{ Full Name		ument Link }}" back to draft. \
	Click the doo	tument title ab	ove to open and edit the docu
	Conditional Te: {{ Full Name "{{ Commen	}} included the	following comments:
	ADDITIONA Note for Proxy	· · · - · · ·	
	As the Assig	ned Proxy for t	his document, you are getting
	Note for Docur Note: Both y		ument owner, and the assigne

2. To edit a piece of text, click 🥒.

Notes:

- If applicable, click 1 to see a Help message about this piece of text, or click A to see an alert.
- Once you start making changes, you can click **Reset** at any time to revert to the original text.

DESCRIPTION Sent to the document owner and assigned proxy author when a docur: SUBJECT Subject A Sent back to draft: "{{Document Title }}" MAIN BODY CONTENT Bod (True mame }) sent "{{Document Link }}" back to draft. You may ne: Instructions A Click Condition "{{Condition	Documer	nt Sent Back to Draft	
SUBJECT Subject Subject Sub	DESCRI	PTION	
Subject A Sent back to draft: "{{Document Title }}" MAIN BODY CONTENT Bod: The sent "{{Document Link }}" back to draft. You may ne Click Conditio ({Full "{Cc Conditio ({Cc Conditi ({Cc Conditio ({Cc Conditio ({Cc Conditio ({Cc Conditio ({Cc	Sent to th	e document owner and assigned proxy author when a docun	
Sent back to draft: "{{ Document Title }}" MAIN BODY CONTENT Bod for the sent "{{ Document Link }}" back to draft. You may ne Instructions Click Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full Name, %2% = Document Link, %3% = First Name "{{ Condition ({Full %1% = Full	SUBJEC	Т	
Bod Instructions Image: Condition of the second of th			
<pre>{First Name }} sent "{{ Document Link }}" back to draft. You may n: Instructions * * * Click Conditio {{ Ful "{C c Conditio {{ Ful "{C c Conditio {{ Ful "{C c Conditio { Ful Name, %2% = Document Link, %3% = First Name { Click Conditio { ful "{C c Conditio { ful Signal Conditio { ful Signal Conditio { ful Signal Conditio { ful Conditio { ful Signal Conditio { ful Signal Conditio { ful Conditio Conditio Conditio</pre>	MAIN B	SODY CONTENT	
Click Edit Body # 40% = Full Name, %2% = Document Link, %3% = First Name " ([Ful " ([C ADDIT Fuglish (English) (en-US) %1% sent "%2%" back to draft. You may need to consult with %3% before deciding what to do next.		Name }} sent "{{ Document Link }}" back to draft. You may ne	
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next	ADDITI	English (English) (en-US)	
Cancel Save			
Cancel			
Cancel Save			
		Cancel Save	

3. Edit the text.

Important: If the text contains variables (certain document properties inserted into the text from the PolicyTech database), they are listed immediately below the **Edit** header. In the screenshot above, for example, %1% is a variable that will be replaced with a user's full (first and last) name when this email is generated. The variables available for a particular piece of text can be deleted or typed just like any other word. When typing a variable, make sure it appears exactly as it is shown in bold text in the variable list.

4. If other languages have been added (see <u>Language Files</u>), an editing box for each language is displayed. After editing the English text, make changes to translations as needed.

5. (Optional) To see how the edited email will look when PolicyTech generates and sends it, click **Preview**. The email is displayed using the current email template (see Email Manager: Template).

Email Preview	×
View as:	
Subject: Sent back to draft: "{{ Document Title }}"	
NAVEX GLOBAL* The Ethics and Compliance Experts	
{{ Full Name }} sent "{{ Document Link }}" back to draft. You may need to consult with {{ First Name }} before deciding what to do next.	
Click the document title above to open and edit the document.	
{{ Full Name }} included the following comments: "{{ Comments }}"	
Manage My Email Subscriptions	
NAVEX GLOBAL" The Ethics and Compliance Experts	
Close	

If the email contains conditional text, a **View as** menu is displayed. Select different user roles to see the email with other conditional text.

Email Preview	
View as: Document Owner Document Owner Proxy Author Owner With Proxy Author	iment Title }}"
The Ethics and Compliance Expe	rts
<pre>{{ Full Name }} sent "<u>{{ Document Link }}</u>" back to draft. You may next. Click the document title above to open and edit the document. {{ Full Name }} included the following comments: "{{ Comments }}"</pre>	

When finished with the preview, click Close.

6. When finished editing the email, click **Save**.

Editing and Sending the Welcome Email

For the most part, editing the **Welcome** email in the **Miscellaneous: Other** subgrouping is the same as editing any other email. However, the **Welcome** email editor contains an additional option called **Send To**.

By default, welcome emails are only sent to new users when they are added to the PolicyTech system. Using the **Send To** option, you can immediately send the welcome email to all users, to all users who have not ever logged in to PolicyTech, or to those users who have not logged in since a specific date.

- 1. In the Email List tab of Email Manager, under Miscellaneous, click Other, and then click Welcome.
- 2. Edit the email text as you would for any other email (see Editing and Previewing a Notification Email).
- 3. (Optional) To immediately send the **Welcome** email, click **Send To**, and then do one of the following:

Welcome		×
DESCRIPTION Sent whenever a new user is added.	Send To 🗶]
SUBJECT Subject / {{ Business Title }} - {{ Product Name }} MAIN BODY CONTENT Body / Welcome {{ User Name }}. An account has been	Immediately send welcome email to: Everyone Those who have not logged in Those who have not logged in since: Cancel Send	ment software for {(Business Title }).
General Instructions 🖋 {{ Begin Link }}Click here{{ End Link }} to proce	ed to the software.	Send To Preview Close

- Click Everyone, and then click Send.
- Click **Those who have not logged in**, and then click **Send**.
- Click Those who have not logged in since, select or type a date, and then click Send.

Note: The Welcome emails will be sent the next time Scheduler runs (see Scheduler & Delivery).

Template

Use the **Template** tab in **Email Manager** to customize the look and feel of the notification emails PolicyTech sends.

1. Click System Settings, click Company Setup, and then click Email Manager.

2. Click the Template tab.

POLICYTECH Procedure Management	EMAIL MANAGER 🌲 Douglas Johnson 👻
Home Documents Questionnaires Wy Tasks Reports System Settings Company Setup General Properties Sites	Email List Template Settings Schedule Emails Header Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Browse Browse Browse Outer Background Color Message Background Color Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max 100 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB) Image (Max I00 KB)
Departments Department Groups Email Manager Job Titles Custom Links User Setup ~ Document Setup ~ System / IT Settings ~	Margin (px) Alignment 15 Center • Cancel Preview
Archive	NAVEX GLOBAL* Privacy Statement Terms of Use Policy Share

As you upload images and adjust settings, click **Preview** to see your changes.

- 3. Do any of the following. As you make customizations, click **Preview** to see your changes.
 - To upload an image, under Header Image or Footer Image, click Browse, find and select the image, and then click Open.

Important: The image file size must not exceed 100 KB.

- To change a background or font color, do one of the following:
 - Click , then select a color, type RGB values, or type a hexadecimal color code. Click anywhere outside the color selector view to close it.
 - In the Outer Background Color, Message Background Color, or Font Color box, type a hexadecimal color code.

Notes:

The Outer Background Color displays a colored border to the sides and underneath the combined header, message area, and footer if the Alignment setting is Center, to the right and underneath if the Alignment setting is Left, or to the left and underneath if the Alignment setting is Right. If you want a matching border above the header, include it in the header image.

• With a large **Email Max Width** setting (above about 850 pixels), the preview will show the outer background color only below the message area or footer and not on the sides.

Change the Font Size value.

Specify a number of pixels for **Email Max Width**. If a value other than **0** is specified, the email body text will wrap at that number of pixels when a user expands the email window. Type **0** to have the text wrap only at outer edge of the available display space.

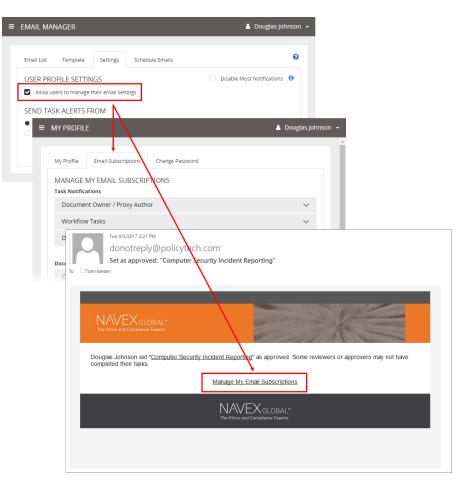
Important: If your organization uses Microsoft Outlook, which has issues with resizing images in emails, make sure that both the header and footer images are the same width and then specify that width in pixels for **Email Max Width**.

For **Margin**, specify the number of pixels to indent body text on all sides within the message area.

For **Alignment**, select **Left**, **Right**, or **Center** to indicate where, within the outer background, to horizontally align the combined header, message area, and footer.

Settings

- 1. Click System Settings, click Company Setup, and then click Email Manager.
- 2. Click the **Settings** tab, and then do any of the following:
 - Select or click to clear the Allow users to manage their email settings check box to control whether the Email Subscriptions tab is available in My Profile and whether the Manage My Email Subscriptions link appears in notification emails.



If you select this option, refer users to the "My Profile: Email Subscriptions Tab" section of the <u>User's Guide</u> for instructions on enabling and disabling specific notification emails. If this option is not selected, the **Email Manager: Email List** settings control what notification emails all users receive (see <u>Email Manager: Email List</u>).

- For **Send Task Alerts From**, and then select which address you want listed in the From field of all notification emails:
 - Select System Email Address to have the address designated in the Outgoing Mail tab of System / IT Settings: Email Settings (see System / IT Settings: Email Settings) listed in the From field of all notification emails.
 - Select **Document Owner's Email Address** to have the email address of the user who owns the document or questionnaire that the notification email is about listed in the **From** field.
- If you want to temporarily avoid sending out almost all notifications, such as when doing initial setup of your PolicyTech system or when using Bulk Edit, select Disable Most Notifications.

Notes:

- This option stops all emails except those sent for resetting a user's forgotten password and those sent to administrators when logins fail or to show results of a user synchronization.
- Be sure to turn notifications back on as soon as you finish your bulk operations.
- 3. Click Save.

Schedule Emails

You can schedule when different types of task emails are sent.

- 1. Click System Settings, click Company Setup, and then click Email Manager.
- 2. Click the Schedule Emails tab.

Schedule Emails Settings for				
System Default		•		
System Bendan				
TASK SUMMARY EMAILS ()				
Starting At				
12 : 00				
HH:MM Based on each site's time zone				
Send Every:				
0				
day(s) 0 = no reminders				
Send On: A				
Select All				
Sunday Monday	Tuesday 🔽 Wednes	sday 🔽 Thursdav	Fridav	Saturday
Frequency (1)				_ *
Send on selected day(s) 💌				
INDIVIDUAL TASK EMAILS	s ()			
INDIVIDUAL TASK EMAILS Read/Complete-Task-Specific Setting				
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INDIVIDUAL TASK EMAILS Read/Complete-Task-Specific Setting Suppress initial notifications for all Suppress initial overdue notificatio Suppress new users' initial read/com aday(s) (0 = not suppressed) OVERDUE TASK EMAILS Send Escalation Summary Emails Enabled Starting At 12 : 00	users ons for all users oplete task emails for f		✓ Friday	Saturday

- 3. For **Schedule Email Settings for**, select the site you want these settings to affect, or select **System Default** to change settings for all sites currently set to use the system default settings and to configure the default settings for all sites created in the future.
- 4. Do one of the following:

- If you selected System Default, change settings as needed (see Schedule Emails Settings below).
- If you selected a site, do one of the following:
 - Select Use System Default Settings.

Email List	Template	Settings	Schedule Emails	Ø
Schedule En	nails Settings fo	or		
Corporat	e Headquarte	rs		•
Use Syst	em Default Sett	tings		
	This site is usi	ing the system	default settings for Sc	hedule Emails.
To change	the settings for	r this site, dese	lect the Use System [Default Settings check box.
				Cancel
				Contract Durva

- Click to clear the Use System Default Settings check box, and then change settings as needed (see Schedule <u>Emails Settings</u> below).
- 5. Click Save.

Schedule Emails Settings

Use the settings described below to schedule when the various types of task emails are sent.

Task Summary Emails

A task summary email lists all of a user's unfinished tasks.

- 1. Using a 24-hour time format (for example, 13:00 = 1:00 PM), type the time of day you want task summary emails sent.
- 2. Do one of the following:
 - To schedule task summary emails every certain number of days from today, click Send Every, and then type a number. For example, if you type 2, the emails will be sent every other day from today on.

Note: To turn off task summary emails completely, type 0.

To select a day or days of the week for task summary emails to be sent, click Send On, and then select specific days or Select All. For Frequency, click an option. Send on selected day(s) sends emails on the selected days of every week. Every other week and Once a month send emails on the selected days, but only every other week or once a month, respectively.

Individual Task Emails

 When users are assigned to read documents or complete questionnaires, they are immediately sent emails informing them of their task assignments. If the tasks include due dates, users also receive emails as soon as the tasks become overdue. To keep these initial task email notifications from being sent, select either or both of Suppress initial notifications for all users and Suppress initial overdue notifications for all users.

Note: If task summary emails are enabled, task assignment information will continue to be included in task summary emails.

2. If you create a new user, but that user won't be actively using PolicyTech for a time (such as a new hire starting in two weeks), under Suppress new users' initial read/complete task emails for, you can type a number of days from today that you want individual task emails not sent. (Task summary emails, if enabled, will continue to be sent. Only individual task emails will be suppressed.)

Overdue Task Emails

- Send Escalation Summary Emails is enabled by default, which means that emails are sent on the specified schedule whenever there are overdue workflow tasks, such as for reviewing, approving, or reading a document. The emails are sent to the owners of documents and questionnaires with any overdue tasks and to managers of users with overdue read/complete tasks. To disable this feature, click to clear the Enabled check box.
- Using a 24-hour time format (for example, 13:00 = 1:00 PM), for Starting At, type the time of day you want task summary emails sent.
- 3. Choose the days on which you want the emails sent each week.

Working with Job Titles

You can create job titles and assign them to users. Keep in mind the following:

- Assigning a job title to a user is optional.
- A user can assign a task to a job title rather assigning the task to each user with that job title individually.
- When a task is assigned to a job title, it is assigned to all users with that job title in the current site, regardless of their departments.
- When a task is assigned to a job title, new users who are assigned to that job title are automatically assigned that task.

Refer to the following topics:

Adding a Job Title

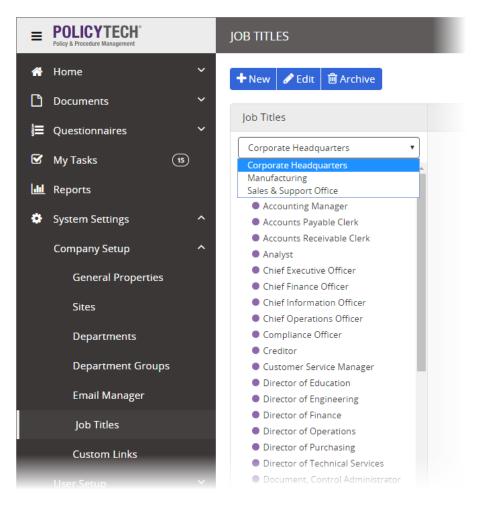
Editing a Job Title

Deleting a Job Title

Adding a Job Title

Note: You can automatically create job titles in PolicyTech by importing users from Active Directory[®] or a human resources database. See <u>Importing</u> and Syncing Users from Another Database for details.

- 1. Click System Settings, click Company Setup, and then click Job Titles.
- 2. If multiple sites exist, select the site you want to add a job title to.



3. Click New.

bb Titles	Add Job Title		
Corporate Headquarters	Job Title		
 Accountant Accounting Manager Accounts Payable Clerk Accounts Receivable Clerk Analyst Cheif Technology Officer Chief Finance Officer Chief Finance Officer Chief Information Officer Chief Marketing Technologist 	Departments Administration Administration Disaster Recovery Educational Resources Environmental Services Fiscal Services Fiscal Services Human Resources Human Resources Fiscal Services Fiscal Servic	Selected	<u>وَ</u>
Chief Operations Officer Compliance Officer Creditor Customer Service Manager Director of Education Director of Education Director of Engineering Director of Operations Director of Operations Director of Technical	Shift+Click selects a span of checkboxes.		Cancel Save

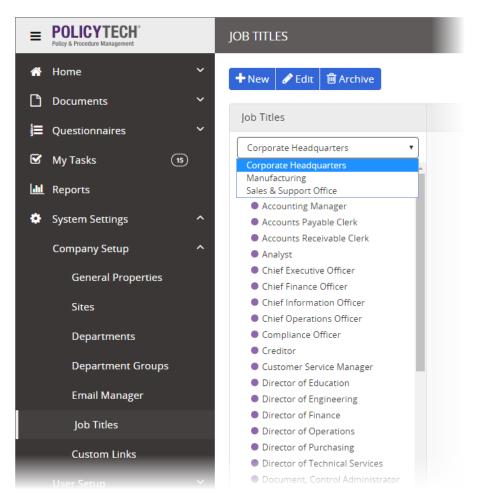
- 4. Type a job title.
- 5. Select the departments where you want this job title available.

Note: When document owners assign users to read a document or complete a questionnaire, they can assign that task by job title. To select a job title, the document owner must first select a job title and then select which assigned departments to include in the task assignment.

6. Click Save.

Editing a Job Title

- 1. Click System Settings, click Company Setup, and then click Job Titles.
- 2. If multiple sites exist, select the site containing the job title you want to change.



3. Click a job title.

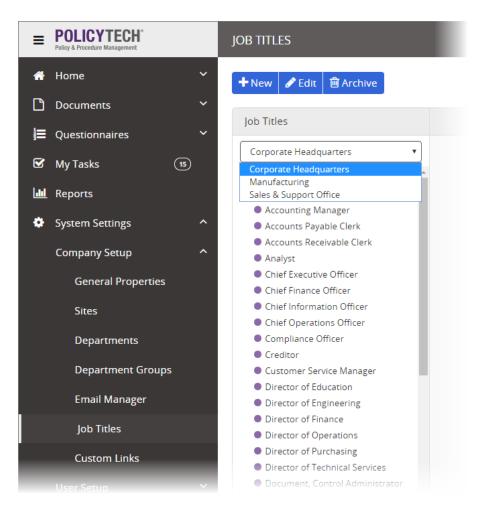
Corporate Headquarters Job Title [Corporate Headquarters] Accountant Accounting Manager Accounting Manager Accounting Manager Departments Accounting Manager Accounting Manager Accounting Manager Accounting Manager Accounting Manager Departments Accounting Manager Administration Cheif Technology Officer Disaster Recovery Chief Information Officer Educational Resources Chief Marketing Technologist Environmental Services Chief Operations Officer Human Resources Chief Operations Officer Installations Shift+Click selects a span of checkboxes. ()		
 Accountant Accounting Manager Accounts Payable Clerk Accounts Receivable Clerk Analyst Cheif Technology Officer Chief Finance Officer Chief Information Officer Chief Marketing Technologist Chief Operations Officer Shift+Click selects a span of checkboxes. (1) 		
Accounting Manager Accounts Payable Clerk Accounts Receivable Clerk Analyst Cheif Technology Officer Chief Finance Officer Chief Information Officer Chief Marketing Technologist Chief Operations Officer Compliance Officer Schief Operations Officer Compliance Officer		
 Accounts Receivable Clerk Analyst Cheif Technology Officer Chief Executive Officer Chief Finance Officer Chief Information Officer Chief Marketing Technologist Chief Operations Officer 	Selected	t
Compliance officer	 Accounting Human Resources Quality Assurance (Software Development) Software Development 	•
Customer Service Manager Director of Education Director of Engineering Director of Finance	Cancel	ave

4. Make the desired changes, and then click **Save**.

Archiving a Job Title

Important:

- You must unassign all users from a job title before you can archive it.
- Archiving a job title also cancels all active tasks currently assigned to that job title.
- 1. Click System Settings, click Company Setup, and then click Job Titles.
- 2. If multiple sites exist, select the site containing the job title you want to archive.



3. Click Archive.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be re extreme caution in this are	
	Continue
	/
Back Up Database	×
Bulk actions may not be re extreme caution in this are It is highly recommended	ea.
database before proceedi	ng.
database before proceedii	

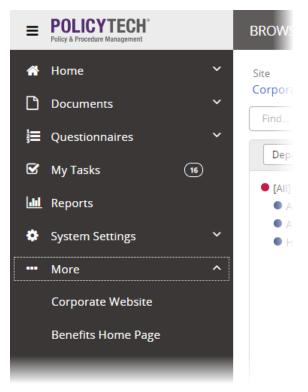
- 4. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click Continue.
- 5. Select a job title, and then click the red **Archive** button.

Job Titles	Archive	
Corporate Headquarters	The following have been marked for archival:	圓
[Corporate Headquarters]	Creditor	<u>۸</u>
Accountant		
Accounting Manager		
Accounts Payable Clerk		
Accounts Receivable		
Clerk		-
Analyst		
Cheif Technology Officer		Incel Archive
Chief Executive Officer		Archive
Chief Finance Officer		
Chief Information Officer		
Chief Marketing		
Technologist		
Chief Operations Officer		
Compliance Officer		
Creditor		
Customer Service		
Manager		
Director of Education		
Director of Engineering		
Director of Finance		
Director of Operations		
Director of Purchasing		

Note: See <u>The Archive</u> for details on restoring an archived job title.

Working with Custom Links

You can add website links to PolicyTech's left navigation panel. When you add a link, a **More** heading is added that users can expand to access the link, as shown below.



1. Click System Settings, click Company Setup, and then click Custom Links.

POLICYTECH [®] Policy & Precodure Management	CUSTOM LINKS 🌢 Douglas Johnson 🔻
₩ Home > Documents > ↓= Questionnaires > Ø' My Tasks (*) ↓▲ Reports	Ine bollowing links will show up under the More neader in the sloebar. Link 1 Name URL
 System Settings Company Setup General Properties Sites Departments Department Groups Email Manager 	Add Another Cancel Save
Job Titles Custom Links User Setup Document Setup	

- 2. For name, type the text you want to appear in the **More** menu.
- 3. Type or copy and past the URL.

Important: The URL must be prefixed with http:// or https://.

- 4. (Optional) If you want only administrators and document owners to see this link, select **Only show for Administrators or Document Owners**.
- 5. Click Save.
- 6. (Optional) Click Add Another, and then repeat steps 2 through 5.

Note: To remove a custom link, click $\hat{\blacksquare}$.

User Setup

All those who will be creating, reviewing, approving, or reading documents or completing questionnaires need to be defined as PolicyTech users. Use either or both of the methods listed below to add users.

- Import and sync user records from another database
- Add a user manually

These are the tools you use to create and manage users:

- User Manager
- Group Manager
- Bulk Permissions Editor
- Custom Attributes

User Manager

PolicyTech offers several options for adding and managing users. You will need to choose the option or combination of options that makes most sense for your organization.

Adding Users One at a Time

You can create PolicyTech users one at a time by entering information in the **New User** form in **User Manager**. See <u>Adding a User Manually</u> for details.

Importing and Syncing from an Existing User Database

If your organization already has a database containing user information, you can use that information to create users and keep user information up to date in PolicyTech. The most common user information databases are network directories, such as Microsoft[®] Active Directory[®], and accounting and human resources databases. The process for getting the information out of a user database and into PolicyTech typically goes as follows:

- Export the information from the user database as a tab-delimited file.
- In PolicyTech, map the PolicyTech user information fields to the corresponding fields in the tab-delimited file.
- Import the tab-delimited file into PolicyTech.

You can either perform each step in the process manually whenever you feel it is necessary, or you can set up the process to run automatically on a specific

schedule. See <u>Importing and Syncing Users from Another Database</u> or Automated User Synchronization.

Importing and Syncing Users from Another Database

You can quickly define users in PolicyTech by exporting their information from another database, such as a network directory or human resources database, and then importing that information into the PolicyTech database. The import process consists of the following:

- Exporting information from the user database as a tab-delimited text file.
- In PolicyTech, mapping the user information fields to the corresponding fields in the tab-delimited file.
- Importing the tab-delimited file into PolicyTech.

Note: To automate this process to run at specific time intervals, see Automated User Synchronization.

User Information Fields

Each user import record can contain the user information fields described in the two tables below.

Field	Maximum Characters	Accepted Characters	Notes
Unique Employee ID	128	All except <, , and ^	If PolicyTech is set up to use Active Directory authentication in Login Settings (see <u>Active Directory</u> <u>Settings</u>), we recommend that the unique employee ID be the same as the user's domain login ID.
First Name	128	All except <, , and ^	
Last Name	128	All except <, , and ^	
Site	255	All except <, , and ^	

Required Fields

Department	255	All except <, , and ^	If you need to assign a user to more than one department, see Importing a User with
			Multiple Departments and Job Titles below.

Optional Fields

Field	Maximum Characters	Accepted Characters	Notes
Middle Name	128	All except <, , and ^	
Job Title	255	All except <, , and ^	If you need to assign a user to more than one job title, see <u>Importing</u> <u>a User with Multiple</u> <u>Departments and Job</u> <u>Titles</u> below.
Email Address	128	Valid SMTP email address characters	While the Email Address field is not required, we strongly suggest including email addresses so users can receive notifications via email for tasks they need to perform. If there is no email address for a user, the user must remember to periodically check the task list in PolicyTech.
Username	128	All except <	Must be unique among all PolicyTech users. If PolicyTech is set up to use Active Directory authentication, Username value must be the same as the user's domain login ID.

Password	128	All except <	Not applicable (do not include) if PolicyTech is set up to use Active Directory authentication.
Active	1	0 (inactive) or 1 (active)	Facilitates deactivating (archiving) previously imported users only during a user sync. A user marked inactive (0) will be moved to the Archive. If a previously imported user is currently in the Archive, a 1 value restores that user to active status.*
Language	6	Any valid language code	See <u>Language Code</u> <u>Tables</u> .
Domain	240	Valid Active Directory [®] domain name characters	Applies only if PolicyTech is set up to use Active Directory authentication.
Manager	128	All except <, , and ^	Must be the unique employee ID of a person assigned as this user's manager in PolicyTech (see <u>Assigning a</u> <u>Manager</u>). Note: You can assign only one manager to a user in an import file. You must use User Manager to assign additional managers.

* In the rare case where you need to archive all users in the site, you cannot archive them all at once during a sync. You must leave at least one user active and then manually archive that user after the sync (see <u>Archiving a User</u>.)

Importing a User with Multiple Departments and Job Titles

You can assign a user to more than one department and job title by separating multiple sites, departments, and job titles with the vertical bar (|) character. (Spaces before and after the vertical bar character are ignored.) The **Site**, **Department**, and **Job Title** fields must always have the same number of items in them, even if one or more are empty. For example, if you include two departments, there must also be two sites and two job titles designated, as shown below. Notice that including a job title is optional, but the **Job Title** field must include the same number of vertical bars as the **Site** and **Department** fields.

Site	Department	Job Title
Corporate Headquarters Corporate Headquarters	Software Development Marketing	Technical Writer Copywriter
Corporate Headquarters Sales & Support	Sales Western States	Sales Manager

Importing Users with Custom Attributes

If custom user attributes have been created (see <u>Custom Attributes</u>), you can import values for those custom attributes. Simply export or manually add columns of custom attribute values to the import file. You can then map the custom attribute columns as part of the import (sync) process.

Note: If any custom attributes are dates in any format except File Date, be aware that leading zeroes for single digit days and months are required. If you save an Excel file containing custom attribute dates and those columns are formatted with a standard Excel date format, leading zeroes will be stripped from the dates when saving to tab-delimited file format, which will cause the date values not to be imported. One solution is to create a custom Excel date format, such as mm/dd/yyyy, for custom attribute date columns before saving as a tab-delimited file.

Exporting a Tab-Delimited User Information File

From within the user database application, export user information into a tabdelimited text (.txt) file. This is called the user sync file in PolicyTech. Each record in the user sync file must contain at least the required user information fields. We recommend you export a header row containing field (column) names to help with mapping those fields when you import the user information into PolicyTech.

Note: Exporting the fields in the order they are listed in the table in the "User Information Fields" section above will make mapping these fields to PolicyTech user information fields easier. To download a sample user sync file with fields in the proper order, click the following link: <u>Blank User Import</u> Excel Worksheet.

User Sync Rules and Behavior

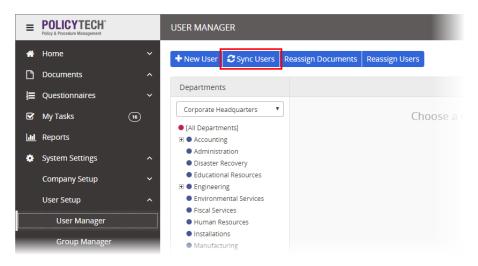
Please consider the following before performing a user sync:

- Any user in the sync file that does not exist in the PolicyTech database will be added. PolicyTech compares the unique user ID of each user in the sync file to the user IDs of all users in the PolicyTech database. If it does not find a match, the user is added. If it does find a match, it overwrites all the other fields for the user with that ID with the corresponding fields from the sync file. However, the **Username**, **Password**, and **Manager** fields will not be overwritten unless specifically designated to be overwritten (see step 8 under Performing the User Sync (Import) below).
- Newly added users are assigned only the Assignee role. To assign additional roles and permissions, you must edit each user record individually (see <u>Adding a User Manually</u>) or use the **Bulk Permissions Editor** to assign roles and permissions to multiple users at once (see <u>Bulk</u> <u>Permissions Editor</u>).
- While the Username and Password fields are not required in the sync file, they are required in order to create a user record in PolicyTech. For this reason, if the Username and Password fields are empty in the sync file or if you select Not in File for these fields when mapping sync file fields, PolicyTech randomly generates a user name and password so the record can be created. Before the newly created user can log in to PolicyTech, you must manually change that user's user name and password (see Adding a User Manually) and provide that information to the user.
- An archived user is placed in the Archive and can be restored (see <u>The</u> <u>Archive</u>). If an archived user was a document owner, you will be notified that you need to reassign the user's documents (see <u>Reassigning</u> <u>Document Owners</u>).
- Any job title, site, or department in the sync file that does not exist in the PolicyTech database will be added. The spelling of existing job titles, sites, and departments must be exactly the same in the sync file as those in the PolicyTech database to avoid creating duplicates with variant spellings.
- Users added manually to the PolicyTech database are not affected by any action performed during a user sync. For example, if you select Archive users not in sync file? when setting up a sync, manually added users will not be archived. If you do want a user sync to affect manually added users, you must add them to the sync file, making sure that the Unique Employee ID fields in the sync file match those in the PolicyTech database.
- PolicyTech is intentionally designed not to allow all users in a site to be archived at once. In other words, a sync attempt with Archive users not in sync file? selected and with no users listed in the sync file will fail. In the rare case where you need to archive all users in the site, you must leave at least one user in the sync file and then manually archive that user after the sync (see Archiving a User).

Performing the User Sync (Import)

To perform an initial import of user information, or to sync user information after the initial import,

- 1. In PolicyTech, click **System Settings**, click **User Setup**, and then click **User Manager**
- 2. Click Sync Users.



3. Click **Choose File**, navigate to the tab-delimited user information file, and then click **Open**.

Sync Users	0	×
Import user records and synchronize later record imports. Browse Choose File No file chosen		
File Encoding Unicode (UTF-8) User Sync Reports		~
	Nex	ĸt

- 4. If you saved the export file using file encoding other than Unicode (UTF-8), select that encoding.
- 5. Click Next.
- 6. In the upper box, map each PolicyTech user field to its corresponding field in the user information file. If the field is optional and no corresponding field

exists in the file, or if the field does exist but you don't want the information in that field imported, select **Not in File**.

	erwrite? Column Number	Type	Accepted Characters
Jnique Employee ID*	0 (Unique Employee ID ~	Alphanum	eric A-Z, 0-9, _, and -
irst Name*	Not in File 0 (Unique Employee ID (req))	Alphanum	eric All
Viddle Name	1 (First Name (req))	Alphanum	eric All
ast Name*	2 (Middle Name) 3 (Last Name (req)) 4 (Job Title) 5 (Site (req))	Alphanum	eric All
None v			
or users with no domain specified Remove first line? Archive users not in sync file? Ignore blank values?	n arc import me.)		
otes:	ot affected by sync unless added to sync file are not affected by the sync.	eckbox is selected.	

Note: Fields marked with an asterisk (*) are required.

7. (Optional) Notice the check boxes in the Overwrite? column after Username, Password, and Manager. When performing a sync (importing anytime after the initial import), user name, password, and manager information from the tab-delimited file that is different than the corresponding information in PolicyTech does not overwrite the information in PolicyTech unless you select the Overwrite? check boxes.

Password Active	9 (Password)	~
Active		
	10 (Active)	~
Language	Not in File	~

- 8. (Optional) If you are using Active Directory authentication for PolicyTech user login (see <u>Active Directory Settings</u>), click the **Default Domain** box, and then click the domain you want a user assigned to if the user record in the file does not contain a domain field or if the mapped domain field is empty.
- 9. (Optional) If the user information file contains a header row with column names, select **Remove first line?** to avoid creating an extraneous user from the header row information.
- 10. (Optional) If you want any user not found in the user information file to be archived in PolicyTech, select **Archive users not in sync file?**

Note:

- This option only affects users previously imported into PolicyTech. Users added manually will not be archived.
- PolicyTech is intentionally designed not to allow all users in a site to be archived at once. In other words, a sync attempt with Archive users not in sync file? selected and with no users listed in the sync file will fail. In the rare case where you need to archive all users in the site, you must leave at least one user in the sync file and then manually archive that user after the sync (see Archiving a User).
- 11. By default, blank values are ignored. If you want blank values for unrequired fields in the import/sync file to delete any existing, corresponding values in the PolicyTech user database, click to clear the **Ignore blank values?** check box.
- 12. Click Finish.
- 13. A progress bar is shown while the sync is processing. (If you need to cancel it, click **Abort Sync**). When the import is complete, click **View Report**.

Sync Users			Ø	×
Synchronization Complete				
Clos	se	View Report	Start Over	

The report opens in a separate window, where you can print or save it.

8	policytech [®]	١	a a Page 1 v o	f 3 🕨 🕨	🖭 🎤 🐗 🦨 Save As 🛛 Pdf 🖂 🖷
ſ	Sync Report				
	09/15/2016 07:23				
	Summary				
	# of Records Proce	ssed 45	# of Users Deleted	0	
1	# of Users Added	0	# of Users Not Changed	-	
	# of Users Updated		# of Errors	0	
	Updated Users				
l	Line Number	User		Site	Department
l	36	Saunders, Kathy (Payroll Clerk)		Corporate Headquarters	Human Resources
l	Users Not Chan	ged			
l	Line Number	User			
l	2	Allison, Todd			
l	3	Benton, Carol			
l	4	Breen, Darren			
l	5	Calfus, Steven			
1	6	Cane, Taylor			
1	7	Cash, Jordon			
1	8	Chen, Jodi			
l	9	Christenson, Robert			
l	10	Dennison, Betty			
	11 Driggs, Shiela				
	12	Duck, Donald			
	13	Ellis, Darcy			
	1/3				
L					

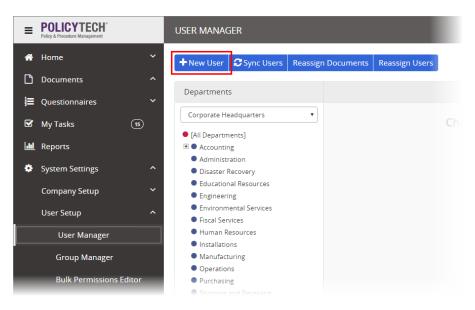
Note: Each report is automatically saved in the PolicyTech database. To view a sync report from a previous user sync, click **Sync Users**, find the report in the **User Sync Reports** box, and then click **View**. You can also click **XML** and follow the prompts to download the report as an XML file.

14. In the main PolicyTech window, click **Close**.

Adding a User Manually

To add a user manually,

- 1. Click System Settings, click User Setup, and then click User Manager
- 2. Click New User.



- 3. In the **General Information** tab, provide at least the required user information (see Providing General User Information), and then click **Save**.
- 4. Click **Next** to go to **Roles** and assign roles as necessary (see <u>Assigning</u> <u>Roles</u>).
- 5. Click **Next** to go to **System Permissions** and assign permissions as necessary (see <u>Assigning System Permissions</u>).
- 6. Click **Next** to go to **Proxy Settings** and make proxy assignments as necessary (see <u>Assigning a Proxy Author</u>).
- 7. (Optional) Click **Next** to go to the **Manager** tab and make manager assignments as necessary (see Assigning a Manager).
- 8. Click Save and Close.

Providing General User Information

1. In a new user form, under **Basic Information**, enter the user's identifying information.

Important: If your organization's security policy requires that only users know their own passwords, you can require that new users change their passwords upon first login. See <u>Password Settings for PolicyTech-Managed</u> <u>Users</u> for details.

Notes:

- All basic information is required except for Middle Name and Email Address. However, if the user is designated as an administrator when assigning system permissions, then Email Address is also required.
- The Unique Employee ID can be the same as Username.

ew User				0	×
General Information					
BASIC INFORMATION					
First Name	Middle Name	Last Name	Email Address		
Username	Password	Unique Employee ID			
BASIC SETTINGS Site	Department	Job Title (Select a Departm			
Corporate Headquarters ~	Select a Department V	Select a Job Title (Optional) Y			
This user needs to be saved before a	additional departments or job titles ca	n be managed.			
OTHER SETTINGS					
Domain La	nguage				
None 🗸	(Default) Y	ock user out of system			
Custom Attributes					
			Save Save and Close	Next	٦

2. Under **Basic Settings**, assign the user to a site and department.

Important: You can assign a user to more than one department and job title, but not until after you save the user for the first time. See <u>Assigning Additional</u> <u>Departments and Job Titles</u> for details.

You have now entered and selected all the information necessary to add the new user. Continue with the following steps, which guide you through the remaining optional settings, or click **Save** to finish adding the user now. You can then change or add user settings later, if needed.

3. (Optional) Assign a job title.

Important: Because many PolicyTech tasks can be assigned by job title across multiple departments, we recommend assigning job titles to all users to avoid the inefficiency of assigning users individually. For details on creating job titles, see <u>Working with Job Titles</u>.

4. (Optional) The **Domain** option is active only if one or more domains have been added in the **Active Directory** tab of **Login Settings** (see <u>Active</u> <u>Directory Settings</u>). Use this option to manually activate (select the user's Active Directory domain) or deactivate (select **None**) this user from using Active Directory credentials to log in.

Note: The **Domain** setting is typically set when syncing user information with Active Directory.

5. (Optional) Select the language for this user's PolicyTech user interface text.

Note: The languages available depend on which have been added to PolicyTech.

6. (Optional) If your organization has purchased dedicated licenses and you want to assign this user a dedicated license (as opposed to the default concurrent user license), select **Assign dedicated license**.

Note: If the option is inactive (grayed out), then all available dedicated licenses have already been assigned. If you don't see this option, then your organization has not purchased dedicated licenses.

- 7. (Optional) If you need to temporarily prevent this user from logging in for any reason, select **Lock user out of system**.
- 8. (Optional) If custom attributes have been added (see <u>Custom Attributes</u>) and you want to assign any to this user, click **Save**, and then click **Custom Attributes**. Select or enter attribute values, and then click **Save**.

Note: The user record must be saved at least once before you can add custom attributes.

Site	Department	Job Title (Engineering)	
Corporate Headquarters	 Engineering 	✓ Software Support Engineer	~
This user needs to be saved befo	re additional departments or job t	les can be managed.	
OTHER SETTINGS			
Domain	Language		
None ~	(Default) ~	Lock user out of system	
Custom Attributes			
			Save Save and Close Next

- 9. Do one of the following:
 - Click **Next**, and then continue with one of the following user setup tasks:

Assigning Document Roles Assigning System Permissions Assigning Proxy Settings Assigning a Manager

Click Save and Close.

Assigning Roles

By assigning roles, you can control who can own, write, review, approve, and read documents or complete questionnaires. You can also control who can see pending and archived documents/questionnaires and who can create and modify templates. PolicyTech assigns each new user only the Assignee role by default.

You can assign document roles while creating or editing a user (see <u>Adding a</u> <u>User Manually</u> or <u>Editing a User</u>).

1. With a user form open, click the **Roles** tab.

Fawna Gifford		Θ×
General Information Roles System Permissions Mana	ger	
Select the Roles for Tawna from the options below.	Selected Roles	圃
 Document Owner Approves Own Documents Approver Completes Approval Assignments in Bulk Pending Documents Assignee Archived Documents Template 	Roles Assignee	*
	Back Archive Save Save and Close	Next

- 2. Select or click to clear roles. Each role is described in the "Role Descriptions" section below.
- 3. Do one of the following:
 - Click Save, and then continue with one of the following user setup tasks:

Providing General Information Assigning System Permissions Assigning Proxy Settings Assigning a Manager

• Click Save and Close.

Role Descriptions

Role	Description
Document Owner	A document owner has the following responsibilities for each owned document or questionnaire:
	 Create the document/questionnaire
	 Assign writers, proxy authors, reviewers, approvers, and assignees (users who must read the document or complete the questionnaire)
	 Assign departments and categories

	 Write the document/questionnaire content or assign another user to write it
	 Manage the document/questionnaire through the review and approval process, making revisions as necessary
	 As the document/questionnaire is periodically reviewed, create new versions and make necessary updates
	 When necessary, a document owner can also do the following with an owned document/questionnaire:
	 Submit the draft document/questionnaire directly to approval if no reviewers are assigned
	 Set the document/questionnaire as approved if assigned the Approves Own Documents role
	 Modify the designated assignees of published documents/questionnaires
	Archive the document/questionnaire
Approves Own Documents	This document role applies only to users assigned the Document Owner role. With the Approves Own Documents role assigned, a document owner can approve his or her own documents/questionnaires without having to go through the review and approval process.
	Note: If a document's/questionnaire's template contains required reviewers or approvers, the document owner is not allowed to approve the document/questionnaire, even with the Approves Own Document role assigned.
Writer	A document owner can assign any user with the Writer role to write or collaborate in writing a document or questionnaire. A writer cannot, however, access or change any of the document's/questionnaire's properties (assignments, categories, security, etc.). A writer can edit an assigned document/questionnaire only while it is in the Collaboration status.
Reviewer	A document owner can assign any user with the Reviewer role to review documents and questionnaires. A reviewer can accept an assigned document/questionnaire as it is, revise it, or decline it. Those assigned the Reviewer role are typically subject matter experts and managers.
Approver	A document owner can assign any user with the Approver role to approve documents and questionnaires. An approver can accept an assigned document/questionnaire as is, revise

	it, or decline it. Because an approver is legally responsible for a document's/questionnaire's contents, those assigned the Approver role are typically managers or company executives.
Completes Approval Assignments in Bulk	By default, user's assigned the approver role must approve documents and questionnaires individually. A user assigned the Completes Approval Assignments in Bulk role is able to select multiple approval tasks and complete them all at once.
Pending Documents	A user assigned the Pending Documents role can see documents and questionnaires that are approved but not yet published because of a pending publication date. Access is limited to documents/questionnaires the user would be able to see once they are published.
Assignee	A user given the Assignee role can be assigned to read documents and complete questionnaires, and can see all accessible published documents whose security is set to All Users .
Archived Documents	A user assigned the Archived Documents role can see archived documents and questionnaires. Access is limited to documents/questionnaires the user would be able to see if they were in published status.
Template	A user assigned the Template role can view, create, and edit templates, but cannot archive them.
Proxy Author	Unlike the other roles listed in this table, the Proxy Author role is assigned in the Proxy Settings tab of User Manager . For details on what a user assigned this permission can do, see <u>Assigning a Proxy Author</u> .

Assigning System Permissions

By assigning system permissions, you can control who can perform specific management functions within PolicyTech. These permissions can apply to a single site or to all sites.

You can assign system permissions while creating or editing a user (see <u>Adding</u> <u>a User Manually</u> or <u>Editing a User</u>).

To assign system permissions to a user,

1. With a user open, click the **System Permissions** tab.

wna Gifford		0 x
General Information Roles System Permissions	Proxy Settings Manager	
Select the System Permissions for Tawna from the options belo	DW.	
Sites Choose	~	
Available Permissions	Selected Permissions	匬
Choose a site to view available permissions.		•
	Back Archive Save Save and Close	Next

- 2. For **Sites**, do one of the following:
 - If you want this user's assigned permissions to apply to all sites, click All Sites (Global Permissions).
 - If you want the assigned permissions to apply to only one site, click that site.
- 3. In the **Available Permissions** box, select the permissions you want to assign this user. Each permission is described in the "System Permission Descriptions" section below.

General Information	Roles	System Permissions	Manag
Select the System Perm	issions for T	awna from the options b	elow.
Sites			
All Sites (Global Permis	sions)		~
Available Permissions			
Available Permissions			
Category Owner			
Category Owner Administrator			
Category Owner Administrator Company / User System / IT Report Manager			
Category Owner Administrator Company / User System / IT			

4. Do one of the following:

 Click Save, and then continue with one of the following user setup tasks:

Providing General Information Assigning Roles Assigning Proxy Settings Assigning a Manager

• Click Save and Close.

System Permission Descriptions

System Permission	Description
Category Owner	A user assigned this permission can immediately access and edit all unassigned categories and their subcategories. Assigning a user the Category Owner permission also adds that user to the list of category owners that can be assigned when adding or editing a category (see <u>Adding a Category</u>). When assigned to a category owner, a category can only be accessed and edited by that category owner and administrators.
Administrator for All Sites	To assign this permission, in the Sites list, click All Sites (Global Permissions), and then select Administrator .
(Global	When assigned this permission, a user can do the following.
Permissions)	Preferences: Access and edit all preferences (Company Setup , User Setup , Document Setup , and System / IT Settings), including designating other users as global or site administrators.
	Reports: Generate and view reports and access other reporting options.
	Documents:
	 Do everything a document owner can do (see <u>Document</u> <u>Role Descriptions</u> for details) except be assigned to own a document.
	 Set a document as approved, skipping all assigned writers, reviewers, and approvers.
	 Edit an approved document in its current state without sending it back to draft or creating a new version. (The document owner receives notification that the document has been edited.)
	 Skip the next review date anytime (designate as No Revision Necessary), even before the review warning

	period.
for a Single	To assign this permission, in the Sites list, click a site name, and then select Administrator .
Site	Except for the exceptions listed below, an administrator for a single site can do everything on that site that an administrator for all sites can do.
	 A site administrator cannot access the following preferences: General Properties in Company Setup; Default Properties in Document Setup; all System / IT Settings preferences.
	 Because a global administrator can assign a category or template to multiple sites, changes a site administrator makes to an existing category or template affects it at all assigned sites. However, a site administrator cannot assign new categories or templates to other existing sites. But a site administrator can choose to have the new category automatically assigned to new sites as they are created.
	 When assigning system permissions to users, a site administrator can only assign them for that administrator's assigned site.
Company / User	If assigned this permission for all sites, a user can access and edit all the Company Setup and User Setup preferences that a global administrator can access and edit. A user assigned this permission for a single site is limited to the Company Setup and User Setup preferences a site administrator can access and edit.
System / IT	A user assigned this permission can access and edit all of the System / IT Settings for all sites. Only a global administrator can assign this permission and only when All Sites (Global Permissions) is selected.
Report Manager	When assigned this permission, a user can access all reports, except login reports.
Access Site	By default, a user only has access to the site assigned to that user in the General Properties tab of the user form. You can assign a user the Access Site permission to grant that user access to other sites. With the exception of the Administrator permission, which can be granted on a per site basis, whatever roles and permissions the user has in his or her primary site will be in force in other sites that user is granted access to.

	Note: Assigning a user to a department at a different site in the General Properties tab of the user form in User Manager also grants the user access to that site (see <u>Assigning Additional Departments and Job Titles</u> for details).
View Docs All Departments	This permission is available only if you choose to restrict users to seeing the documents for their assigned departments only (see <u>General Properties Settings</u>) and only when you select All Sites (Global Permissions) . (By default a user given the assignee role can view all unrestricted published documents assigned to any department.) You can override this restriction for a specific user by assigning the View Docs All Departments permission.
Case Manager	This permission is available only if case management integration has been enabled and set up (see <u>Set Up Case</u> <u>Management Integration</u> for details). When assigned this permission, a user can request that any accessible document be updated.

Assigning a Proxy Author

A proxy author is a user who writes a document or questionnaire on behalf of a document owner. When you designate a user as a proxy author, you must also designate one or more document owners the user can proxy for.

The following describes what a proxy author can and cannot do:

- Can create documents/questionnaires for assigned document owners only
- Can access and edit all draft documents/questionnaires for assigned document owners regardless of whether they were created by the proxy author or the document owner
- Cannot submit a document/questionnaire for review or approval but can request that the document owner do so
- Can view assigned document owners' documents/questionnaires throughout the review and approval process

How you assign a proxy author depends on whether you're doing it from the document owner's user form or from the user's form whom you want to assign as a proxy author for a document owner.

Assign a User as a Proxy Author

Note: Proxy authors can only be assigned to users assigned the Document Owner role.

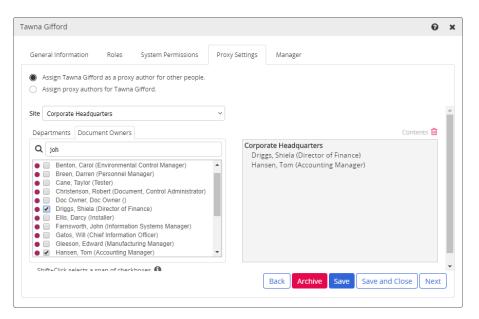
- 1. With a user form open, click the **Proxy Settings** tab.
- 2. Click Assign [user name] as a proxy author for other people.

Tawna Gifford	Ø ×
General Information Roles System Permissions P 	Proxy Settings Manager
	Contents a
Benton, Carol (Environmental Control Manager) Breen, Darren (Personnel Manager) Cane, Taylor (Tester) Christenson, Robert (Document, Control Administrator) Doc Owner, Doc Owner () Driggs, Shiela (Director of Finance) Ellis, Darcy (Installer) Farnsworth, John (Information Systems Manager) Gatos, Will (Chief Information Officer) Geleson, Edward (Manufacturing Manager) Hansen, Tom (Accounting Manager)	Hansen, Tom (Accounting Manager)
Shift+Alirk calarte a enan of rharkhovae 🔒	Back Archive Save Save and Close Next

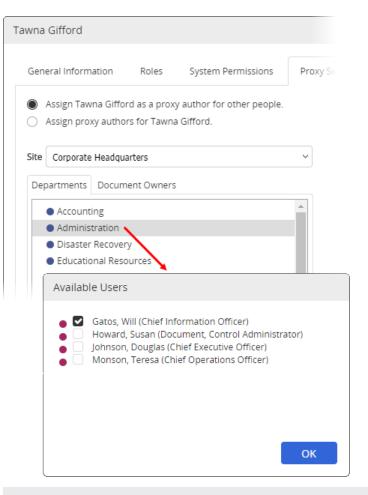
- 3. If multiple sites exist, select the site containing a document owner the current user will act as proxy for.
- 4. Find and select the document owner using one of the following methods:
 - In the Search Document Owners box, start typing the document owner's last or first name. A list appears of document owners containing the characters you typed that are anywhere in their first or last name. Click a name in the list.

Т	awna Gifford					
	General Inform	nation	Roles	System Permissions	Pro	xy Settir
			d as a proxy s for Tawna	author for other people. Gifford.		
	Site Corporate	e Headqua	rters		~	
	Departments	Docume	ent Owners			
	Q joh					C
	Johnson		(Chief Execut	Systems Manager) ive Officer)		
	Christ Doc C Driggs	enson, Rol wner, Doc	bert (Docume : Owner () Director of Fin	ent, Control Administrator; nance)		

With the **Document Owners** tab selected, select one or more document owners.



 With the **Departments** tab selected, click a department to display the document owners (if any) assigned to that department, select one or more document owners, and then click **OK**.



Note: To remove a selected name, click it, and then click ii.

- 5. (Optional) To assign the current user as a proxy author to another document owner, repeat steps 3 and 4.
- 6. Do one of the following:
 - Click Save, and then continue with one of the following user setup tasks:

Providing General Information Assigning Roles Assigning System Permissions Assigning a Manager

Click Save and Close.

Assign Proxy Authors to a Document Owner

Note: Assigning proxy authors takes effect only when the current user is assigned the Document Owner role.

- 1. With a user open, click the **Proxy Settings** tab.
- 2. Click Assign proxy authors for [user name].

Tom Hansen		ø ×
General Information Roles System Permissions	Proxy Settings	Manager
 Assign Tom Hansen as a proxy author for other people. Assign proxy authors for Tom Hansen. 		
Site Corporate Headquarters	~	
Departments Users		Contents 💼
Q Search Users		
Select Users by typing their name or switch the tab to Department or Job Titles.		
Chift+Clirk calarte a enan of charkhovae 🖪	(Back Archive Save Save and Close Next

- 3. If multiple sites exist, select the site containing a user you want to assign as a proxy author.
- 4. Find and select the user using one of the following methods:
 - In the Search Users, start typing the user's last or first name. A list appears of users containing the characters you typed that are anywhere in their first or last names. Click a user to add to the Selected Users box.

Gene	eral Information	Roles	System Permissions	Pro
0 4	Assign Tom Hanser	i as a proxy	author for other people.	
)	Assign proxy autho	rs for Tom H	lansen.	
Site	Corporate Headqua	arters		~
Sile				
Dep	artments Users			
Q	john			
Sel	Farnsworth, John	(Informatio	n Systems Manager)	
De	Johnson, Douglas	(Chief Exec	utive Officer)	_

• With the **Departments** tab selected, click a department to display the users assigned to that department, select a user, and then click **OK**.

То	m H	ansen					
	Gen	eral Informat	tion	Roles	System Permission	s	Proxy Se
		Assign Tom I Assign proxy			author for other peopl lansen.	e.	
	Site	Corporate H	Headquar	ters			~
	De	partments	Users				
		 Accountin Administr Disaster R Education 	ation lecovery	Irces			•
Available Users							
			Gatos Howa Johns Jones,	, Will (Chie rd, Susan (on, Dougla Anne (Chi	pliance Officer) f Information Officer) Document, Control Ad is (Chief Executive Offic ef Finance Officer) (Chief Operations Offic	:er)	ator)
							ОК

Note: To remove a selected name, click it in the **Selected Users** box, and then click $\widehat{\blacksquare}$.

- 5. (Optional) To assign another proxy author to the current user, repeat steps 3 and 4.
- 6. Click Save or Save and Close.

Assigning a Manager

In the **Manager** tab you can either assign the current user as a manager of other departments and users, or you can assign some other user as manager of the current user. For details on what being a manager in PolicyTech entails, see <u>Manager Permissions</u>.

Assigning This User as a Manager

- 1. With a user form open, click the **Manager** tab.
- 2. Click Assign [*user name*] as a manager for other departments or people.

Tom Hansen	Θ×
General Information Roles System Permissions Proxy Settings Manager	
Assign Tom Hansen as a manager for other departments or people.	
Assign a manager for Tom Hansen.	
Site Corporate Headquarters	A
Departments Users	Contents 💼
Accounting	
Administration	
Disaster Recovery Educational Resources	
Engineering	
Environmental Services	
Fiscal Services	
Human Resources	
Installations	
Manufacturing	Departments (***)
Shift+Click calarts a snan of charkhovas	•
Back	hive Save Save and Close

- 3. If multiple sites exist, select a site containing at least one department or user you want the current user to manage.
- 4. Do any of the following to select departments, users, or both:
 - In the **Departments** tab, select one or more departments.

Tom Hansen	Ø	×
General Information Roles System Permissions Proxy Settings Manager		
 Assign Tom Hansen as a manager for other departments or people. Assign a manager for Tom Hansen. 		
Site Corporate Headquarters v		^
Departments Users	Contents 🛍	
Corporate Headquarters Department: Accounting Administration Disaster Recovery Educational Resources Engineering Environmental Services Human Resources Human Resources Installations		
Initialiaduolis Manufacturing Inicludes Sub Departments (***)		
Chiff+Click colorite a enan of charkhoved	ave and Close	•

Important: By default, selecting a department makes the user manager of that

department only. If you want the user to also manage any subdepartments of the selected department, in the box on the right, click the department name, and then select **Includes Sub Departments**.

Contents 🔟
Corporate Headquarters
***Department: Accounting
▼ Includes Sub Departments (***)
· · · · · · · · · · · · · · · · · · ·
Back Archive Save Save and Close
Back Mente Save Save and close

Note: After selecting a department, you can display the current users in that department. In the box on the right, click the department name, and then, near the upper right corner of the box, click **Contents**.

In the Departments tab, click a department name, select one or more users, and then click OK.

om Hansen	
General Information Roles System Permissions	Proxy Setting
 Assign Tom Hansen as a manager for other departments of Assign a manager for Tom Hansen. 	or people.
Site Corporate Headquarters	~
Departments Users	
Accounting Administration Disaster Recovery Available Users	
 Cash, Jordon (Accounts Payable Clerk) Gifford, Tawna (Accounts Receivable Clerk) Hansen, Tom (Accounting Manager) Woo, Josh (Accountant) 	
	ОК

 In the Search Users box of the Users tab, start typing a user's first or last name, and then, when the user's name appears in the search list, click it.

General Information	Roles	System Permissions	Proxy Setting
 Assign Tom Hanse Assign a manager 		ger for other departments sen.	or people.
Site Corporate Headqu	arters		~
Departments Users			
Q joh			
Sele Farnsworth, John	(Information	n Systems Manager)	
Der Joh nson, Douglas	s (Chief Execu	utive Officer)	
Shift+Click colorte a	nan of charl	khoves A	

- 5. (Optional) To add departments or users from a different site, repeat steps 3 and 4 above.
- 6. Do one of the following:
 - Click Save, and then continue with one of the following user setup tasks:

Providing General Information Assigning Roles Assigning System Permissions Assigning Proxy Settings

• Click Save and Close.

Assigning a Manager to This User

- 1. With a user form open, click the **Manager** tab.
- 2. Click Assign a manager for [user name].

If one or more managers have already been selected for this user's department, they will be listed in the box on the right.

Tom Hansen	0	×
General Information Roles System Permissions Proxy Settings Manager		
 Assign Tom Hansen as a manager for other departments or people. Assign a manager for Tom Hansen. 		
Site Corporate Headquarters V		^
Departments Users Q Search Users Managers of This User's Department(s)	Contents 🗎	L
Select Users by typing their name or switch the tab to Department or Job Titles.	J	L
		L
		L
Chiftaflirk calarte a enan of rharkbovas 🙃 Back Archive Save	Save and Close	

- 3. If multiple sites exist, select a site containing at least one user you want to assign as the current user's manager.
- 4. Do any of the following to select one or more users:
 - In the Search Users box of the Users tab, start typing a user's first or last name, and then, when the user's name appears in the search list, click it.

om Hansen			
General Information	Roles	System Permissions	Proxy Settings
Assign Tom HanserAssign a manager f		ger for other departments sen.	or people.
Site Corporate Headqu	arters		~
Departments Users			
Q joh			
Sele Farnsworth, John	-		
Der Johnson, Douglas	(Chief Execu	utive Officer)	_
Shift+Click salarts as			
Shitt+Flick calacte a e	nan of charl	NOVAC BE	

 In the **Departments** tab, click a department name, select one or more users, and then click **OK**.

Tom H	Hansen							
Ger	neral Information	Roles	System Permissions	Proxy Sett				
0 0	Assign Tom Hanser Assign a manager f		ger for other departments sen.	or people.				
Site	Corporate Headqu	arters		~				
De	epartments Users							
	AccountingAdministrationDisaster Recover	y						
	Available Users							
	 Cash, Jordon (Accounts Payable Clerk) Gifford, Tawna (Accounts Receivable Clerk) Hansen, Tom (Accounting Manager) Woo, Josh (Accountant) 							
				ОК				

- 5. (Optional) To add users from a different site, repeat steps 3 and 4 above.
- 6. Click Save or Save and Close.

Assigning Additional Departments and Job Titles

Note: A user must be saved before you can assign additional departments and job titles. If you are creating a new user, click **Save and Continue**, and then click the **General Information** tab before starting the steps below.

1. With a user form open, in the **Basic Settings** area or the **General** Information tab, click Additional Departments or Job Titles for [*user name*].

Note: For details on finding and opening a user form, see Editing a User.

wna Gifford			0
General Information Ro	les System Permissions	Proxy Settings Manager	
BASIC INFORMATION			
First Name	Middle Name	Last Name	Email Address
Tawna		Gifford	tg@email.com
Username	Password	Unique Employee ID	
******	*******	5	
BASIC SETTINGS			
Site	Department	Job Title (Accounting)	
Corporate Headquarters	 ✓ Accounting 	✓ Accounts Receivable Clerk ✓	
Additional Departments or Job	Titles for Tawna Gifford (0)		
OTHER SETTINGS			
Domain	Language		
None	English (English)	Lock user out of system	
Custom Attributes			
		Archive	Save Save and Close Next

2. Click Add Another.

ger

3. If multiple sites exist, select a site containing the department you want to assign.

Department & Job Title Selection							
Site Corporate Headquarters	Department Accounting	Job Title (Accounting)					

- 4. In the **Department** list, click a department.
- 5. (Optional) In the **Job Title** list, click a job title.

- 6. Click Save.
- 7. (Optional) To assign the user to another department and job title, repeat steps 2 through 6.
- 8. Click Close.

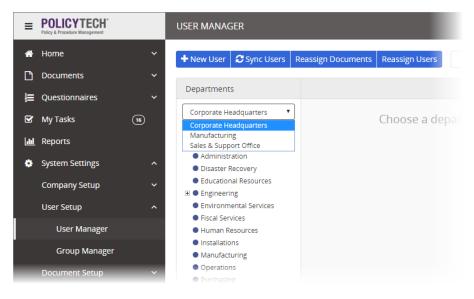
Manager Permissions

A user you assign to manage a department or specific users can perform the following functions for assigned users only.

- Change a user's profile, with control over only the following information and settings:
 - General Information data fields and options: First Name, Middle Name, Last Name, Unique Employee ID, Site Department, Job Title, and Additional Departments or Job Titles (for subdepartments only)
 - Document Roles options: Writer, Reviewer, Assignee
 - **Proxy Settings** assignments: Can assign a user as a proxy author only for other users within the department and can assign other users within the department as proxy authors for the current user
 - Manager assignments: Can assign a user as a manager of a department or of specific users. The departments and users a manager can assign are limited to those the manager has access to by virtue of his or her own manager assignment. Let's say, for example, that the user Josh Woo is assigned a manager of the accounting department, including subdepartments, and that the accounting department contained the accounts receivable and accounts payable subdepartments. Josh could only assign other users within the accounting , accounts receivable, and accounts payable departments as manager. What's more, Josh could only assign these available users as managers of one or more of his three managed departments or as managers of specific users within one of those three departments.
- Create a new user (department managers only).
- Run management reports on managed department or specifically assigned users
- Receive escalation notifications for managed department or specifically assigned users' overdue tasks
- Change assignee designations for documents and questionnaires assigned to the managed department or to directly managed users

Editing a User

- 1. Click System Settings, click User Setup, and then click User Manager.
- 2. If multiple sites exist, select the site containing the user you want to edit.



- 3. Do one of the following to find the user:
 - Click the department containing the user.

Note: You can re-sort the user list by clicking the **First Name**, **Last Name**, or **Job Title** column heading. Click the column heading again to reverse the sort order. You can also change which columns are displayed and how many users are displayed at a time (see <u>Customizing the User Grid</u> for details).

Departments							0	۰
Corporate Headquarters	8	First Name	Last Name 🔺	Job Title				
[All Departments]		Jodi	Chen	Compliance Officer		 		
Accounting Administration		Will	Gatos	Chief Information Officer				
 Disaster Recovery Educational Resources 		Susan	Howard	Document, Control Administrator				
• • Engineering	Douglas Johnson Chief Executive Officer							
 Environmental Services Fiscal Services 		Anne	Jones	Chief Finance Officer				
Human Resources Installations		Teresa	Monson	Chief Operations Officer				
Installations Manufacturing Operations Ourchasing Shipping and Receiving Software Development Systems Administration Technical Services	4							

 In the Search box, type as much of the user's name as you know, and then click

Note: Users' first and last names are searched by default. To change this setting, click **•••**, and then, for **Search Field**, click **Last Name**, **First Name**, or **Unique Employee ID**.

		4	Do	uglas	Johns	ion 🔻	
]				Q	•••	
					•	0	
Name	Last N	ame	^	lob T	itle		

4. Click the user name.

awna Gifford						0	×
General Information	Roles	System Permissions	Prox	y Settings Manager			
BASIC INFORMATI	ON						
First Name		Middle Name		Last Name	Email Address		
Tawna				Gifford	tg@email.com		
Username		Password		Unique Employee ID			
******		*******		5			
BASIC SETTINGS							
Site		Department		Job Title (Accounting)			
Corporate Headquarters	• •	Accounting	~	Accounts Receivable Clerk 🛛 🗸			
Additional Departments o	r Job Titles	for Tawna Gifford (0)					
OTHER SETTINGS							
Domain	La	inguage					
None	~	English (English) 🗸 🗸	Ο ι	ock user out of system			
Custom Attributes							
				Archive	Save Save and Close	Next	

- 5. Make the necessary changes. See <u>Adding a User Manually</u>, <u>Assigning</u> <u>Roles</u>, <u>Assigning System Permissions</u>, <u>Assigning a Proxy Author</u>, and <u>Assigning a Manager</u> for details on user information, settings, and assignments.
- 6. Click Save and Close.

Archiving a User

To archive (deactivate) a user,

- 1. Click System Settings, click User Setup, and then click User Manager
- 2. Do one of the following to find the user:
 - Click the department containing the user.

Note: You can re-sort the user list by clicking the **First Name**, **Last Name**, or **Job Title** column heading. Click the column heading again to reverse the sort order. You can also change which columns are displayed and how many users are displayed at a time (see <u>Customizing the User Grid</u> for details).

Departments					0	•
Corporate Headquarters		First Name	Last Name 🔺	Job Title		
[All Departments]		Jodi	Chen	Compliance Officer		^
Accounting	_	Will	Gatos	Chief Information Officer		
 Administration Disaster Recovery 						
 Educational Resources 		Susan	Howard	Document, Control Administrator		
🗉 🔍 Engineering		Douglas	Johnson	Chief Executive Officer		
Environmental Services		Anne	lones	Chief Finance Officer		
 Fiscal Services Human Resources 		Anne	Jones			
 Installations 		Teresa	Monson	Chief Operations Officer		
Manufacturing						
 Operations 						
 Purchasing Shipping and Receiving 						
 Snipping and Receiving Software Development 						
 Systems Administration 						
Technical Services						

 Click in the Search box, and the for Search Field, click Full Name, Last Name, or First Name. Type as much of the user's name as you know, and then click Search.

	🔒 D	ouglas	Johns	on 🔻
	joh		Q	
			٥	0
Name	Last Name 🔺	lob T	Title	

3. Click the user name.

General Information Roles	System Permissions Proxy	/ Settings Manager			
First Name	Middle Name	Last Name	Email Address		
Tawna		Gifford	tg@email.com		
Username	Password	Unique Employee ID			
*******	*******	5			
BASIC SETTINGS Site	Department	Job Title (Accounting)			
Corporate Headquarters	Accounting ~	Accounts Receivable Clerk			
Additional Departments or Job Titles OTHER SETTINGS	for Tawna Gifford (0)				
Domain La	nguage				
None ~ E	inglish (English) 🛛 🗸 🗌 Lo	ock user out of system			
Custom Attributes					
		Archive	Save Save and Close	Next]

4. Click Archive, and then click Yes to confirm.

Notes:

- See <u>The Archive</u> for details on restoring a user.
- If the user was a document owner with assigned documents or questionnaires, you will receive an email asking you to reassign the archived user's documents/questionnaires to a different document owner (see <u>Reassigning Document Owners</u> for details).

Reassigning Document Owners

The document owner plays a central role in the process of getting a document or questionnaire from draft stage through to approval. Once a document/questionnaire is approved, the document owner is responsible to periodically review and create new versions of the document/questionnaire. When you need to reassign or archive document owners due to changing responsibilities or when document owners leave the organization, you can easily reassign those owners' documents/questionnaires to other document owners.

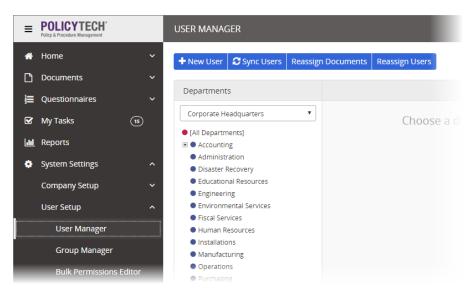
There are two ways to reassign document owners:

- Before deleting the user or removing the user's document owner role, use Reassign Document Owners in User Manager to list and reassign that document owner's documents/questionnaires.
- If you archive the user or remove the user's document owner role without reassigning the user's documents/questionnaires, you will receive an email prompting you to reassign them. A **Reassign** task will also be placed in the

My Tasks list. Click the link in the email or task to reassign the documents/questionnaires.

Reassign Documents/Questionnaires before Removing a Document Owner

- 1. Click System Settings, click User Setup, and then click User Manager.
- 2. Click Reassign Documents.



3. If multiple sites exist, select the site containing the document owner whose documents you need to reassign.

Reassign Document	S			8 ×
Use the document finde	r to select documents to reassign. Then	selec	t the new document owner below and press the	More 🛠
Content Type	Documents	~		
Site	Corporate Headquarters	~		
Select By	Title	~		
Title	Title			
Available Documents	Reference # Department		Selected Documents	Ŵ
Select a document by t changing the Select By	Department Group			*
	Document Owner			
	Writer Writer Group Reviewer			
Shift+Click selects a sp	Approver			-
Document Owner	Approver Group	•		
Corporate Headquarter	s v Select a new document owne	r		✓ Reassign

4. For Select By, click Document Owner.

5. Select a document owner.

Reassign Document	S			8 ×				
Use the document finde	Use the document finder to select documents to reassign. Then select the new document owner below and press the More ¥							
Content Type	Documents	~						
Site	Corporate Headquarters	~						
Select By	Document Owner	~						
Document Owner	Select User	~						
Available Documents	 Driggs, Shiela (Director of Finance) 	•	Selected Documents	Đ				
Shift+Click selects a sp Add Filter(s)	 Ellis, Darcy (Installer) Farnsworth, John (Manager) Gatos, Will (Chief Information Officer) Gleeson, Edward (Manager) Hansen, Tom (Manager) Johnson, Douglas (Chief Executive Officer) Leonard, Lynn (Director of 	•		*				
Document Owner								
Corporate Headquarter	s v Select a new document owne	r		✓ Reassign				

6. Select the documents you want to reassign. To quickly select all of the documents, click **Add All From** [*document owner*].

Note: If you don't want to reassign all of the documents to a single document owner, select the set of documents you want assigned to one of the new document owners.

Reassign Documents			8 ×	
Use the document finder to select documents to reassign. Then select the new document owner below and press the			More 🛠	
Content Type	Documents	~		
Site	Corporate Headquarters	~		
Select By	Document Owner	~		
Document Owner	Hansen, Tom (Manager)	~	Add All From Hansen, Tom (Manager)	
Available Documents			Selected Documents	创
Account Collection Process (v.1) Account Collection Process (v.2) Account Collection Process (v.2) Account Collections Form (v.1) Americans with Disabilities Act (v.1) Assembly Manuals (v.1) Bad NSE Charks (v.1)				*
Shift+Click selects a span of checkboxes. Clear Filter(s) Clear Filter(s)				-
Document Owner Corporate Headquarters V Reassign				

7. Under **Document Owner** near the bottom, select the site the new document owner is assigned to.

8. Select a new document owner.

Available Documents	Selected Documents	Ô
Account Collection Proce	ss (v.1)	
Account Collection Proce	ss (v.1)	
Account Collection Proce	SS (V.2)	
Account Collections Form	n (v.1)	
🛯 📄 Americans with Disabiliti	es Art (v 1)	
Assembly Manuals (v.1)	Select a new document owner	
Rad NSE Charles (v 1)	Allison, Todd (Tester)	
•	Breen, Darren (Personnel Manager)	
Shift+Click selects a span of che	Cane, Taylor (Tester)	
Add Filter(s)	Christenson, Robert (Document, Control Administrator)	
Document Owner	Driggs, Shiela (Director of Finance)	
	Ellis, Darcy (Installer)	
Corporate Headquarters	Select a new document owner 🗸 🗸 🗸	Reassign

- 9. Click **Reassign**, and then click **OK**.
- 10. (Optional) If there are documents remaining in the list that you want to assign to a different document owner, repeat steps 3 through 9 above.
- 11. Close the Reassign Documents window.

Reassign Documents after Removing a Document Owner

1. Click My Tasks, and then click Reassign to show reassignment tasks.

≡	POLICYTECH° Policy & Procedure Management		MY TASKS	🔒 Douglas Johnson 🔻
*	Home	~		
Ľ	Documents	~	V 🚯 Approve	
j≡	Questionnaires	~	✓	
Ø	My Tasks (14	4	∧ ■ Reassign Documents	
[11]	Reports		Corporate Headquarters: Hansen, Tom (Manager)	Reassign Documents
٠	System Settings	~		
_		_		

- 2. Click Reassign Documents.
- 3. Select the documents you want to reassign.

Important: Be sure to scroll down to see additional documents.

Note: If you don't want to reassign all of the documents to the same document owner, select the set of documents you want assigned to one of the new document owners.

Reassign Documents			×
Tom Hansen			
User's job title has changed			
Content Type			
Documents			¥
Select documents to reassign 🕄			
Account Collection Process (v.1)			
Account Collection Process (v.1)			
Account Collection Process (v.2)			
Account Collections Form (v.1)			
Americans with Disabilities Act (v.1)			
Assembly Manuals (v.1)			
Bad NSF Checks (v.1)			
Bank Account Reconciliation (v.1)			
Bank Loan Applications (v.1)			
Banking Policy and Relations (v.1)			
Rest Accounting Dractices (v 1)			•
Document Owner			
Corporate Headquarters			•
Select a new document owner			•
	Cancel	ssign Keep A	All Documents
		issign _ keep /	

- 4. If multiple sites exist, select the site containing the new document owner.
- 5. Select a new document owner.

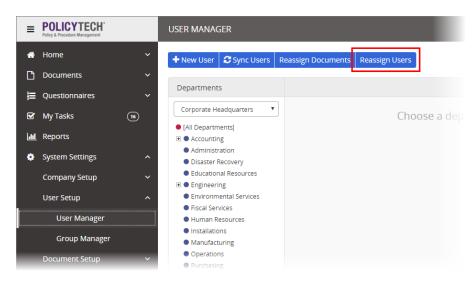
	Computer User & Staff Training Plan (v.1)				
	Document Owner				
	Corporate Headquarters	۲			
		_			
	Select a new document owner	۲			
	Select a new document owner	*			
	Benton, Carol (Environmental Control Manager)				
	Breen, Darren (Personnel Manager)				
_	Calfus, Steven (MSDS Technician)				
	Driggs, Shiela (Director of Finance)				
	Fillmore, Gregory (Programmer)				
	Gatos, Will (Chief Information Officer)				
	Gleeson, Edward (Manufacturing Manager)				
	Haas, Shana (MSDS Technician)				
	Hansen, Tom (Accounting Manager)				
	Johnson, Douglas (Chief Executive Officer)				
	Keller, Kevin (Programmer)				
	Lavin, Alice (Manager)				
	Leonard, Lynn (Director of Education)				
	Monson, Teresa (Chief Operations Officer)				
	Oppener, Susie (Director of Purchasing)				
	Potts, Tony (Document Control Administrator)				
	Rydalch, Cindy (Receiving)				
	Smith, Leroy (Creditor)				
	Soliz, Stacy (Network Assistant)	•			

- 6. Click **Reassign**, and then click **OK**.
- 7. (Optional) If there are documents remaining in the list that you want to assign to a different document owner, repeat steps 3 through 6 above.
- 8. Close the Reassign Documents window.

Reassigning Users to a Different Department

You can reassign multiple users at once to a different department.

- 1. Click System Settings, click User Setup, and then click User Manager.
- 2. Click Reassign Users.



- 3. If multiple sites exist, select the site containing the users you want to reassign.
- 4. Do one of the following to select users:
 - In the Search Users box, start typing part of the document owner's name. A list appears of users containing the characters you typed that are anywhere in their names. Click a name to add it.

Reassign Users		
Reassign users to another site and/or department within the organization.		
Site Corporate Headquarters ~		
Departments Job Titles Users	Contents 🗎	
Q jon		
Seld Des Jones, Anne (Chief Finance Officer)		
Shift+Click selects a span of checkboxes. 6	Next	

 Click the Job Titles tab. If you want to select all users with a particular job title regardless of which department they are assigned to, select that job title.

Reassign Users	8 ×		
Reassign users to another site and/or department within the organization.			
Site Corporate Headquarters Departments Job Titles Users	▼	Contents 💼	
	Corporate Headquarters Job Title: Accountant		

If you want to select only the users with a certain job title and that are assigned to a particular department, click \pm to expand the job title, and then select one or more departments.

Reassign Users 0			
Reassign users to another site and/or department within the or	ganization.		
Site Corporate Headquarters Departments Job Titles Users Accountant Accounting Manager Accounts Payable Clerk Accounts Receivable Clerk Accounts Rayble (Accounting) Accounts Receivable (Accounting) Accounts Receivable (Accounting) Accounts Receivable (Accounting) Cheif Executive Officer Cheif Executive Officer Chief Executive Officer Chief Information Officer Shift+Click selects a span of checkboxes.	Contents Corporate Headquarters Job Title: Accounts Receivable Clerk (Accounts Receivable		
	Next		

If you want to select only certain users with particular job title, click the job title, and then select users.

Reassign Users	
Reassign users to another site and/or department within the organization	
Site Corporate Headquarters ~	
Departments Job Titles Users	
• □ Accountant • □ Accounting Manager • □ Accounting Manager • □ ■ ■ ■ ■ ■ ■ ■ ■ ■ ■ ■ ■ ■ ■	C
Available Users	
 Cane, Taylor (Accountant) Keller, Kevin (Accountant) Saunders, Kathy (Accountant) Woo, Josh (Accountant) 	
0	к

• Click the **Departments** tab, and then select one or more departments.

Reassign Users			0	×	
Reassign users to another site and/or department within the o	organiz	ation.			
Site Corporate Headquarters	*		Conter		
Departments Job Titles Users Department Groups Departments	» «	Corporate Headquarters Department: Educational Resources	Conter		
Accounting Administration Disaster Recovery Educational Resources Engineering Environmental Services Elscal Services	-				

If you want to select only certain users within a department, click the department name, and then select users.

Reassign Users				
Reassign users to ar	nother site and/or department withir	n the organization.		
Site Corporate Hea	adquarters	~		
Departments Jol	o Titles Users			
Department Gro	oups	×		
Departments		~		
Account Account Account	ing s Receivable	^		
Avail	able Users			
	Cash, Jordon (Accounts Payable (Gifford, Tawna (Accounts Receive Hansen, Tom (Accounting Manag Holmes, Lucille (Accountant) Packer, Mary (Accountant) Schram, Johanna (Accountant) Steiner, Mark (Accountant) Woo, Josh (Accountant)	able Clerk)		
		ОК		

- 5. After selecting all the users you want to reassign, click Next.
- 6. If multiple sites exist, select the site containing the department you want the selected users assigned to.
- 7. Select a department.

Reassign Users			0	×
Reassign users to another site and/or department within the	organization.			
Select Department				
Site Corporate Headquarters ~	Department	Select a Department		~
		 Administration 		
		Disaster Recovery		
Name	New Job Title	 Educational Resources Engineering 		
Cash, Jordon (Accounts Payable Clerk)	Accounts Payable Clerk		~	-
Gifford, Tawna (Accounts Receivable Clerk)	Accounts Receivable Cle	erk	~	
Hansen, Tom (Accounting Manager)	Accounting Manager		~	
Woo, Josh (Accountant)	Accountant		~	•
	Pa	ge 1 of 1 (4 items) < [1]	\geq	
		Back Reass	ign Us	ers

- 8. (Optional) If necessary, select different job titles for the selected users.
- 9. Click Reassign Users, and then click OK.

Resetting a User's Password

If a user has forgotten his or her password, you can do either of the following to help the user regain access to PolicyTech:

 If you have set up PolicyTech to send email notifications (see <u>Email</u> <u>Settings</u>) and have assigned the user with the forgotten password a valid email address in **User Manager** (see <u>Adding a User Manually</u>), you can have the user reset his or her password by clicking **Forgot password?** in the login screen and following the prompts. This method requires that the user know his or her user name. You can refer the user to the "Resetting a Forgotten Password" section in the <u>User's Guide</u> for detailed instructions.

	YTECH TM lure Management
Username	
Password	
	Log in
	Forgot password

 To reset the user's password yourself, open the user's profile, type a new password, and then save your change (see <u>Editing a User</u> for detailed instructions).

Note: If you have enabled the **Allow users to change password anytime** setting in the **PolicyTech Managed** tab of **Login Settings**, the user can change the password you set in User Manager after he or she logs in. You can refer the user to the "Changing your Profile Settings" section in the <u>User's Guide</u> for detailed instructions.

vna Gifford			0	;
General Information Ro	oles System Permissions	Proxy Settings Manager		
BASIC INFORMATION				
First Name	Middle Name	Last Name	Email Address	
Tawna		Gifford	tgifford@email.com	
Jsername	Password	Unique Employee ID		
*******	******	5		
Site Corporate Headquarters		Job Title (Accounting) Accounts Receivable Clerk ~		
Additional Departments or Job Titl OTHER SETTINGS Domain	es for Tawna Gifford (0) Language			
None ~	English (English) V	Lock user out of system		
Custom Attributes				
		Archive	Save Save and Close Nex	

Clearing a User Lockout

In **Login Settings**, you can opt to have PolicyTech lock out any user who has a certain number of unsuccessful login attempts in a row (see <u>Login Settings</u> for details).

- 1. To clear a user lockout, click **System Settings**, click **User Setup**, and then click **User Manager**.
- 2. Find and click the user (see Editing a User for details).

Note: In a User Manager list, a lock icon is displayed in the first column of any user who has been locked out.

3. In the **Other Settings** area of the **General Information** tab, click **Reset** failed login.

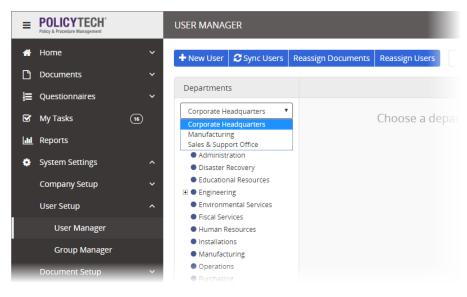
awna Gifford			⊗ ×		
General Information Role	es System Permissions Prox	y Settings Manager			
BASIC INFORMATION					
First Name	Middle Name	Last Name	Email Address		
Tawna		Gifford	tg@email.com		
Username	Password	Unique Employee ID			
*******	*******	5			
BASIC SETTINGS Site	Department	Job Title (Accounting)			
Corporate Headquarters	 ✓ Accounting ✓ 	Accounts Receivable Clerk 🛛 🗸			
Additional Departments or Job Titles for Tawna Gifford (0) OTHER SETTINGS					
Domain	Language				
None v English (English) v Lock user out of system Reset failed login.					
Custom Attributes					
		Archive	Save Save and Close Next		

4. Click Save and Close.

Exporting User Information

You can export a list of users and their information as a Microsoft[®] Excel[®] or CSV (comma-separated values) file.

- 1. Click System Settings, click User Setup, and then click User Manager.
- 2. If multiple sites exist, select the site whose user information you want to export.



3. Do one of the following:

- To export the information for all users assigned to the current site, click [All Departments].
- Click a department to export the information for only the users in that department.
- (Optional) You can change how much information is included in the exported list by using Show/Hide Columns and Filter Options. You can also rearrange column order and sort order by manipulating the column headers. See <u>Customizing the User Grid</u> for details.
- 5. With the desired information displayed in the user list, click 🔅, and then click **Export List**.

	💄 Douglas Johnson	•
	۹	
	0	>
me 🛆	Show/Hide Columns 🛸	
	 □ Unique ID ✓ First Name □ Middle Name ✓ Last Name 	
	Display Options 🛛 🕹	
	Filter Options 🛛 🕹	
_	Export List ¥	
	Reset Column Layout	
	Close	
	I	

- 6. Do one of the following:
 - If you have Excel 2003 or earlier, click Export List as XLS.
 - If you have Excel 2007 or later, click **Export List as XLSX**.
 - Click Export List as CSV.
- 7. Follow the prompts to open the file or save it to disk.
- 8. Click Close.

Customizing the User Grid

The user gird or table is what you see when you click a department in **User Manager**. You can change how the user grid looks in the following ways:

- Add, hide, and move columns
- Adjust column sizes
- Change how the user list is sorted
- Change the number of users displayed on each user list page
- Lock (freeze) user name columns for horizontal scrolling
- Activate column filters
- Create custom filters

See the following sections for details:

Customizing the User Grid Layout

Applying Filters to a User Grid

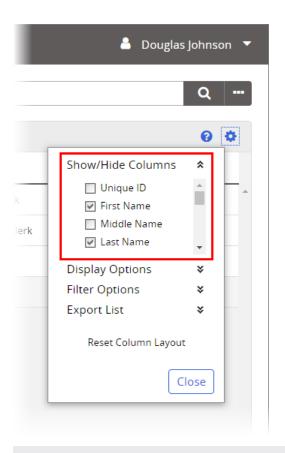
Customizing the User Grid Layout

You can add or remove columns from the grid, rearrange and resize columns, and change which column the grid is sorted by. You can also specify how many users (rows) to show per page.

Adding or Removing Columns

- 1. In a user grid, click 📮.
- 2. Under **Show/Hide Columns**, select or click to clear a check box to show or hide that column.

Note: The **Roles**, **System Permissions**, and **Manager** columns display shortcut **View** links. Click one of these links to go directly to the corresponding tab of a user's profile.



Note: To go back to the default user grid appearance, click **\$\frac{1}\$**, click **Reset Column Layout**, and then click **Close**.

3. Click Close.

Arranging Columns and Changing Sort Order

Adjust a column's width: Hover the pointer over the line between two column headers until the pointer changes to a two-headed arrow, and then click and drag the column separator.



Move a column: Click and drag a column header over a column separator to display the placement arrows, and then drop the header.

(@Last Nāmē N <u>a</u> me	Last Name 🛆	Job Title
	Janice	Aguiar	Accounts Payable Cle
	Zoe	Estes	Accounts Receivable
	Tom	Hansen	Accounting Manager

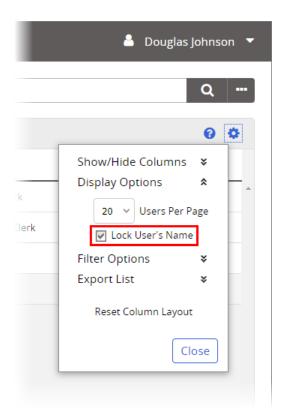
Select a column to sort by: Click a column header to sort the user list by that item. An up or down arrow appears in the current sort column.

۵	First Name	Last Name	Job Title
	Janice	Aguiar	Accounts Payable Cle
	Zoe	Estes	Accounts Receivable
	Tom	Hansen	Accounting Manager

Change the sort order: Click the header of the current sort column to reverse the sort order from ascending to descending, or vice versa.

Freeze the user name columns: Freezing (or locking) the user name columns (**First Name**, **Middle Name**, and **Last Name**) keeps those columns in place as you scroll to the right and left. If the name columns are not the first columns in the user list, freezing the user name columns will automatically move them there.

- 1. In a user grid, click 🗘.
- 2. Click **Display Options**, and then select **Lock User's Name**.



Changing the Number of Documents Displayed per Page

- 1. In a user grid, click 🔅.
- 2. Click **Display Options**, and then for **Users Per Page**, click an option.

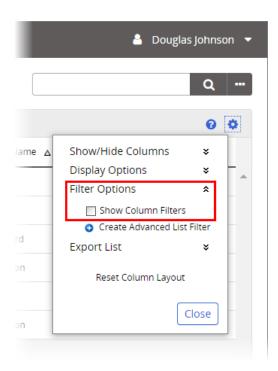
	💄 Douglas Johnson 🔻
	Q
	0 0
k	Show/Hide Columns × Display Options × 20 V Users Per Page 20 User's Name Filt 50 100 Pris × 250 × 500 reset column Layout
	Close

3. Click Close.

Applying Filters to a User Grid

You can use a column content filter to narrow the list of users to only those whose information within a column (last name, job title, department, etc.) matches the filter criterion for the text you type. Simple filter criteria include the following: **Begins with**, **Contains**, **Doesn't contain**, **Ends with**, **Equals**, **Doesn't equal**. You can apply a simple filter to only one column at a time.

- 1. In a document grid, click 🤹.
- 2. Click Filter Options, select Show Column Filters, and then click Close.



3. (Optional) To use a filter criterion other than **Begins with** (the default), to the right of the filter box click **?**, and then click an option.

Department		Job Title
account	_	
Accounting	~	Begins with
		Contains
Accounts Payables		Doesn't contain
Accounts Payables		Ends with
Accounting		Equals
Accounts Receivable		Doesn't equal
Accounting	A	Accounting Manager

4. Click inside a column's filter box, and then type the text to filter by. The list is immediately limited to those users matching the filter text and criterion.

۵	First Name	Last Name 🛆	Department	Job Title
	Ŷ	v	account	
	Janice	Aguiar	Accounting	Accounts Payable Cl
	John	Barnett	Accounts Payables	
	Jordon	Cash	Accounts Payables	Accounts Payable Cl

5. (Optional) Repeat steps 3 and 4 in a different column to further narrow the user list.

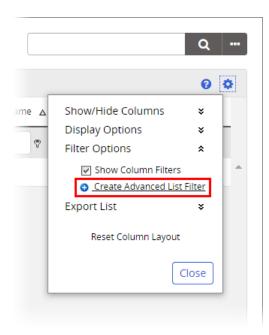
Notes:

- To delete all filter text, click **Clear** at the bottom right of the grid.
- To temporarily turn off the filter, click to clear the check box at the bottom left of the grid. Notice that the filter parameters are preserved. Simply select the check box to turn the filter on again.

Lucille	Holmes	Accounting	Accountant		
Mary	Packer	Accounting	Accountant		
					-
				•	•
		Page 1 of 1 (1	0 items) 🔍 <	[1] > >>	
Begins with([De	partment], 'accoun	<u>t')</u>		<u>C</u>	lear

Applying an Advanced Filter to a User Grid

- 1. To open the Filter Builder, in a user grid do one of the following:
 - Click ^Q, click Filter Options, and then click Create Advanced List Filter.



 If you've already created a column filter, you can also click the filter formula at the bottom of the user list.

Lucille	Holmes	Accounting	Accountant		
Mary	Packer	Accounting	Accountant		
					+
		Page 1 of 1 (1	10 items) 🔍 <	[1] >	>>
Begins with([Department]]	partment], 'accour	<u>it')</u>			<u>Clear</u>

If no column filter currently exists, the **Filter Builder** opens and contains only an **And** operator.

Filter Builder	×
And 💿	
	OK Cancel

If a column filter exists, the **Filter Builder** already contains that filter formula, as in the example below.

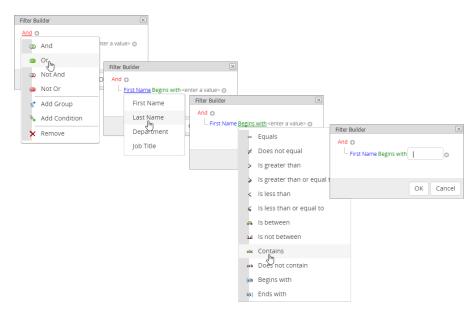
Filter Builder	X
And O Department Begins First Name Begins v	_
	OK Cancel

In the formula above the operator is in red font, the column name is in blue font, the filter type is in green font, and the condition parameter is in gray font.

2. Use the following guidelines to create the filter.

Note: It is not within the scope of this guide to teach how to build complex filters. The guidelines below only explain how to use the Filter Builder tool.

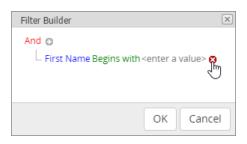
 To change any displayed filter element, click it and select an option, or type in the text box and press Enter.



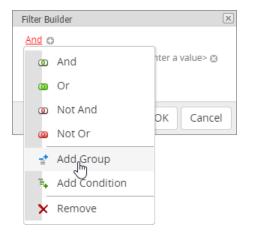
 A group is an operator and all the conditions below it. To add a condition to a group, click
 after the operator.

Filter Builder	×
And o L Ot Name Begins with <enter a="" value=""> 🕲</enter>	
OK Cance	el l

To delete a condition, click (1) (turns red when hovered over).



To add a group, click the operator under which you want to add a group, and then click Add Group. The new group is a subgroup of (indented below) the one above it. In other words, in the filter hierarchy the added group is a child of its parent group.



- To delete a group, click the group operator, and then click **Remove**.
- 3. When finished, click OK.

Group Manager

When creating a document or questionnaire, the document owner assigns users to write, review, approve, and read the document or complete the questionnaire. If there are certain sets of people who are regularly assigned, you can make the assignment process easier by creating groups. The document owner can then assign a group of people all at once by selecting a group name rather than having to select each user name individually.

A group must contain at least one user and can consist of users from a single site or multiple sites.

Note: You can create a group containing a single user in order to create a selectable title or role. For example, if there is only one person designated as the approver within a department, you could create a group called Approver that contains that one user. You can also use a single-user group in the case

where one user sets a document/questionnaire as approved on behalf of an approval committee, such as a board of directors.

Refer to the following topics for details on working with groups:

Adding a User Group

Editing a User Group

Archiving a User Group

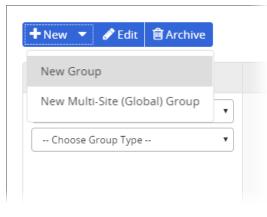
Adding a User Group

When adding a user group, you can include users from a single site, or you can create a multisite group.

- 1. Click System Settings, click User Setup, and then click Group Manager.
- 2. If multiple sites exist, select the site containing at least some of the users you want to assign to the group.

= POLICYTECH° Policy & Procedure Management	GROUP MANAGER
A Home Y	+New - Sedit 📾 Archive
Documents ^	Groups
Ĵ≡ Questionnaires ✓	Corporate Headquarters
🗹 My Tasks 🛛 🚯	Corporate Headquarters Manufacturing
🔟 Reports	Sales & Support Office
System Settings	
Company Setup 🛛 👻	
User Setup ^	
User Manager	
Group Manager	
Bulk Permissions Editor	
Custom Attributes	

- 3. For Choose Group Type, click Writer, Reviewer, Approver, or Assignee.
- 4. Click New, and then click New Group or New Multi-Site (Global) Group.



5. Type a group name.

Add Assignee Group	×
Group Name]
Available Options	Selected Options
Select By Assignees 🔻	These selections match 0 assignees
Search Q	
 Allison, Todd (Tester) Benton, Carol (Environmental Control Manager) Breen, Darren (Personnel Manager) Calfus, Steven (MSDS Technician) Cane, Taylor (Tester) Cash, Jordon (Accounts Payable Clerk) Chen, Jodi (Compliance Officer) Christenson, Robert (Document, Control Administrator) Dennison, Betty (Programmer) Driggs, Shiela (Director of Finance) Ellis, Darcy (Installer) 	
Shift+Click selects a span of checkboxes. ()	Set as Excluded
	Cancel Save

- 6. Select the group's users (see <u>User Selection Options for User Groups</u> below for detailed instructions).
- 7. Click Save.

User Selection Options for User Groups

You can select which users are included in a group in any of the following ways.

Important: In the header below **Selected Options** is the text **These selections match** [*n*] **assignees**. As you use the various methods of adding users to a group, you can always see the currently included individual users by clicking the [*n*] **assignees** link in that text, as shown below.

oup Name		
		_
ailable Options	Selected Options	Û
Select By Organization: Department 👻	These selections match 11 assignees	
Search	Organization Department: Administration	
■ ● □ Accounting	Department: Human Resources	
Administration	Department: Operations	
Disaster Recovery		
Educational Resources		
🗉 🗢 🔲 Engineering		
Environmental Services		
Fiscal Services		
 Human Resources Installations 		
Operations	•	
nift+Click selects a span of checkboxes. 🕄		
	Ser as Excluded	
Users	Cance	Save
Corporate Headquarters		
Breen, Darren (Personnel Manager)		
Chen, Jodi (Compliance Officer)		
Gatos, Will (Chief Information Officer) Grant, Jonathon (Mail Clerk)		
Howard, Susan (Administrator)		
Johnson, Douglas (Chief Executive Officer)		
Jones, Anne (Chief Finance Officer) Monson, Teresa (Chief Operations Officer)		
Saunders, Kathy (Accountant)		
Thomas, Brad (Director of Operations)		

By Group Type Role

For **Select By**, select the role for the currently selected group type (**Writers**, **Reviewers**, **Approvers**, or **Assignees**), and then, in the resulting list, select users.

Note: If this is a multisite group, select a site before selecting users.

Add Assignee Group	×
Group Name	
Available Options	Selected Options
Select By Assignees 🔻	These selections match 1 assignees
sa ② Q ■ Howard, Susan (Document, Control Administrator) ■ Monson, Teresa (Chief Operations Officer) ■ Saunders, Kathy (Payroll Clerk) ■ Tizer, Sandy (Janitor)	Users in site: Corporate Headquarters Saunders, Kathy (Payroll Clerk)
Shift+Click selects a span of checkboxes. 🕄	Set as Excluded
	Cancel Save

By Roles & Permissions

For **Select By**, select **Roles & Permissions**, and then make one or more selections to add all users assigned to the selected roles and permissions from all sites. For example, you can add all users who can be assigned to read documents or complete questionnaires by selecting the **Assignee** role.

Note: If you are creating a single-site group (you selected **New Group** to start), **Roles & Permissions** selections are restricted to those users assigned the selected role in the current site only. If you are creating a multisite group (you selected **New Multi-Site (Global) Group** to start), a **Roles & Permissions** selection includes all users assigned that role or permission from all sites. In other words, with multisite groups, you cannot select users assigned a certain role or permission by individual site.

Add Assignee Group	×
Group Name	
Available Options	Selected Options
Select By Roles & Permissions 🔻	These selections match 40 assignees
Search Q Access Site Administrator Approver Approver own Documents Archived Documents Archived Documents Assignee Category Owner Company / User Company / User Completes Approval Assignments in Bulk Document Owner Completes Approval Assignments in Bulk	Roles & Permissions Assignee
Pending Documents	
Shift+Click selects a span of checkboxes. 🕄	Set as Excluded
	Cancel Save

By Department

For **Select By**, select **Organization: Department**, and then make one or more selections to add all users assigned to the selected departments.

Note: If this is a multisite group, select a site before selecting departments.

Add Assignee Group	×
Group Name	Selected Options These selections match 11 assignees Organization Department: Administration Department: Human Resources Department: Operations
Shift+Click selects a span of checkboxes. 9	Set as Excluded
	Cancel

By Job Title

For **Select By**, select **Organization: Job Title**, and then make one or more selections to add all users assigned to the selected job titles.

Note: If this is a multisite group, select a site before selecting job titles.

Add Assignee	Group			×
Group Name				
Available Optic	ons		Selected Options	Ŵ
Select By	Organization: Job Title 🔻		These selections match 8 assignees	÷
Search		Q	Organization Job Title: Manager	
	ormation Systems Manager taller	*		
🗉 🔵 🗌 Jani	itor			
	chinist			
	il Clerk nager			
_	nufacturing Manager			
🗉 🔵 🗌 Me	chanical Engineer			
	DS Technician			
	twork Assistant rroll Clerk			
H V Pay	noncierk	•		
			Set as Excluded	
				Cancel Save

By Custom Attribute

If custom attributes have been added (see <u>Custom Attributes</u>), select a custom attribute, and then do one of the following, depending on what you see.

Important: Custom attribute selections apply to all users from all sites. This means that, if you are creating a single-site user group and select a custom attribute value to include, all users from ALL sites who are assigned that attribute value will be included in the single-site group.

 If you see a list of attribute options, select one or more. The number of users assigned to the selected attribute values is shown in the list header on the right.

Add Approver Group	×
Group Name Approvers in Houston	
Available Options	Selected Options
Select By Office Location	These selections match 4 approvers
Search Q Atlanta Atlanta Atlanta Kansas City Phoenix	Office Location Houston
	Cancel Save

If you see a set of options like the ones shown below, you can specify an assigned attribute by typing text that in some way matches an attribute value assigned to one or more users. Type some text that you know is in an attribute value, select how you want the text matched (Equals, Contains, Begins with, or Ends with), and then click Add. The number of users assigned to matching values for the selected attribute is shown in the list header on the right.

Add Approver Group	×
Group Name	
Available Options	Selected Options
Select By Office Location	These selections match 4 approvers
Contains	Office Location Contains: houston
houston	
Add	
	Cancel

If you see a set of options that include a Date selector, first select a date operator (Equals, Is before, Is after, Is between, Within the last).

If you selected **Equals**, **Is before**, or **Is after**, type a date, or click **I** and select a date, and then click **Add**. The number of users assigned to matching values for the selected attribute is shown in the list header on the right.

Add Reader Group	×
Group Name	
Hired before 2017	
Available Options	Selected Options
Select By Hire Date	These selections match 5 readers
Is before • 01/01/2017	Hire Date Is before 01/01/2017
Add	
	Cancel Save

If you selected **Is between**, type or select start and end dates, and then click **Add**. The number of users assigned to matching values for the selected attribute is shown in the list header on the right.

Add Reader Gi	roup				
Group Name Hired in 2016					
Available Optic	ons				Selected Options
Select By	Hire Date		•		These selections match 5 readers
Is betwee		And	12/31/2016	Add	Hire Date Is between 01/01/2016 and 01/01/2017
					Cancel

If you selected **Within the last**, type a number of days to go back from today's date, and then click **Add**. The number of users assigned to matching values for the selected attribute is shown in the list header on the right.

Add Reader Group	×
Group Name	
New Hires	
Available Options	Selected Options
Select By Hire Date 🔹	These selections match 2 readers
Within the last 30 days from today Add	Hire Date Is within the last 30 days from today
	Cancel Save

By Exclusion

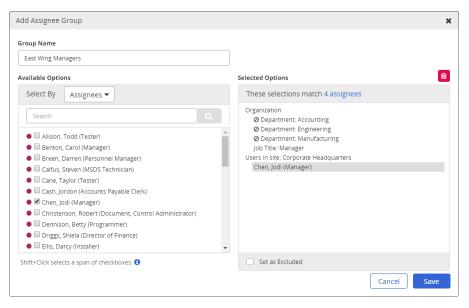
Before you exclude any selection, be sure to carefully read and understand the following exclusion rules. Then, follow the instructions under <u>Setting an</u> <u>Exclusion</u>.

Exclusion Rules Rule 1

If a user is individually included or excluded (his or her user name appears in the **Selected Options** box), inclusions or exclusions by role, permission, department, job title, or custom attribute are ignored.

For example, suppose that the following are true:

- Jodi Chen is currently assigned to both the Manager job title and the Administration department.
- The Manager job title has been selected and thereby added to the Selected Options box
- The Administration department, among others, have been selected and thereby added to the Selected Options box, but have been set as excluded.
- The user name Jodi Chen has been selected and thereby added to the Selected Options box.



In this example, Jodi would be included in the group, because, although she is in an excluded department, she has been individually added as an included user.

For another example, suppose that the following are true:

- Douglas Johnson is currently assigned the **Approver** role.
- The Approver role has been selected and thereby added to the Selected Options box when creating a user group.
- The user name **Douglas Johnson** has been selected and thereby added to the **Selected Options** box, but has been set as excluded.

Add Assignee Group	×
Group Name Procedure Approvers Available Options Select By Assignees Search Jensen, Linda (Network Assistant)	Selected Options Image: Comparison of the selection of the sel
Jerder, Einde (retwork Assistanti) Johnson, Douglas (Chief Executive Officer) Jones, Anne (Chief Finance Officer) Keller, Anthony (Machinist) Keller, Kevin (Programmer) Leonard, Lynn (Director of Education) Monson, Teresa (Chief Operations Officer) Morrow, Royal (Programmer) Oppener, Susie (Director of Purchasing) Pryde, Wayne (Technician) Reader, Reader ()	Ø Johnson, Douglas (Chief Executive Officer)
Shift+Click selects a span of checkboxes. 🕄	Set as Excluded
	Cancel

In this example, Douglas would be excluded, because, although he has an included role, he has been individually added as an excluded user.

Rule 2

If a user is a member of two or more selected sets (roles, permissions, departments, or job titles), and at least one of those sets is set as excluded, the user will be excluded from the group.

For example, suppose that the following are true:

- Anna Martinez is currently a member of the Administrator permission set, the Human Resources department set, and the Manager job title set.
- The Administrator permission, the Human Resources department, and the Manager job title have all been selected and thereby added to the Selected Options box.
- The Manager job title set has been set as excluded .

Add Assignee Group	×
Group Name Non-Manager PolicyTech Administrators Available Options Select By Organization: Department ▼ Search Environmental Services Fiscal Services Manufacturing Operations Manufacturing Operations Purchasing Software Development Systems Administration Technical Services	Selected Options These selections match 4 assignees Organization Department: Accounting Department: Educational Resources Department: Purchasing Department: Purchasing Department: Software Development Ølob Title: Manager Roles & Permissions Administrator
Shift+Click selects a span of checkboxes. 🕄	Set as Excluded
	Cancel Save

In this example, Anna would be excluded, because, although she is a member of both the **Administrator** permission set and the **Human Resources** department set, which are both included, she is also a member of the **Manager** job title set, which has been excluded.

Rule 3

If the **Selected Options** box lists exclusions only, all users except those individually excluded or excluded by virtue of membership in an excluded set, will be included in the group.

For example, suppose that the following are true:

- The Chief Executive Officer, Chief Financial Officer, Chief Information Officer, and Chief Operations Officer job titles have been selected and thereby added to the Selected Options box, and they have all been set as excluded.
- The excluded job titles are the only things listed in the Selected Options box.

Add Assignee Group	×
Group Name All Assignees Except Executives Available Options Select By Organization: Job Title ▼ Search ● ○ Accountant ● ○ Accounting Manager ● ○ Accounts Receivable Clerk ● ○ Chief Information Officer ● ○ Chief Information Officer ● ○ Chief Information Offi	Selected Options These selections match 37 assignees Organization Ø Job Title: Chief Executive Officer Ø Job Title: Chief Finance Officer Ø Job Title: Chief Information Officer Ø Job Title: Chief Operations Officer
	Set as Excluded
	Cancel Save

In this example, the group would contain all users who are not assigned these job titles—everyone in the organization except those executives.

For another example, suppose that the following are true:

- The Exempt Employee? custom attribute set with a value of Yes includes all salaried employees.
- The Yes value for the Exempt Employee custom attribute has been selected and thereby added to the Selected Options box and has been set as excluded.
- The Exempt Employee? Yes value is the only thing listed in the Selected Options box.

Add Assignee	Group	:	×
Group Name			
Non-Exempt I	Employees		
Available Optic	ons	Selected Options	
Select By	Exempt Employee? 🔻	These selections match 31 assignees	
Search		Exempt Employee?	
• 🔲 No			
🔵 🗹 Yes			
		Set as Excluded	
		Cancel Save	

In this example, the group would contain all users who are not assigned the **Yes** value for the **Exempt Employee** custom attribute (such as all hourly employees and interns).

Setting an Exclusion

1. Select a user, role, permission, department, job title, or custom attribute value.

Note: If you are creating a multisite user group, select a site before selecting an individual user, department, or job title.

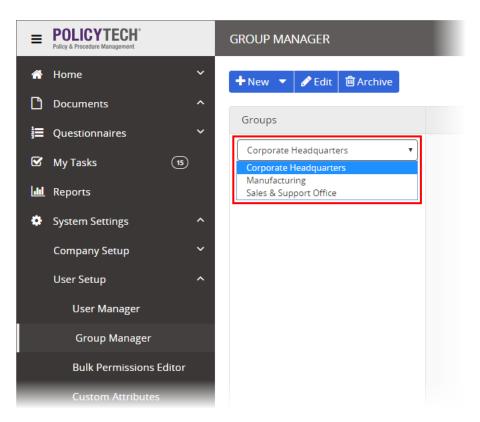
2. Click that item in the **Selected Options** box, and then click **Set as Excluded**.

Add Assignee Group	×
Group Name Available Options	Selected Options
Select By Assignees -	These selections match 3 assignees
Search Q Gittord, lawna (Accounts Receivable Clerk) Geson, Edward (Manager) Grant, Jonathon (Mail Clerk) Hansen, Tom (Manager) Hansen, Tom (Manager) Howard, Susan (Document, Control Administrator) Howard, Susan (Document, Control Administrator) Jensen, Linda (Network Assistant) Johnson, Douglas (Chief Executive Officer) Johnson, Douglas (Chief Executive Officer) Jones, Anne (Chief Finance Officer) Keller, Anthony (Machinist) Keller, Kevin (Programmer) Leonard. Lvnn (Director of Education) Shift+Click selects a span of checkboxes. 1	Organization Department: Accounting Users in site: Corporate Headquarters (Hansen, Tom (Manager)) Hansen, Tom (Manager) Set as Excluded Cancel Save

Excluded selections are marked with Ø.

Editing a User Group

- 1. Click System Settings, click User Setup, and then click Group Manager.
- 2. If multiple sites exist, select the site containing the single-site user group or containing at least one of the users in the multisite group.



3. For **Choose Group Type**, click **Writer**, **Reviewer**, **Approver**, or **Assignee**. A list of user groups (if any) of the type you selected appears under the site name.

HNew 👻	🖋 Edit	🛍 Archive
Groups		
Corporate	Headquarte	ers 🔻
Reviewer		•
Multi-Si	te (Global)	Groups
🖃 🖲 Corpora	ate Headqu	arters
🔍 Mana	agers	
SMEs	- Accounti	ng
SMEs	- Engineer	ing

- 4. Do one of the following:
 - Click a group to display its details.

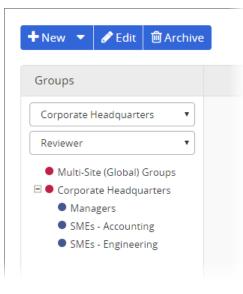
Edit Reviewer Group	×
Group Name Managers Available Options	Selected Options
Select By Reviewers Search Carlos Constraints Control Manager) Search Carlos Carlos Carlos Control Manager) Carlos Carlos Carlos Carlos Control Manager) Carlos Carl	These selections match 6 reviewers Users in site: Corporate Headquarters Benton, Carol (Environmental Control Manager) Breen, Darren (Personnel Manager) Farnsworth, John (Information Systems Manager) Gleeson, Edward (Manufacturing Manager) Hansen, Tom (Accounting Manager) Wright, Fred (Software Development Manager)
Shift+Click selects a span of checkboxes.	Set as Excluded Cancel Archive Save

- To edit a multisite group, click + to expand the **Multi-Site (Global) Groups** list, and then click a group to display its details.
- 5. Make the needed changes. Refer to <u>Adding a User Group</u> for detailed instructions.
- 6. Click Save.

Archiving a User Group

- 1. Click System Settings, click User Setup, and then click Group Manager.
- 2. If you're deleting a single-site group and multiple sites exist, select the site containing the user group.
- 3. For Choose Group Type, click Writer, Reviewer, Approver, or Assignee.

A list of groups for the current site is displayed. Click \pm before **Multi-Site** (Global) Groups to show multisite groups.



4. Click Archive.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Please exercise extreme caution in this area.	
Continue	
L	
Back Up Database	×
Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	
Continue Back Up Database	

- 5. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 4 above. Then, on this step, click Continue.
- 6. Select the group or groups you want to archive.

+ New - ✓ Edit 🛱 Archive		
Groups	Archive	
Corporate Headquarters Reviewer Multi-Site (Global) Groups Managers - All Sites Corporate Headquarters Managers SMEs - Accounting SMEs - Engineering SMEs - HR	The following have been marked for archival: SMEs - HR (Corporate Headquarters) Cancel Archi	ve

7. Click the red **Archive** button.

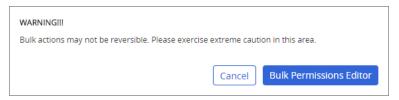
Note: See The Archive for details on restoring a group.

Bulk Permissions Editor

Use the **Bulk Permissions Editor** to assign and remove document roles and system permissions and to change general settings for multiple users at once.

1. Click System Settings, click User Setup, and then click Bulk Permissions Editor.

You should now see following warning.



2. Click Bulk Permissions Editor.

lk Permissions E	ditor						0
elected Users	Roles	System P	ermissions	Genera	l Settings		
ite Corporate He	adquarters			~	Add All From This Site	Add All From All Sites	
Departments	Job Titles	Users					Contents 💼
Q Search User	s						
Shift+Click selec							

- 3. Select all the users you want to change in the same way (see <u>Selecting</u> <u>Users</u> below).
- 4. Do any of the following:
 - Click the Roles tab and select roles. Click Remove from Selected Users or Add to Selected Users, and then click OK to close the Bulk Edit Results window.

Bulk Permissions Editor	8 ×
Selected Users Roles System Permissions General Settings	
Select the Roles from the options below.	
Available Roles Selected Roles	圃
 Document Owner Approves Own Documents Writer Reviewer Approver Completes Approval Assignments in Bulk Pending Documents Assignee Archived Documents Template 	*
Back Remove from Selected Users Add to Selected User	rs Next

 Click the System Permissions tab, select a site or All Sites (Global Permissions), and then select permissions. Click Remove from Selected Users or Add to Selected Users, and then click OK to close the Bulk Edit Results window.

lk Permissions Editor				0	*
Selected Users Roles	System Permissions	Gener	al Settings		
Select the System Permissions fr	om the options below.				
Sites					
Choose		~			
Available Permissions			Selected Permissions	ť	j
Choose a site to view available p	ermissions.			4	
				-	

 Click the General Settings tab and select settings. Click Add to Selected Users, and then click OK to close the Bulk Edit Results window.

ulk Permissions Editor			0
Selected Users Rol	les System Permissions	General Settings	
Domain	Do not Change v		
Language	Do not Change v		
Lock user out of system	Do not Change 🗸		
			Back Add to Selected Users

5. Close the **Bulk Permissions Editor** window.

Selecting Users

To quickly select all users, click Add All From All Sites.

ulk Permissions Editor		∂ ×
Selected Users Roles System Permissions	General Settings	
Site Corporate Headquarters	Add All From This Site	m All Sites
Departments Job Titles Users		Contents 🔟
Q Search Users		
Select Users by typing their name or switch the tab to Dep or Job Titles.	rtment	

To select all users from a specific site, select the site, and then click **Add All From This Site**.

Bulk Permissions Ed	ditor					0	×
Selected Users	Roles	System Permissions	Genera	l Settings			
Site Corporate Hea	adquarters		~	Add All From This Site	Add All From All Sites		
Departments J	ob Titles U	sers				Contents 🚺	Ì
Q Search Users							
Select Users by ty or Job Titles.	ping their nar	me or switch the tab to Dep	partment				

To select users by other criteria, follow the steps below:

1. If multiple sites exist, select a site containing users you want to edit.

Site Corporate Headquarters		🛃 🕂 Add All	From This Site 🛛 🔂 Ad	d All From All Sites	
Corporate Headquarters Corporate Headquarters Manufacturing Sales & Support Office					Contents 🗓
Select Users by typing their name or Job Titles.	or switch the tab to Depart	ment			

- 2. Do any of the following to select users:
 - In the Search Users box, start typing the user's last or first name. A list appears of users containing the characters you typed that are anywhere in their names. Click a name to add it.

Bulk Permissi	ons Editor		
Selected Us	sers Roles	System Permissions	General Setti
Site	ate Headquarters		✓ ♣ Ac
Departme	nts Job Titles l	Jsers	
Seli Cash, J or J Chen, Farnsw Grant,	Jordon (Accounts Pa Jodi (Compliance Ofi vorth, John (Informa Jonathon (Mail Clerk on, Douglas (Chief E)	ficer) ition Systems Manager) k)	
Jones,	Anne (Chief Finance losh (Accountant)		
Shift+Click	selects a span of cl	heckboxes. 🚺	

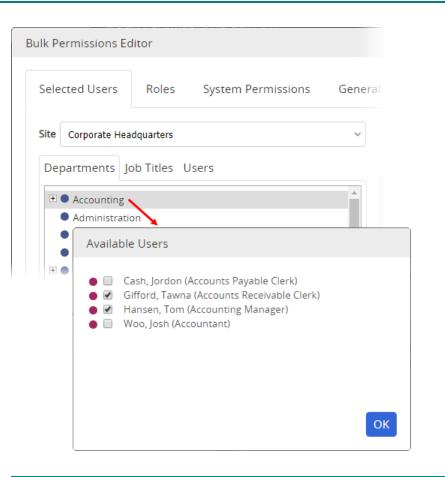
Click the Job Titles tab. If you want to select from all users with a
particular job title regardless of which department they are assigned to,
click the job title, and then select users.

Bulk Permissions	s Editor		
Selected Users	s Roles	System Permissions	Genera
Site Corporate	Headquarters		~
Departments	Job Titles U	sers	
 Accounta Accounting Accounts 			Î
+ Availa	able Users		
	Cane, Taylor (A Keller, Kevin (A Saunders, Kath Woo, Josh (Acco	ccountant) y (Accountant)	
			ОК

If you want to select only the users with a certain job title and that are assigned to a particular department, click \textcircled to expand the job title, click a department, and then select users.

Bulk Permissio	ons Editor			
Selected Us	ers R	loles	System Permissions	Genera
Site Corpora	te Headqua	arters		~
Departmer	Its Job T	itles Us	sers	
Syst	nting Mana nts Payable nts Receiva	e Clerk able Clerk elopment nistration		
Avai	lable User	'S Linda (Ana	alyst)	ОК

• Click the **Departments** tab, click a department, and then select users.



Custom Attributes

Overview

When you add a user, each piece of information (data field) shown in the General Information tab of the user record in User Manager (such as Last Name, Email Address, and Unique Employee ID) is a user attribute.

osh Woo			0 ×
General Information	Roles System Permissions	Proxy Settings Manager	
BASIC INFORMATION	٨		
First Name	Middle Name	Last Name	Email Address
Josh		Woo	jw@email.com
Username	Password	Unique Employee ID	
******	******	25	
BASIC SETTINGS	Department	Job Title (Accounting)	
Corporate Headquarters	✓ Accounting ✓	Accountant \vee	
Additional Departments or Jo OTHER SETTINGS	ob Titles for Josh Woo (0)		
Domain	Language		
None	✓ English (English) ✓	Lock user out of system	
		Archive	Save Save and Close Next

In addition to these preset attributes, you can create custom user attributes to store any user-related information. You can then create user groups based on custom attributes to automate document workflows (see <u>Automating Document</u> <u>Workflow</u> below). You can also create task reports based on custom attribute information (see Custom Attributes in Task Reports below).

After a custom attribute has been added, custom attribute information can be added to individual user records by importing user information from another database (see <u>Importing and Syncing Users from Another Database</u>) or by entering it manually (see Adding a User Manually).

Automating Document Workflow

You can automate document workflows by creating user groups based on custom attributes and assigning those user groups to specific documents.

For example, suppose that your organization has a policy that all newly hired employees must read the Employee Handbook within their first month of employment. You could do the following to automate Employee Handbook workflow:

- Add a custom attribute called Hire Date and then manually add or sync hire date information from another database, such as Active Directory.
- Create an assignee group based on the Hire Date attribute and apply date logic to include only those users whose hire dates fall within the past month. As new users are added to PolicyTech, they are automatically added to the assignee group and then automatically removed from the group after a month has passed.

 Assign the assignee group to the Employee Handbook document and set the due date to 30 days after each user is assigned the task. A new reading task is assigned as each new user is added to the assignee group.

Custom Attributes in Task Reports

Once you've created custom attributes, you can create task reports based on the information stored in user records with those custom attributes.

All custom attributes appear as optional columns in the following reports:

Tasks by Document - Current (see "Report: Tasks by Document - Current" in the <u>Reports Supplement</u>)

Tasks by Document - All Tasks (see "Report: Tasks by Document - All Tasks" in the <u>Reports Supplement</u>)

Tasks by User - Current (see "Report: Tasks by User - Current" in the Reports Supplement)

Tasks by User - All Tasks Tasks by User - All Tasks (see "Report: Tasks by User - All Tasks" in the <u>Reports Supplement</u>)

The column names are in the following formats, based on user roles:

- Assignee [custom attribute name]
- Document Owner [custom attribute name]

For example, if you add a custom attribute called **Hire Date**, you will see the following columns available in the abovementioned reports: **Assignee Hire Date**, **Document Owner Hire Date**.

Once you add a custom attribute column to a report (see <u>Working with Data</u> <u>Pane Columns</u> "Working with Data Pane Columns" in the <u>Reports</u> <u>Supplement</u>), you can arrange or group the data pane by that column (see <u>Grouping by Data Column</u> "Grouping by Data Column" in the <u>Reports</u> <u>Supplement</u>).

Adding a Custom Attribute

1. Click System Settings, click User Setup, and then click Custom Attributes.

≡	POLICYTECH° Policy & Procedure Management		CUSTOM ATTRIBUTES	-	Douglas Johnson	•
*	Home		Add Custom Attribute			
Ľ	Documents					
i=	Questionnaires					
S	My Tasks					
Laid	Reports					
٠	System Settings					
	Company Setup					
	User Setup					
	User Manager					
	Group Manager					
	Bulk Permissions Edito					
	Custom Attributes					
	Document Setup					
	System / IT Settings	~				

2. Click Add Custom Attribute.

Edit	×
Name 🕄	
Туре	
Text	T
Allow multiples 🕄	
Select from Range of Options 1	
	Cancel

- 3. Type a name.
- 4. For **Type**, select **Text** (string of alphanumeric characters), **Whole Number** (integer), or **Date**.

If you select **Date**, also select a date format.

Important: If you will be syncing this attribute from Active Directory, select the **File Date** format.

Edit		×
Name 🚺		
Hire Date		
Туре		
Date		T
Allow multiples ()		
Allow multiples Date Format DD-MM-YYYY	 	 Ţ
Date Format DD-MM-YYYY MM/DD/YYYY DD/MM/YYYY		 •
Date Format DD-MM-YYYY MM/DD/YYYY		•

- 5. (Optional) By default, an attribute allows only one value per user. If the attribute needs to contain multiple values, select **Allow multiples**.
- 6. (Optional) To enable selecting from a list of possible options when assigning attributes to users and when creating user groups, select **Select from Range of Options**.

Edit	×
Name 🕄	
Hire Date	
Туре	
Text	T
Allow multiples 🚯	
Select from Range of Options ()	
Add to the list of values for this Attribute	
	Add
Assignable Values for this Attribute	Ŵ
	<u>ـ</u>
	-
	Cancel Save

To prepopulate the list, type a value, and then click **Add**. You can add as many values as necessary.

Notes:

- Values can also be added when adding or editing a user in User Manager or by including new, unique values when importing or syncing users.
- To delete an assignable value, click it, and then click i. You can only delete a value if it is not currently assigned to a user or group.
- 7. Click Save.

Editing or Deleting a Custom Attribute

- 1. Click System Settings, click User Setup, and then click Custom Attributes.
- 2. In the **Custom Attributes** list, click anywhere in an existing attribute's row.
- 3. Do one of the following:
 - Make desired changes to the attribute, and then click **Save**.

Important: Not all changes are allowable. For example, you cannot change the attribute type from **Text** to **Whole Number** if a list of assignable values already exists and any of the values contain anything except integers. You will also not be allowed to delete a value from the **Assignable Values** list if it is currently assigned to one or more users or groups. If a change is not allowable, you will see an error message when you click **Save**.

 To delete this custom attribute and remove all of its assignments to users, click **Delete**, and then click **Yes** to confirm.

Important:

- Deleting a custom attribute is an irreversible action (deleted attributes are NOT placed in the Archive).
- The deletion will fail if the custom attribute is currently assigned to any user group. Remove the group assignments and then try to delete the attribute again.

Document Setup

Setting up your document environment includes working with the following:

Default Document Properties

Categories

Templates

Importing Documents

Exporting Documents

Bulk Edit

Default Document Properties

This section lets you set the default document properties for all new documents.

Note: You can also use templates to set other properties for new documents and questionnaires (see <u>Creating a Template</u>).

To set default document properties,

1. Click System Settings, click Document Setup, and then click Default Properties.

REFERENCE #
Auto Number
User Fills In
View Document Titles with their Reference Numbers 🟮
COMMENTS/DISCUSSIONS AND NOTIFICATIONS
Restrict discussion creation on approved documents to owners, proxy authors and administrators.
Disable the Send Message to Owner option in documents
Send Email Notification to Approvers 3
REVIEW INTERVAL
Review Interval Months:
12
Months to warn before document is due for review:
1
WATERMARK SETTINGS
Use Watermarks (MS Word and HTML only)
#edf0ff T
Disable No Revision Necessary
Master Text as Default 0
Proxy Mark as Read ()
Disable allowing users to optionally mark a document as read.
Allow templates to use the Draft/Published workflow configuration.
Use External Review Date as Last Approved Date
Ose External Review Date as Last Approved Date
ENHANCED VALIDATION (OPTIONAL)
Require users to re-enter log in credentials when completing a task. Note: Enhanced Validation does not work if Single Sign-on has been enabled.
DOWNLOAD SOURCE FILE Allow Public Download of Source Files
Note: Downloaded documents will not keep their PolicyTech security.
UPLOAD SECURITY
Allowed File Extensions
All extensions allowed by default (blank). To restrict allowed extensions, include comma-separated list of extensions (such as .docx, .xlsx, .html, .pdf).
DISPLAY OPTIONS
Display the path of a subcategory before its name
Allow all users to view the overview
Allow users to see the Cross-System URL in the Overview 3
DEFAULT PROPERTIES WIZARD VIEWS ()
Writers
Users

PolicyTech 10.6 Administrator's Guide

Ap	prov	/ers	

- 3. Refer to the following sections for details on each setting:
 - Reference Number
 - Comments/Discussions and Notifications
 - Review Interval
 - Watermark Settings
 - Workflow
 - Enhanced Validation (Electronic Signature)
 - Download Source File
 - Upload Security
 - Display Options
 - Default Properties Wizard Views
- 4. Click Save.

Reference Number

Every document and questionnaire created in PolicyTech must have a reference number, which is used to uniquely identify the document/questionnaire.

Typically, organizations will let PolicyTech automatically assign reference numbers, which is the default setting. One situation where you might want to let document owners fill in the reference number is if you will be importing documents and want to keep the same numbering system used previously outside of PolicyTech. However, because PolicyTech has so many ways to quickly find documents, we recommend letting PolicyTech assign reference numbers. In any case, a decision about how documents will be numbered should be made before creating or importing any documents.

To change reference number settings,

- 1. If the **Default Document Properties** window is not already open, click **System Settings**, click **Document Setup**, and then click **Default Properties**.
- 2. In the **Reference #**, area do one of the following:
 - To have PolicyTech automatically number each new or imported document, click **Auto Number**. If you want the numbering to start at a number other than 1, type that number in the **Auto Number** box.

Note: An automatically assigned reference number cannot be changed.

• Click User Fills In.

Note: When importing documents with **User Fills In** selected, PolicyTech still assigns a reference number, but the document owner can change it.

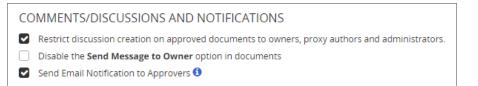
REFERENCE #
Auto Number
O User Fills In
View Document Titles with their Reference Numbers 🕄

3. To have the reference number displayed with the document/questionnaire title in various PolicyTech contexts, click **View Document Titles with their Reference Numbers**. In the example of a task list below, the reference number is shown in parentheses before each document title.

∧ ② Read/Complete
Title
🕅 (300) Travel Policy - Europe (v.1)
(298) Conflict of Interest Survey (v.1)

Comments/Discussions and Notifications

The **Comments/Discussions and Notifications** settings control who can create discussions in approved documents and send messages to owners of approved documents.



Restrict discussion creation on approved documents to owners, proxy authors and administrators. Select this option to turn off the **Discussions** feature in approved documents for all but document owners, proxy authors, and administrators.

Disable the Send Message to Owner option in documents. Select this option to hide the **Send Message to Owner** option in approved documents for all users.

Send Email Notification to Approvers. This option applies when an administrator edits an approved document in its current state. When an administrator is done editing, the window shown below appears for the administrator to describe the changes made. If you select Send Email Notification to Approvers, that option will be selected and cannot be changed when the administrator sees the Done Editing window.

	ng marize the (changes between th	is version	of this docun	nent and th	ne pre	vious	versio	on.			
Normal	~	Arial	~	(Font Size)	✓ B	I	U	s	≣	Ξ	≡ '	
												Ī
			-2									
		Board 🕑 What is thi	s?									

Review Interval

Documents and questionnaires usually require periodic reviews and updates. What you enter here will be the default review interval for all new templates.

Note: An administrator can change the default review interval for a template in the **Properties Wizard**.

leview l	nterval Months:
12	
/lonths	to warn before document is due for review:

1. In the **Review Interval Months** box, type a number of months between reviews.

Note: PolicyTech starts counting months when a document is approved.

2. In the **Months to warn before document is due for review** box, type a number of months before the review interval due date that you want document owners notified that a review is approaching.

Watermark Settings

When watermarks are enabled in the **Default Properties** of **Document Setup** preferences, all users will see shaded text in the background of each Microsoft[®] Word and HTML document page, as shown in the sample page below. The watermark indicates the document's current status and is shown in all workflow statuses except published. (Approved documents do not show a watermark.)

These watermarks, which users cannot remove, appear in documents both on the screen, and when printed.

Note: Watermarks are available for Word and HTML documents only.

The document shown below is in draft status.

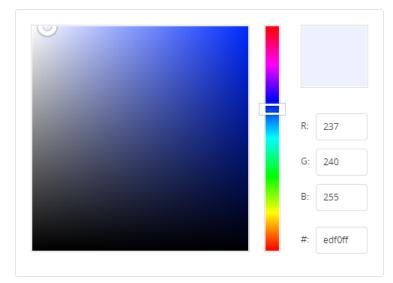
The Ethic	s and Compliance Experts	
	plifying the Complexity olicy Management	
today but al organ captu a poli	hizations have never been exposed to more risk and re- . How does an organization not only capture issues as so be assured they are addressing them appropriately lizations address these challenges holistically by imple re risks as they are reported, analyze them and addres cy management solution to automate and compliance within their organizations.	they are reported, ? The most successful menting systems to
	NAVEX Global Solution: cvTech™	
policies policies the con	organizations significantly increase efficiencies in risk identification and s, we have created an automated software solution that enhances the wa s and procedures. The industry-leading Policy & Procedure Manager (PP nplex tasks around writing, sharing, updating and attesting to policies sin APABILITIES OF POLICY & PROCEDURE MANAGER	y organizations manage M) has been designed to make
•	Communicate policies enterprise-wide. Rather than chasing down p documents to an intranetthat doesn't provide tracking, versioning or re policies are automatically made available to employees at the momen required to read and know the content, are notified automatically with read and comprehend the appropriate procedures or policies.	ports, through PPM an organization's t of approval. Staff members, who are
•	Map policies and procedures to authoritative sources. Documents policies, procedures, standards or related documents. Employees hav information, allowing them to better understand the context for a given policies quickly with custom workflow. Because the system routes doct approval processes, document authors can find out whose input is still or procedure. Reviewers and approvers receive notifications and repoi and can update the document owner when a task has been completed.	e access to broader relevant subject matter. Approve and review uments through a set of pre-defined required for a new or revised policy ts of policies awaiting their approval
•	Simplify compliance audits. Within PPM, policies and procedures an standards they designed to support. For example, if an auditor with a h of the policies pertaining to HIPAA, they can click on the "HIPAA" cate be able to sort through approval dates, information on who has read pr and names of policy reviewers and approvers in minutes rather than ho	ealthcare client would like to find all gory within the system. Auditors will blicies and procedures (attestations)
•	Standardize document content. Because managers can create temp look of policies across departments, groups and the whole organizatio documents become easier to understand, write and search.	

By default, watermarks are enabled (**Use Watermarks** is selected) and the HTML (hexadecimal) color code is #edf0ff, which is a light bluish gray.

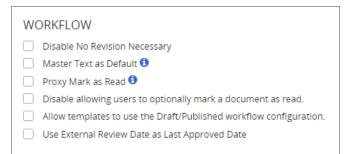
W/	ATERMARK SETTINGS	
<	Use Watermarks (MS Word and HTML only)	
	#EDF0FF	•

To change the watermark color, do one of the following:

- Type a new hexadecimal color code, and then press Enter.
- In the color menu, select a color, type RGB codes, or type a hexadecimal color code.



Workflow



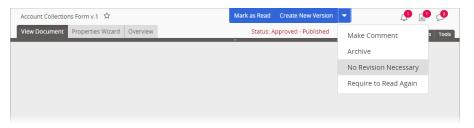
Disable No Revision Necessary

When creating a document or questionnaire template, an administrator has the option of assigning a review interval for all documents/questionnaires created from that template. The document owner also has the option of changing or setting a review interval when creating a document/questionnaire.

Note: The default Document Review Interval setting is Every 12 month(s) from approve/last reviewed date.

With a review interval set, a document's owner receives a review task with a due date as soon as the current date falls within the selected warning period. The expected workflow is that the document owner would review the document/questionnaire and then create a new version with any needed changes. The new version would then be submitted into the normal review and approval process and replace the previous version once the new version is approved.

By default, the document owner (or administrator) has the option of indicating that a document/questionnaire due for review does not need to be updated by clicking **No Revision Necessary** in the **Document Actions** menu. This removes the task from the document owner's list and resets the periodic review date out the currently set number of months.



If you select **Disable No Revision Necessary**, the **No Revision Necessary** option is removed from the **Document Actions** menu. Then, the only way a document owner can complete an assigned review task is to create a new version and have it approved.

Master Text as Default

Note: This option applies only if the Localization Workflow module has been purchased and enabled.

When a new version of a master document or questionnaire is approved, new versions of the localized copies are automatically put in draft status. By default, the contents in the **Edit Document** and/or **Edit Questionnaire** tabs of a copy's new version are the same as the copy's previous version contents. The localized copy owner can then compare the copy's contents to the new version of the master document and make changes to the new version of the copy as needed.

Select **Master Text as Default** if you want the new version of the master content copied into the **Edit Document** and **Edit Questionnaire** tabs of each copy's new version instead. This option is especially useful if you want to ensure that the contents of a new version of the master document is retranslated for or pushed into each of its copies.

Important: Using this option overwrites in the copies whatever changes may have been made to the master document and questionnaire text, such as translations or localized content, in the previous version of those copies. However, the previous version of the copies are available in the **Version History** page of each copy's **Overview** for comparison purposes.

Proxy Mark as Read

Select **Proxy Mark as Read** to add the **Proxy Mark as Read** option to the **Document Actions** menu.



This enables document owners, administrators, and managers to mark a document as read on behalf of designated assignees (see "Changing Assignee Task Status as Proxy" in the <u>User's Guide</u>).

Disable Allowing Users to Optionally Mark a Document as Read

By default, a user who has access to an approved document can mark it as read even when that user is not designated as an assignee. To hide the **Mark as Read (Optional)** option, select **Disable allowing users to optionally mark a document as read**.

Allow Templates to Use the Draft/Published Workflow Configuration

By default, and administrator or user with the Template role can choose from the following workflow configurations when setting up a document or questionnaire template: **Full** (includes Draft, Collaboration, Review, and Approval statuses prior to publication), **Review/Approval** (removes the Collaboration status), **Approval** (removes the Collaboration and Review Statuses). To enable removal of the **Approval** status as well, select **Allow templates to use the Draft/Published workflow configuration**.

Poli	cy v.1 🔒			Save and Close 🔻	
Edit	Document Proper	ties Wizard Overview 😮		Template	
	Template Setup	Title			Advanced Settings 🚽
	Category Types	Workflow Configurations			Don't allow assignee
	Writers	Full (Default)			~
	WINCIS	Full (Default)	All available workflow statuses. Control level: Highest		
	Reviewers	Review/Approval	Draft, Review, and Approval statuse Control level: High	es only.	
	Approvers	approval	Draft and Approval statuses only. Control level: Medium		
	Assignees	🚨 Draft/Published	Draft and Published statuses only. Control level: Low		
	Security	Sales & Support Office			
					Save Edit Document Next Step

Use External Review Date as Last Approved Date

This setting is especially useful when importing or uploading documents, and those documents were previously approved outside of PolicyTech. By default (when this setting is not selected), the approval date shown for any document is the date the document was approved within PolicyTech and moved to the Pending or Published status. Select this option if you want the date provided (if one is provided) for each document's **External Review Date** setting displayed as the approval date instead (see "Advanced Settings (for the Settings step in Properties Wizard)" in the <u>User's Guide</u> for details on the **External Review Date** setting).

When this setting is selected, any document that includes an **External Review Date** value will show two approval dates in its **Overview**—**Date Approved** and **System Date Approved**. **Date Approved** will be the same as the **External Review Date** value, and **System Date Approved** will be the date when the document was approved and moved to Pending or Published status in PolicyTech. **System Date Approved** will also be available as an optional column in reports and in the **Browse** grid.

Note: If this setting is deselected after being selected for a time, all approval dates will revert to the PolicyTech approval date.

Enhanced Validation (Electronic Signature)

When this feature is enabled, both here in Document Properties and in the document template, a user must enter his or her user name and password (an electronic signature, in effect) in order to complete a task such as marking a document as read, accepting a document in review, or approving a document. In the case where a kiosk computer is the point of general PolicyTech access under a generic service account, this feature provides verification that the intended user has completed a task.

Important:

- Enhanced Validation can also be enabled or disabled on document templates and individual documents. See <u>Template Setting: Enhanced</u> <u>Validation</u> and "Optional Settings" in the <u>User's Guide</u>. Changing the Enhanced Validation setting in Default Document Properties does not affect this setting in existing templates and documents. It will, however, become the default setting for new templates.
- The Enhanced Validation option is not applicable if single sign-on has been enabled.
- Enhanced Validation is not available for stand-alone questionnaires.

Select **Require users to re-enter log in credentials when completing a task** to turn on enhanced validation.

ENHANCED VALIDATION (OPTIONAL)
Require users to re-enter log in credentials when completing a task.
Note: Enhanced Validation does not work if Single Sign-on has been enabled.

The screenshot below shows what a user will see when marking a document as read if enhanced validation is required.

Mark as Read
By marking this document as read, you are stating that you have read and understood the complete document. If you do not understand, click Cancel and contact your supervisor.
SIGN HERE
Username
Password
Cancel Mark as Read

The screenshot below shows enhanced validation when accepting a document in review or approval.

Accept			×
Comments (Optional)			
🔀 🗇 🛍 🛅 🖓 ' 🖘 🖉 ' 🖏 ' X²	x,`⊨ ∷∃`₫ ₫`€	≩ (ھ`⊞ -`⊑م	
Normal ~ Arial	✓ (Font Size) ✓	B I <u>U</u> S ≣	≝ ≣ 🖗 • A •
Post to Discussion Board 🚯			
SIGN HERE			
Username			
Password			
			Cancel Accept

Download Source File

If **Allow Public Download of Source Files** is selected, users can download an approved document in its native file format.

Important: A downloaded document is no longer protected by PolicyTech security features.



Upload Security

By default (when the **Upload Security** box is left blank), users can upload any type of file when using the following features:

- Import / Overwrite (see "Importing Content" in the User's Guide)
- Attachments: External File (see "Attaching an External File" in the <u>User's</u> <u>Guide</u>)
- Import Documents (see "Importing Documents" in the User's Guide)

To limit which file types can be uploaded, add a comma delimited list of allowed file extensions, such as the following:

.docx, .xlsx, .html, .pdf

Important: Be sure to include a period before and a comma after each extension. Spaces are ignored.

With a list of allowed extensions specified, an upload attempt of any file with an unlisted extension will be blocked.

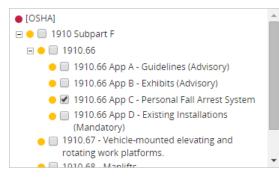
Display Options



Display the Path of a Subcategory before Its Name

When a document or questionnaire is assigned to a subcategory, that subcategory name can appear in several locations where documentation/questionnaire information is displayed. In addition to the subcategory name, the top level category name and any parent subcategory names are also displayed.

For example, imagine that the subcategory **1910.66 App C - Personal Fall Arrest System** is assigned to a document from the following categorysubcategory structure:



Notice that the top-level category name is **OSHA** and that the selected subcategory is under the subcategory **1910.66**, which in turn is under the subcategory **1910 Subpart F**. This subcategory structure can be expressed as a path, similar to a file structure path, with slashes separating subcategory levels, as follows:

1910 Subpart F/1910.66/1910.66 App C - Personal Fall Arrest System

By default, a subcategory path is shown in parentheses after the assigned subcategory name, as shown in the **Categories** section of a document's **Properties** page of the **Overview** below.

Categorie	\$
OS <u>HA</u>	
1910.	66 App C - Personal Fall Arrest System (1910 Subpart F/1910.66)

Select **Display the path of a subcategory before its name** if you want subcategory paths to look like the one below.

Categories
OSHA
1910 Subpart F/1910.66: 1910.66 App C - Personal Fall Arrest System

Allow All Users to View the Overview

By default, the **Overview** tab is hidden in documents and questionnaires opened by users with only the Assignee role. Select this option if you want all users to see the **Overview**, regardless of their role assignments.

Default Properties Wizard Views

Each option corresponds with the **Select From** menu in a user selection step (**Writers**, **Reviewers**, **Approvers**, and **Assignees**) of the **Properties Wizard**. Choose the options that will be selected by default when document owners are making document task assignments.

Note: The **Users** option corresponds with the role selection in each step. For example, the **Users** option under **Assignees** in **Default Document Properties** corresponds with the **Assignees** option in the **Assignees** step's **Select From** menu in the **Properties Wizard**.

DEFAULT PROPERTIES WIZA	RD VIEWS ()
Writers	
Users	v
Reviewers	
Users	T
Approvers	
Users	•
Assignees	
Departments	•
Users	
Groups	
Departments Job Titles	
Bank Account Reconciliation Edit Document Propertien 1 Settings * 2 Categories *	es Wizard Overview Edit Questionnaire ?
3 Writers	Multi-Site (Global) Groups
4 Reviewers	 Corporate Headquarters Administrative Assistants All Readers - Corporate Headquarters
5 Approvers *	 Directors Managers
6 Assignees	
7 Security	

Categories

By creating categories, you can group documents and questionnaires logically to make searching for and locating specific types of documents/questionnaires easier. For example, you might create categories for state standards, OSHA standards, and other quality measures—or for document types, such as policies, procedures, and forms.

Part of category creation includes the creation of subcategories for that category, because documents can only be assigned to subcategories and not to

a top-level category. For example, if the category is Document Type, subcategories you define might include Policies, Procedures, Forms, Job Descriptions, and Training. Or, if the category is ISO 9000, you would create a sub-category for each ISO 9000 level or activity.

Refer to the following sections for details on working with categories.

Adding a Category Adding Subcategories Manually Importing Subcategories Editing a Category or Subcategory Moving a Category Merging Categories Archiving Categories

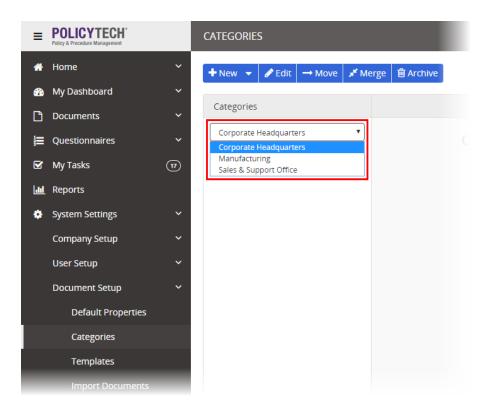
Adding a Category

You can think of a category as a container for subcategories. Because documents and questionnaires can only be assigned to subcategories, each top-level category you create must contain at least one subcategory before it is useful for categorizing documents/questionnaires.

To add a top-level category,

- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select a site you want to assign the category to.

Note: You can assign the category to additional sites later in the process.



3. Click New, and then click New Category.

🛨 New 🔻 🖋 Edit	→ Move	📌 Merge	Archive	
New Category				
Corporate Headquar	ters	T		
[Corporate Headquage]	arters]			

4. In the **Edit Category** tab, define the new category (see <u>Category</u> <u>Properties</u> below for details).

	Category Owner 🟮
	Choose a category owner 🔻
Reference ID	Sites
	1 Selected 🔻
Selection Type 🟮	Constraints
Single	Document Owner can add subcategories 1
O Multiple	 Hide this category in Browse 1
Description	
	B I <u>U</u> 🌮 - A - ' 🗟 🔒
-	
- 3 - 3 - 2 = 2 (Font Size) ▼	
-	
··· i− i− te te (ront Size) ∨	

- 5. Click Save.
- 6. Create subcategories under this new category either by adding them manually (see <u>Adding Subcategories Manually</u>) or importing them (see <u>Importing Subcategories</u>).

Category Properties

Name. This is the name that appears in the category list. This name must be unique across all sites.

Reference ID. By default, the reference ID is auto-filled with the category name. You can change the reference ID, but be aware that it must be unique.

(Optional) Category Owner. If you want to assign someone to manage this category (to add and maintain subcategories), for Category Owner, click a user name. (See <u>Assigning System Permissions</u> for details on assigning a user as a category owner.)

Sites. Select the sites that will offer this category as an assignment option in templates and documents. You may also want to select **Automatically select new sites as they get created**.

Selection Type. This property determines whether document owners can assign a document/questionnaire to just one subcategory under this category or to more than one. The default setting is **Single**.

(Optional) Constraints.

- When Document Owner can add subcategories is selected, document owners and proxy authors will have the option to create new subcategories under this category when they create documents/questionnaires.
- When Hide this category in Browse is selected, users will not see this category by default as an Arrange by option when using Browse.
 However, all users except those with only the Assignee role will have the option of showing hidden categories in Arrange by.

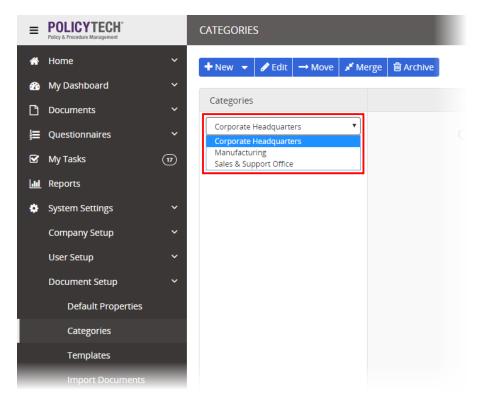
(Optional) Description. Add a description to explain what the category is for and the type of subcategories it should contain.

Adding Subcategories Manually

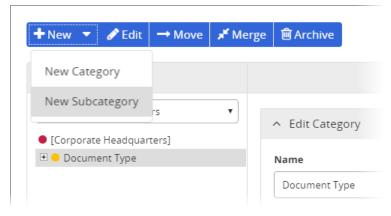
The instructions below are for adding each subcategory manually. If you want to import subcategory information, see <u>Importing Subcategories</u>.

To add a subcategory,

- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select a site containing the category you want to add subcategories to.



- 3. Click the top-level category or the subcategory under which you want to create a new subcategory.
- 4. Click New, and then click New Subcategory.



5. Type a subcategory name.

Add Subo	ategory									
Name										
Policy										Add
Reference	e ID									
Policy										
Descriptio	on									
	8 <u> </u>	¢.	(Font Size)	~	В	I	U	øy -	Α -	' 😪
Categorie	s									圃
										*
										•
								Ca	ncel	Save

6. The **Reference ID** box is auto-filled with the subcategory name you type. If you change the reference ID, be aware that it must be unique among all

category and subcategory IDs.

- 7. (Optional) In the **Description** box, describe the type of document or questionnaire that should be added to this subcategory.
- 8. Click Add. The new subcategory appears in the Categories box.

Add Subo	ategory									
Name										
										Add
Reference	ID									
Descriptio	n									
₽ ' 	:= · •	¢.	(Font Size)	~	в	I	<u>U</u>	a y -	A	· 🔒
Categorie	5									前
Policy										<u></u>
										*
								Ca	ncel	Save

9. (Optional) To create additional subcategories under the same category or subcategory, repeat steps 5 through 8.

Note: You can click one of the already added subcategories in the **Categories** box to change that subcategory's properties. When you finish making changes, click **OK** to save them. To remove an added subcategory, click it, and then click **a**.

- 10. When you're finished adding subcategories, click Save.
- 11. (Optional) Under some circumstances, you may not want a subcategory you've added to be assigned to documents or questionnaires. For example, if you're creating multiple levels of subcategories, a subcategory may simply be a container for other subcategories added below it. To prevent a subcategory from being assigned, find and click the subcategory in the category tree, select **Do not allow documents to be assigned to this category**, and then click **Save**.

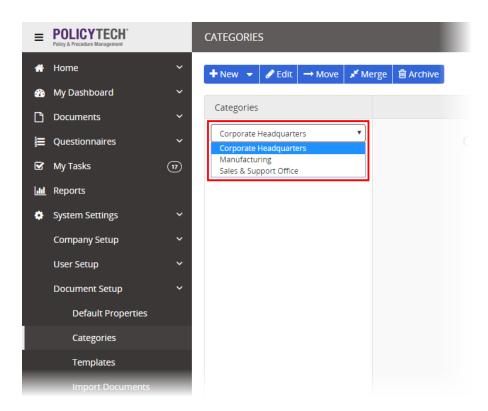
Edit Subcategory	×
BASIC SETTINGS Name	Constraints 💡
Job Description	$\ensuremath{\overline{\mathbb{M}}}$ Do not allow documents to be assigned to this category
Reference ID	
Job Description	
Description	
B I ∐ ≡ ≡ 99 0 H ≡ ± ≡ ℃ C	
	Save

Importing Subcategories

You can import multiple levels of subcategories at once using an Excel spreadsheet.

Important:

- You must create and save the top-level category (see <u>Adding a Category</u>) before importing its subcategories.
- The subcategory import template is an Excel spreadsheet in .xlsx format. You must have Excel 2007 or later (or another program that can open and save spreadsheets in .xlsx format) on your computer to prepare the import spreadsheet.
- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select the site containing the category you want to add subcategories to.



- 3. Click a category (the target category for the subcategory import).
- 4. Click the Import tab, and then click Download Template.

+ New ▼	✔ Merge 🗍 Archive	
Corporate Headquarters ▼ ● [Corporate Headquarters] B ● Document Type B ● FLSA C ● SLSA C 0 9000	Edit Category Import Name ISO 9000	
Import	•	×
	Please choose a file to upload.	
	Lownload Template Online Instructions	
	≽ Browse Files	

- 5. A prompt asks if you want to include existing subcategories in the downloaded template. If subcategories already exist under the current category and you want to make modifications to them (such as changing titles or adding descriptions) as part of the import, click **Yes**; otherwise, click **No**.
- 6. When prompted, open the template and enable it for editing.

🕼 🗅 🧀 🖭 🥰 ⊟	R +	CategoryImport	[emplate.xisx [Read-Only] - Excel		? 🗉 —	
FILE HOME INSERT	PAGE LAYOUT FORMULAS	DATA REVIEW VIEW				
🛫 👎 Format Painter 🔲	Ι ∐ + ⊞ + Δ + ▲ + ≡	= _ ≫ • = = ≪ • E ₩ Wrap Text = = ≪ • E ₩ Marge & Center •	General \$ v % y \$ 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	at as Cell Insert Delete Format Ile * Styles * * * *	∑ AutoSum * Art Fill * Sort & Find & Clear * Filter * Select *	
Clipboard 12	Font ra	Alignment 5	Number 1% Styles	Cells	Editing	1
A1 * : 🔀	✓ f _x Level1RefID					,
A	В	С	D	E	F	
1 Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2RefID	Level2PreviousRefID	
2						
-						
0 1 2 3						

- 7. Prepare the import spreadsheet (see <u>Preparing the Import Spreadsheet</u> below for details).
- 8. Save the spreadsheet in .xlsx (Excel 2007 or later) format.

Important: The older .xls (Excel 97-2003) format is not supported.

9. Back in PolicyTech, click **Browse Files**, find and select the import spreadsheet file, and then click **Open**.

Note: If the **Import** tab for the top-level category is no longer displayed, click **System Settings**, click **Document Setup**, click **Categories**, click the category, and then click the **Import** tab.

Import	×
Please choose a file to upload.	
🛓 Download Template 🛛 🥹 Online Instructions	
Browse Files	

After uploading and analyzing the file, PolicyTech displays the number of issues found.



- (Conditional) If there are issues, click **Review Issues**, and then click **Open**. See <u>Handling Import Issues</u> below for details on interpreting the ReviewIssues.xlsx spreadsheet and fixing issues in your import spreadsheet and re-uploading it.
- 11. When you are ready to continue, click Preview / Begin Import.

Import		×
	Well done: The import file is valid.	
	✓ Preview / Begin Import X Start Over	

The preview lists the detail and status (Added or Changed) of the categories from the uploaded import file.

		Preview	
All	T		
Title	Reference ID	Description	Status
Job Descriptions	L1T001	Container for job description subcategories.	Added
- Executive	L2T001	For execuitve level personnel job descriptions.	Added
- Marketing	L2T002	For marketing personnel job descriptions.	Added
- Sales	L2T003	For sales personnel job descriptions.	Added
- Legal	L2T004	For legal personnel job descriptions	Added
- Development	L2T005	For development personnel job descriptions.	Added
- Manufacturing	L2T006	For manufacturing personnel job descriptions.	Added

12. Click Begin Import.

13. When you see the **Success** message, in the category tree on the left expand the top-level target category to see the imported subcategories.

Preparing the Import Spreadsheet

Use the import template to list the subcategories that you want imported under the target category. Follow the guidelines below to add subcategories to the template.

 List only one subcategory per row. The following is an example of a single level of subcategories to be imported under a top-level category called Document Type.

	Α	В	С	D	E
1	Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2Ref
2	DT001			For forms and survey-type documents.	
3	DT002		Job Descriptions	For job descriptions and related documents.	
4	DT003		Policies	For corporate polices and related documents.	
5	DT004		Procedures	For departmental procedures and other step-by-step instructions.	
6	DT005			For documents products by the legal department.	
7	DT006		Marketing Documents	For customer-facing marketing documents.	
8	DT007		RFPs	For RFPs (Request for Proposal documents) produced by the sales department	
9					
10					

- Each subcategory entry can contain up to four pieces of data: the reference ID, the previous reference ID (used only for changing an existing reference ID to a new value), the title, and the description. Of these, only the reference ID is required to for a successful import. (Because each subcategory must have a title in the PolicyTech system, the reference ID will also be used as the title if you leave the title field empty in the import template.)
- To change an existing category's reference ID, include the new reference ID in the Level[X]RefID column and the current reference ID in the Level [X]PreviousRefID column, as shown below. In this example, the reference IDs are currently the same as the subcategory titles and are being changed to alphanumerical codes.

Note: If you want to change reference IDs of existing subcategories using the import template, be sure to specify that you want existing subcategories included when downloading the template. You can then simply cut and paste the values from the Level[X]RefID column into the Level[X]PreviousRefID column.

	Α	В	С	D	E
1	Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2RefID
2	DT001	Forms	Forms	For forms and survey-type documents.	
3	DT002	Job Descriptions	Job Descriptions	For job descriptions and related documents.	
4	DT003	Policies	Policies	For corporate polices and related documents.	
5	DT004	Procedures	Procedures	For departmental procedures and other step-by-step instructions.	
6	DT005	Legal Documents	Legal Documents	For documents products by the legal department.	
7	DT006	Marketing Documents	Marketing Documents	For customer-facing marketing documents.	
8	DT007	RFPs	RFPs	For RFPs (Request for Proposal documents) produced by the sales department	
9					
4.0					

 To import a lower level of subcategories, simply list them in the next set of columns to the right of and in the rows directly below their parent subcategory, as shown below.

Important: Be sure not to list a sub-subcategory on the same row as its parent subcategory.

	А	В	С	D	E	F	G	Н	
1	Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2RefID	Level2PreviousRefID	Level2Title	Level2Description	Level
2	L1T001		Job Descriptions	Container for job description subcategories.					
3					L2T001		Executive	For execuitve level personnel job descriptions.	
4					L2T002		Marketing	For marketing personnel job descriptions.	
5					L2T003		Sales	For sales personnel job descriptions.	
6					L2T004			For legal personnel job descriptions	
7					L2T005			For development personnel job descriptions.	
8					L2T006		Manufacturing	For manufacturing personnel job descriptions.	
9					L2T007		Human Resources	For human resources personnel job descriptions.	
10	L1T002		Policies	Container for policy subcategories					
11					L2T101			For policy documents dealing with security topics.	
12					L2T102		Human Interaction	For policy documents dealing with human interaction topics.	
13					L2T103		Environment	For policy documents dealing with environmental topics.	
14					L2T104			For policy documents dealing with safety topics.	
15					L2T105		Payroll	For policy documents dealing with payroll topics.	
16									

 While the import template includes columns for three levels of subcategories, you can include however many levels you need. Simply copy a set of four subcategory columns to the columns on the right and increment the level numbers.

Handling Import Issues

There are three issue levels:

- **Critical (red):** A piece of a subcategory's information is missing or invalid and the spreadsheet cannot be imported.
- Medium (orange): The spreadsheet contains information that cannot be imported as it is but that will not cause the import to fail. If you continue with the import, the defective information will either be ignored, replaced with a valid value, or truncated (if the data exceeds the character limit).
- Low (yellow): A low issue calls your attention to a piece of information or lacking optional information you may want to check before continuing with the import.
- 1. In the import spreadsheet you just opened, click Enable Editing.
- 2. Look in the **Errors**column (column A) for any cells with a fill color (red, orange, or yellow), which indicates that there is a possible issue with the information in that row. Look across in that row for other colored cells, and then point to a colored cell to display the error detail.

Important: Be sure to scan the entire row for colored cells as there may be multiple issues with the same subcategory.

	Α	B	С	D	E	F	G	Н
1	Errors	Level1RefID	Level1PreviousRefID	Level1Title	Level1Description	Level2RefID	Level2PreviousRefID	Level2Title
2		L1T001		Job Descriptions	Container for job description subcategories.			
3						L2T001		Executive
4						L2T002		Marketing
5						L2T003		Sales
6						L2T004		Legal
7						L2T005		Development
8						L2T006		Manufacturing
9			The description is bla	nk Are you ouro	you want this?	L2T007		Human Resources
10		L1T002	The description is bia	Inc. Are you sure	you want this?			
11		v				L2T101		Security
12						L2T102		Human Interaction
13						L2T103		Environment
14						L2T104		Safety
10						1.2T105		Payroll

- 3. Do one of the following:
 - If there are no critical issues and you don't feel you need to make any changes to correct medium or low issues, back in PolicyTech click
 Preview / Begin Import, and then, after scanning the preview, click
 Begin Import. A Success message appears when the import is finished.
 - If you see issues you must or want to address, open the original import spreadsheet you uploaded, and make the needed changes. Then, move on to the next step.

Important: Do not make changes directly in the ReviewIssues.xlsx spreadsheet. Make needed changes in your original import spreadsheet using the information in ReviewIssues.xlsx as a guide.

4. Back in the Import tab click Start Over.

Import	×
There are 0 high and 3 medium issues.	
✦ Review Issues X Start Over	
✓ Preview / Begin Import	

- 5. Click **Browse Files**, find and select the import spreadsheet file, and then click **Open**.
- 6. Do one of the following:
 - If there are still issues, click **Review Issues**, open the issues spreadsheet, and repeat the steps above until you are comfortable with the import spreadsheet contents.
 - If there are no critical issues and you don't feel you need to make any changes to correct medium or low issues, back in PolicyTech click
 Preview / Begin Import, and then, after scanning the preview, click
 Begin Import. A Success message appears when the import is finished.

Editing a Category or Subcategory

To make changes to an existing category,

- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select the site containing the category or subcategory you want to edit.
- 3. Do one of the following:
 - To edit a top-level category, click it to show the **Edit Category** tab.

Corporate Headquarters 🔹		
[Corporate Headquarters]	Edit Category Import	
 Document Type 	Name	Category Owner 🚯
 FLSA ISO 9000 	Document Type	Choose a category owner 🔻
OSHA		
 Sarbanes-Oxley Guidelines 	Reference ID	Sites
	3db221ab575c46e6b9c2486dd0549fe1	2 Selected v
	Selection Type 🚯	Constraints
	Single	Document Owner can add subcategories 🚯
	 Multiple 	 Hide this category in Browse 1
	Description	
	I III III III III III III IIII IIIIIIII	I 🗓 💖 - A - 🚷 🚷
		I U 🦻 • A • 🍓 🕼
		r <u>u</u> 🐵 • A • 🚱 💮
		<u>г ц</u> 🦻 • А • 🚱 🖗
		<u>г ц </u> Р • А • 🚱 🖗
		<u>г ц</u> 🦻 • А • 🚱 🖗
		<u>г ц</u> 🦻 • А • 🚱 🖗

■ To edit a subcategory, click ± to expand the top-level category, and then click the subcategory to show its details.

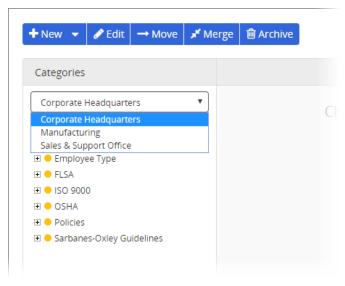
Edit Subcategory	×
Name Procedure	Constraints O Do not allow documents to be assigned to this category
Reference ID Procedure Description	
$B I \underline{U} \equiv \equiv 99 \mathscr{O} H \equiv \pm \equiv 0 C$	
A series of prescribed steps followed in a definite regular order to which the Procedure applies.	which ensure adherence to the guidelines set forth in the Policy
	Save

- 4. Make changes to the category or subcategory properties. (See <u>Adding a</u> <u>Category or Adding Subcategories Manually</u> for details on the properties.)
- 5. Click Save.

Moving a Category or Subcategory

Important: Before you can move a category or subcategory, it must not be assigned in any templates. If you need to remove any category or subcategory assignments, see <u>Finding Category Assignments</u>.

- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select the site containing category or subcategory you need to move.



3. Click **Move**.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Please exercise extreme caution in this area.	1
Continu	ıe
Back Up Database	×
Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	1
Continue Back Up Databa	se

- 4. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because

backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click **Continue**.

5. Find and select one or more categories or subcategories you want to move to the same location.

• New ▼ Selit → Move X Me	erge 🗎 🗃 Archive	
Categories	Move Category	
Corporate Headquarters	Categories to be Moved:	Ŵ
	• Exempt • Non-Exempt	*
E ● □ ISO 9000		_
	Move the above categories into the following category	
● □ Policies ● □ Sarbanes-Oxley Guidelines	Corporate Headquarters	•
	[All Categories] ⊡ Occument Type ⊡ Employee Type ⊡ ELSA	•
	■ ● ISO 9000	
	B ● OSHA Belicies	•
	Cancel	love

6. If multiple sites exist, select the target site.

Categories	Move Category	
Corporate Headquarters	Categories to be Moved:	Ē
	• Exempt • Non-Exempt	•
 Delicies Sarbanes-Oxley Guidelines 	Move the above categories into the following category Corporate Headquarters Manufacturing Sales & Support Office Image: Composition of the state of	v v v

- 7. Do one of the following:
 - To move the selected categories or subcategories to become top-level categories, click [All Categories].
 - To move the selected categories or subcategories under another category or subcategory, select it.
- 8. Click Move, and then click OK.

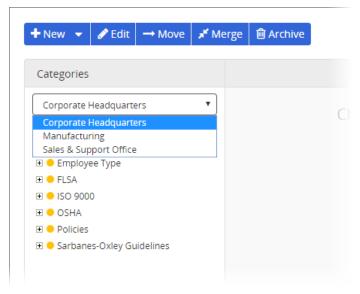
Note: If the move was not successful, follow the instructions in the <u>Finding</u> <u>Category Assignments</u> section, and then try to move the categories again.

Merging Categories or Subcategories

When merging one or more categories/subcategories into a another category/subcategory (the target), all of the subcategories, templates, and documents/questionnaires assigned to the categories/subcategories to be merged will be reassigned to the target category/subcategory. The categories/subcategories to be merged will then be deleted, with the target category/subcategory remaining.

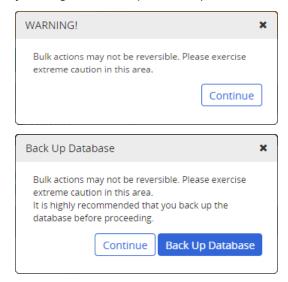
Important: A category/subcategory that is merged into another is not placed in the **Archive** and can only be restored by restoring a backup database. If your PolicyTech system is hosted, periodic backups are created automatically. If your PolicyTech is installed on your organization's premises, be sure to back up the database when prompted.

- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select the site containing the category or subcategory to be merged.



3. Click Merge.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).



4. Do one of the following:

- If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
- If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click Continue.
- 5. Find and select one or more categories or subcategories to be merged.

New ▼ 🖋 Edit → Move ⊀	Merge 🗎 Archive	
Categories	Merge Categories into Item	
Corporate Headquarters	Categories to be Merged:	Ē
[Corporate Headquarters] Document Type Employee Type Exempt Non-Exempt	• Exempt • Non-Exempt	A
		-
 OSHA ODIcies Sarbanes-Oxley Guidelines 	Merge the above Categories into the following Corporate Headquarters	Destination Category
	● [All Categories]	^
	 Iso soor ● OSHA ■ Policias 	•
		Cancel Merge

6. If multiple sites exist, select the target site.

Categories	Merge Categories into Item
Corporate Headquarters	Categories to be Merged:
 [Corporate Headquarters] □ Document Type □ Employee Type ○ Exempt ○ Non-Exempt ■ FLSA 	Exempt Non-Exempt
∃ ● □ ISO 9000 ∃ ● □ OSHA	
관 ● □ Policies 관 ● □ Sarbanes-Oxley Guidelines	Merge the above Categories into the following Destination Category Corporate Headquarters Corporate Headquarters Manufacturing Sales & Support Office B © Employee Type B © Employee Type B © FLSA B © ISO 9000 B © OSHA C © Delicioe Cancel Merge

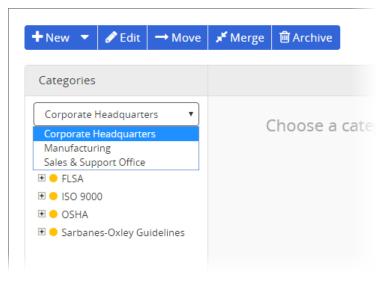
- 7. Click the category or subcategory you want the selected categories to be merged into.
- 8. Click Merge, and then click OK.

Note: If the merge was not successful, follow the instructions in the <u>Finding</u> <u>Category Assignments</u> section, and then try to merge the categories again.

Archiving Categories or Subcategories

Important: You cannot archive a category or subcategory while it is assigned to any template, document, or questionnaire. You can remove category/subcategory assignments from templates and active documents/questionnaires. However, if a document/questionnaire has been archived, you cannot change any of its properties, and you will need to use **Merge** instead of **Archive** (see <u>Merging Categories or Subcategories</u>).

- 1. Click System Settings, click Document Setup, and then click Categories.
- 2. If multiple sites exist, select the site containing the category or subcategory to be archived.



3. Click Archive.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Bulk actions may not be reversible. Please exercise extreme caution in this area.	
Continue	
·	_
Back Up Database	×
Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	

- 4. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 through 3 above. Then, on this step, click Continue.
- 5. Select one or more categories or subcategories you want to archive.

Important: To archive a category or subcategory with subcategories under it, you must archive all of the contained subcategories first.

New ▼ Sedit → Move	🗚 Merge 🗎 Archive	
Categories	Archive	
Corporate Headquarters	The following have been marked for archival:	圃
 [Corporate Headquarters] Document Type FLSA Exempt Non-Exempt 	• Exempt • Non-Exempt	A
 ■ □ ISO 9000 ■ □ OSHA 		
🖲 😑 🔲 Sarbanes-Oxley Guidelines	Cancel	hive

6. Click the red **Archive** button, and then click **OK**.

Note: If the deletion was not successful, follow the instructions in the <u>Finding</u> <u>Category Assignments</u> section, and then try again.

Finding Category Assignments

Depending on your PolicyTech configuration, discovering what documents and questionnaires are assigned to a category can be quite a complex process. The steps below offer one systematic way to find all templates, documents, and questionnaires assigned to a specific category.

Removing Categories From Templates

To make sure no templates are using a specific category,

- 1. Click System Settings, click Document Setup, and then click Templates.
- 2. Click the first template in the list to open it.
- 3. On the **Properties Wizard** tab, click **Category Types** to display the list of all top-level categories.
- 4. Find the top-level category that contains or is the same as the category you want to remove. If the category is selected, click to clear its check box.
- 5. Click Save and Close.
- 6. Repeat steps 2-5 with each remaining template in the list.

Removing Categories From Documents

1. Click System Settings, click Document Setup, and then click Bulk Edit.

You should now see one of two warnings, depending on whether your PolicyTech system is hosted by NAVEX Global or installed on your organization's premises.

- 2. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click Launch Bulk Edit.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat step 1 above. Then, on this step, click Launch Bulk Edit.
- 3. In the **Choose Documents** tab, for **Content Type**, select **Documents** or **Questionnaires**.
- 4. For **Status**, select the status of the documents you want to check. (Each status must be selected separately.)
- 5. For Site, select a site. (Each site must be selected separately.)
- 6. For **Select By**, select the top-level category that contains or is the same as the category you want to unassign.
- 7. For Category, select the category you want to unassign.
- 8. To select all the documents that match the content type, status, site, and category you selected, click **Add All From** [*category name*].

Choose Documents: (choose the documents that will be affec	ted by your bulk edit mo	difications. Then choose "Mo	ndify Properties" or "Bulk Artion	<"
Content Type					
	Documents	~			
itatus	Draft - Draft	*			
iite	Corporate Headquarters	~	🛃 Add All From This Site	🛃 Add All From All Sites	
Select By	FLSA	~			
ategory	Exempt	~	🛨 Add All From Exempt		
vailable Documents			Selected Documents		
Job Description	- Accounting Manager (v.1) - Chief Executive Officer (v.1) - Chief Finance Officer (v.1) - Chief Information Officer (v.1) - Chief Operations Officer (v.1) - Director of Engineering (v.1) - Director of Finance (v.1) - Personnel Manager (v.1)				
	an of checkboxes.	× Clear Filter(s)			
Shift+Click selects a sp Add Filter(s)					

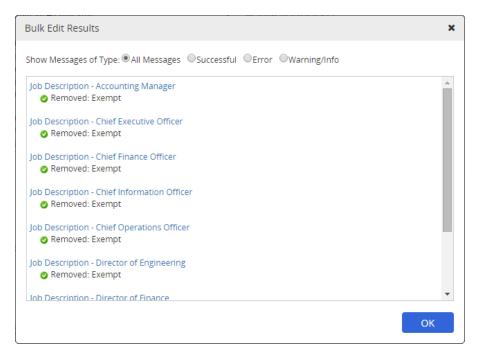
- 9. Click the Modify Properties tab.
- 10. Click Categories.
- 11. In the **Categories** box, click the top-level category that contains the category you want to unassign.
- 12. In the Choose box, select the category you want to unassign.

Note: If you need to unassign multiple sub-categories under the same parent category, and the parent category has been set to allow only one subcategory selection at a time, you will need to select each category individually to unassign it.

Bulk Editor		Bulk A
Choose Documents (8)	Modify Properties ?	
1 Settings	Sites Choose which sites can access this document v 0	
2 Categories	Next: Choose where this document will be displayed Required	Fair La
3 Writers	Departments Optional Document Type	fulf illin
4 Reviewers	FLSA ISO 9000	
5 Approvers	OSHA Sarbanes-Oxley Guidelines	Selecte
6 Assignees	● [FLSA] ● [Z Exempt	FLSA Exen
7 Security	Non-Exempt	

13. Click Remove from Selected Documents.

14. Details are displayed of what was done to each document. Click OK.



15. Repeat the steps above as necessary to remove the category from documents in all statuses within each site.

Templates

Think of a template as a starting point for creating a document or questionnaire. You can create any number of templates for the different types of documents and questionnaires your organization creates. Within each template, you can set nearly all the same properties and make all the same assignments that an owner can when creating a new document or questionnaire. The owner can change any optional assignment from the template when creating a document/questionnaire, but cannot change those assignments set as required.

Note: The ability to create stand-alone questionnaires is an optional feature that must be enabled before you can add a questionnaire template. See <u>Module Manager</u> for details.

In document templates, you can also add content, such as an outline or form, and default formatting.

Go to one of the following topics for instructions on creating, editing, or deleting a template.

Creating a Template

Editing a Template

Deleting a Template

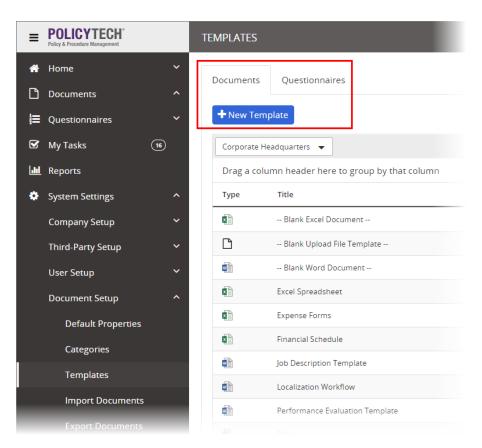
Creating a Template

The following steps provide an overview of the template creation process and references to more detailed instructions.

- 1. Click System Settings, click Document Setup, and then click Templates.
- 2. Do one of the following:
 - If only the Document Module or only the Questionnaires Module is currently enabled, click New Template.

≡	POLICYTECH° Policy & Procedure Management	TEMPLATES		
*	Home 💙			
Ľ	Documents Y	+ New Template		
S	My Tasks (16)	Corporate Headquarters 🔻		
Lili	Reports	Drag a column header here to group) by that column	
٠	System Settings ^	Type Title		
	Company Setup 🗸 🗸 🗸	Blank Excel Document		
	Third-Party Setup 💙	Blank Upload File Templa	ite	
	User Setup 🗸 🗸 🗸	Blank Word Document		
	Document Setup ^	Excel Spreadsheet		
	Default Properties	Expense Forms		
	Categories	Financial Schedule		
	.	Job Description Template		
	Templates	Localization Workflow		
	Import Documents	Performance Evaluation Te	mplate	
	Export Documents	Policy		

 If both the Document Module and the Questionnaire Module are currently enabled, click the Documents tab or Questionnaires tab, and then click New Template.



3. Type a title.

Untitled		
Properties Wizard		Template
1 Template	Title	Advanced Settings 🔶
Setup	Survey Template	
	Workflow Configurations	
	Full (Default)	~
	Content Type	
	Questionnaire	~
	Sites	Automatically select new sites as they get created.
	Corporate Headquarters Manufacturing Sales & Support Office	
Untitled		
Edit Document	Properties Wizard 😯	Template
1 Template	Title	Advanced Settings
Setup	Policy Template	
	Workflow Configurations	Don't allow assign
	Full (Default)	
	Content Type	
	Word Document	
	Sites	Automatically select new sites as they get crea
	Corporate Headquarters Manufacturing Sales & Support Office	
		Save Edit Document Next Ste

Questionnaire template

Document template

- 4. For Workflow Configurations, select one of the following options:
 - Full (Default): Includes all available workflow steps (statuses)—Draft, Collaboration (for assigning writers), Review, and Approval—leading up to a document/questionnaire being published.
 - Review/Approval: Eliminates the Collaboration step for documents/questionnaires based on this template.
 - Approval: Eliminates both the Collaboration and Review steps for documents/questionnaires based on this template.
 - Draft/Published: This option, which eliminates all but the Draft and Assignees steps, is only available if PolicyTech has been specially configured to allow it.

Note: Document owners can choose to skip the Collaboration and Review steps, even when they are included in the template. The Draft and Approval

steps are always mandatory, unless PolicyTech has been configured to skip the Approvers step.

~

- 5. (For documents only, and optional) If you want to prevent document owners from designating assignees to read or be notified of published documents created from this template, select **Don't allow assignees**. This removes the **Assignees** step.
- 6. Do one of the following:
 - If this is a document template, tor Document Type, click Word Document, HTML Document, Excel Spreadsheet, or Upload a File.
 - If this is a questionnaire template, move on to the next step. (There is only one content type for questionnaires.)
- 7. If multiple sites exist, select the sites where you want this template available.
- 8. (Optional) If this template is one you want all sites that might be created in the future to have access to, select **Automatically select new sites as they get created**.
- 9. Click Save to display the remaining workflow steps.

Polic	:y Template v.1 🔒		Save and Close 🔹
Edit	Document Propert	ies Wizard Overview 😯	Template
	Template Setup	Title	Advanced Settings 🔶
	-	Policy Template	
	Category Types	Workflow Configurations	Don't allow assignees
	Writers	Full (Default)	~
	Reviewers	Content Type	
		Word Document	~
	Approvers	Sites	Automatically select new sites as they get created.
	Assignees Security	Corporate Headquarters Manufacturing Sales & Support Office	
	Policy Template	v.1 🔒	Save and Close 🔻
	Edit Document	Properties Wizard Overview	Template
	1 Template Setup	Title Policy Template	Advanced Settings 🕈
	2 Category Types	Workflow Configurations	Don't allow assignees
	3 Writers	Full (Default)	~
	4 Reviewers	S Word Document	~ `
	5 Approver	s Sites	 Automatically select new sites as they get created.
	6 Assignees	 Manufacturing 	
	7 Security	Sales & Support Office	
	8 Localizatio Workflow		
			Save Edit Document Next Step

Questionnaire template

Document template

- 10. (Optional) See <u>Assigning Template Properties</u> for instructions on configuring **Optional Settings** in the **Template Setup** step and working through the remaining steps.
- 11. (Optional) If this is a document template, click **Edit Document**, and then do one of the following, depending on the document type you chose earlier:
 - Word Document or Excel Spreadsheet: add, format, and edit the content (see <u>Adding Content to a Word Template</u> or <u>Adding Content to</u> an Excel Template).
 - HTML Document: add, format, and edit the content (see <u>Adding</u> <u>Content to an HTML Template</u>).
 - Upload a File: follow the prompts to upload a document file (see Adding Content to an Upload File Template).
- 12. Click Save and Close.

Assigning Template Properties

The **Properties Wizard** breaks up property assignment for a template into the following steps. Each step is described in the sections that follow.

Note: The steps available to you depends on the **Workflow Configurations** setting of the currently selected template.

<u>Template Setup</u>: Set the template's required properties (**Title**, **Content Type**, **Sites**) and other optional properties.

<u>Category Types</u>: Assign departments and categories for any documents/questionnaires created from this template.

<u>Writers</u>: Assign the writers who may collaborate on writing any document/questionnaire created from this template.

<u>Reviewers</u>: Assign the users who may review any document/questionnaire created from this template.

<u>Approvers</u>: Assign the users who may approve any document/questionnaire created from this template.

<u>Assignees</u>: Assign the users who may be required to read or be notified of each document created from this template, or who may be assigned to complete each questionnaire created from this template.

<u>Security</u>: Set the default security level for any document created from this template.

Template Setup

See <u>Creating a Template</u> for details on the required **Template Setup** settings (**Title**, **Workflow Configuration**, **Content Type**, and **Sites**).

Click Advanced Settings, and then see the setting descriptions below.

Advanced Template Settings

Important: When creating a new document or questionnaire using this template, an owner can change any of the following settings, except **Enhanced Validation** and **Editing Document** if you lock them.

Review Interval Warning Period Publication Date Notification Settings for Doc Owners & Proxies Enhanced Validation (document templates only) Editing Document (document templates only) Available To Mark as Read Text (document templates only)

Review Interval

When a review interval is set, any document or questionnaire created from this template will come due for review after the specified interval has past. The owner receives an email and PolicyTech task as the review date approaches (see the next setting section—"Warning Period"—for details on when the owner receives notification).

Note: To change the default review interval for all new templates, ssee <u>Default Document Properties</u>.

1. For **Review Interval**, do one of the following:

eview Interval 📵		
Every 12 months from approve/last reviewed date	~	
No Review Date		
Every 12 months from approve/last reviewed date	•	Publ Pub

- Click Every [number] months from [selected event or specified date], and then change the number of months. Click the last box, and then click one of the following:
 - **approve/last reviewed date:** Sets the review date the number of specified months after the document or questionnaire is approved for version 1 and after the previous review date for all subsequent versions.
 - **specified date:** Sets the review date the number of specified months after a specified date, which the owner will select when using this template for a new document or questionnaire.
- Click No Review Date.
- 2. Click anywhere outside the Review Interval menu to close it.

Warning Period

Use this setting to change when the owner receives notification that the next review due date is approaching.

Note: To change the default warning period for all new templates, see Default Document Properties.

- 1. For Warning Period, do one of the following:
 - Click Warn [n] months before Review Interval, and then type a number in the box.

```
    Use Default Warning of 1 month(s) before Review Interval
    Warn 1 month(s) before Review Interval.
```

- Click Use Default Warning of [n] month(s) before Review Interval.
- 2. Click anywhere outside the Warning Period menu to close it.

Publication Date

This is the date when the approved document or questionnaire becomes available to designated assignees.

- 1. To change the current selection, for **Publication Date** box, do one of the following:
 - Click Publish the document as soon as it gets approved.
 - Click Wait until specified date, which the owner will select when using this template for a new document or questionnaire. Also, select Require reading before publication if you want the task notification sent as soon as the document or questionnaire is approved. Assignees can then access the document or questionnaire during the interval between approval and publication (the Pending status).

Notes:

- If the document or questionnaire is approved after the specified publication date, it will be published immediately.
- Users who mark the document as read or complete the questionnaire before the publication date will not be required to read or complete it again when it is published.

```
Publish the document as soon as it gets approved.
```

```
    Wait until specified date.
```

Require reading before publication

2. Click anywhere outside the Publication Date menu to close it.

Notification Settings for Doc Owners & Proxies

These settings let you choose which types of notification emails a document's or questionnaire's assigned owner and proxy author will receive.

- 1. Do one of the following:
 - Select Company / Personal to use the current Email Subscriptions settings of the assigned owner and proxy author to determine which email notifications relating to this document or questionnaire are sent.

Note: If the Allow users to manage their email settings option is currently selected (see Email Manager: Settings), then this document's or

questionnaire's assigned owner and proxy author will receive only those notification emails that they've enabled in **My Profile**. If users are not allowed to manage their own email subscriptions, then the current **Email Manager** settings in the **Email List** tab, determine which emails are sent.

 Select Custom, and then select the notification email categories to enable. For a list of emails in each category, see the "Email Categories for Custom Notification Settings" section of the User's Guide.

Important: You can lock the enabled/disabled setting for each email in the Critical Changes, Document Status Changes, and Task Status Changes categories (see Email Manager: List). Changing a Custom setting for one of these categories in a template has no effect on individually locked emails.

Enhanced Validation

Note: This option applies only to document templates.

When this feature is enabled, a user must enter his or her user name and password (an electronic signature, in effect) in order to complete a task, such as marking a document as read, accepting a document in review, or approving a document. In the case where a kiosk computer is the point of general PolicyTech access under a generic service account, this feature provides verification that the intended user has completed a task.

1. For Enhanced Validation, click Yes or No.

Important: Enhanced Validation can also be enabled or disabled at the system level and on individual documents. See <u>Default Document</u> <u>Properties: Enhanced Validation (Electronic Signature)</u> and "Advanced Settings" in the <u>User's Guide</u>.

- 2. By default, the **Enhanced Validation** setting is hidden from and locked for document owners using the template. To change these settings, do one of the following:
 - To let document owners see the **Enhanced Validation** setting but not change it, click to clear the **Hide** check box and leave **Lock** selected.
 - To let document owners both see and change this setting, click to clear both the Hide and Lock check boxes.

Editing Document

Note: This option applies only to Word and Excel templates and only when WordModule*Plus* is enabled. The **Editing Document** option has no effect when Office Online integration is enabled.

- 1. For Editing Document, click Inside the Browser or Outside the Browser. The benefits of editing a Word document within a PolicyTech browser window include the following:
 - Ability to insert document property fields that update automatically if they change
 - Automatic display of an unremoveable watermark in documents in the draft, review, and approval statuses

If you choose to have the document open outside of the PolicyTech browser, when a user opens the document it will open in its default program. PolicyTech detects each time the document is saved in the default program and re-uploads a copy of the document.

Notes:

- A user must have the document's default program installed on his or her computer in order to open a document outside of the browser.
- Besides Microsoft[®] Word and Excel[®], PolicyTech supports the upload and launching of Microsoft PowerPoint[®] (.pptx, .ppt) and Microsoft Visio[®] (.vsd, .vss, .vst, .vdx, .vsx, .vtx, .vsw) file types. You must enable the launching of any other file type. See <u>Setting Up Document Access</u> for details.
- Windows controls what program a document is opened in by default.
- 2. By default, the **Editing Document** setting is hidden from and locked for document owners using the template. To change these settings, do one of the following:
 - To let document owners see the **Editing Document** setting but not change it, click to clear the **Hide** check box and leave **Lock** selected.
 - To let document owners both see and change this setting, click to clear both the **Hide** and **Lock** check boxes.

Available To

Important: This setting applies only if the template's security level is set to **All Users** (see <u>Step 7 - Security</u> for details).

Available To has two possible settings:

- Users with Document Owner Role (default setting): Any user assigned the Document Owner role will be able to see a document or questionnaire created with this template while it is in any workflow status (Draft, Collaboration, Review, Approval, Pending, and Published) as long as the document or questionnaire is assigned to a site and department the owner has access to.
- Custom Selection (Document Owners): Besides the assigned owner, only those owners you specify can access the document or questionnaire.

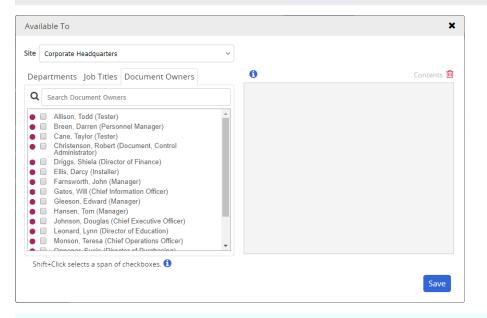
To select owners:

1. For Available To, select Custom Selection (Document Owners), and then click Select Users.



- 2. If multiple sites exist, select the site containing the document owners you want to give access to this template.
- 3. Do any of the following to select owners:
 - By default, a list of all document owners within the currently selected site is displayed. Select one or more document owners.

Note: Clicking an owner's name shows information about that user.



Important: The other entities besides owners that you can assign have special properties. If you assign a job title, department, or department group, all owners, and only owners, with those job titles or within those departments will be given access to documents or questionnaires created from this template. If owners are added to or removed from the selected job titles or departments, the access permissions are automatically updated.

 Click the Job Titles tab. In the Job Titles list (displayed by default), click one or more job titles.

- Click the **Departments** tab. In the **Departments** list (displayed by default), select one or more departments.
- Click the **Departments** tab, and then click the **Department Groups** heading. Select one or more department groups.
- 4. Click Save.

Mark as Read Text

Note: This option applies only to document templates.

By default, the following text is displayed when a user clicks **Mark as Read** in an approved document:

By marking this document as read, you are stating that you have read and understood the complete document. If you do not understand, click **Cancel** and contact your supervisor.

If desired, type alternate text.

Notes:

- Do not include any of the following characters in the text: | (vertical bar),
 < (less than symbol), ^ (caret)
- Click default text to see the default Mark as Read message, and then click OK to close it.
- Click Expand Textbox to display a larger text box.

Category Types (Template)

Important: This step is completely optional. However, document owners can only assign categories within the category types you add here. In other words, if you assign no category types, a document owner creating a document using this template cannot assign any categories.

1. In the Category Types step, select top-level categories.

Notes:

- You can only select a top-level category, from which the document owner using the template can select one or more subcategories.
- To remove a category type from the Selected box, click it, and then click ^(a).

Policy v.1		Save and Close 🛛 🔻	
Edit Document Properties	Wizard Overview ?	Template	
1 Template Setup	Automatically select new Category Types 🕄		â
2 Category Types	Eategory Types	Selected ** = Required item Document Type OSHA	Â
	 Ø OSHA Sarbanes-Oxley Guidelines 		
5 Approvers 6 Readers			
7 Security			
		Make Required Back Save Edit Document Next Sta	-p

 (Optional) The category types you've added are optional, and the document owner can treat them as suggestions. To make a category type required, in the Selected box, click the category type, and then click Make Required. The two asterisks indicate that the category is required. Document owners using this template must now select one or more subcategories of that type.

Selected	** = Required item	
**Document Ty	/pe	
OSHA		
	Make Required	

3. (Optional) Select **Automatically select new Category Types** if you want any category type created in the future to be automatically added to this template as an optional category type.

egory Types	
🖉 Document Type	
FLSA	
ISO 9000	
OSHA	
Sarbanes-Oxley Guidelines	

- 4. Click Save.
- 5. Do one of the following:
 - To continue with assigning properties, click Next Step, and then go to Writers (Template).

- To stop assigning properties and finish later, click Save and Close. (When you're ready to continue with assigning properties, go to Editing <u>a Template</u>.)
- To work on the template's document content, click Edit Document (see Adding Document Content to a Template).

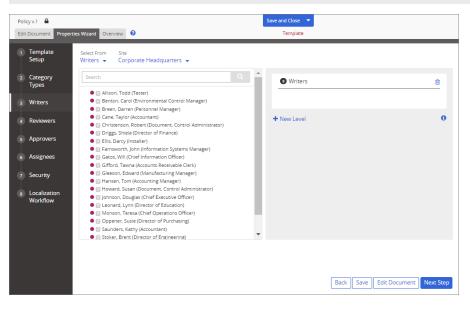
Writers (Template)

Important: This step is completely optional.

Use this step to assign optional or required writers to the template.

- 1. If multiple sites exist, select a site containing one or more writers you want to assign.
- 2. Select one or more writers (to select writers by writer group, job title or department, see <u>Other Ways to Select Writers, Reviewers, and</u> <u>Approvers</u>).

Note: To remove a writer from the **Selected Users** box, click the writer's name, and then click $\widehat{\blacksquare}$.



- 3. (Optional) When you're finished adding writers from the current site, repeat steps 1 and 2 to assign writers from other sites.
- 4. (Optional) As you assign writers, they are all assigned to level 1 of the Collaboration status, meaning that they will all receive a writing task at the same time when the document is submitted to writers. If you want the document to go to writers in a specific order, click **New Level** to create additional writing levels. See <u>Working with Levels (Template)</u> for details.

	• Writers
	Corporate Headquarters Breen, Darren (Personnel Manager)
	+ New Level
-	
	Back Save Edit Document Next Step

- 6. Do one of the following:
 - To continue with assigning properties, click Next Step, and then go to Reviewers (Template).
 - To stop assigning properties and finish later, click Save and Close. (When you are ready to continue with assigning properties, go to <u>Editing a Template</u>.)
 - To work on the template's document content, click Edit Document (see <u>Adding Document Content to a Template</u>).

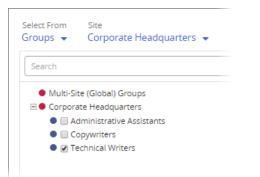
Other Ways to select Writers, Reviewers, and Approvers (Template)

The default writer, reviewer, or approver selection method is to select individual users with that role. You can also select groups, departments, and job titles.

1. For Select From, select Groups (user groups), Departments, Department Groups, or Job Titles, and then click OK.

Select From Site Corporate Headquarters Search	
🖲 🗌 Chen, Jodi (Complyance Officer)	
Select From	×
Writers	
Groups	
Departments	
Department Groups	
Job Titles	
	Cancel OK

- 2. Do one of the following:
 - If users groups are listed, select one or more.



If Departments, Department Groups, or Job Titles are listed, click one, select one or more users, and then click OK.

Select From Departments 👻	Site Corporate Headquarters 👻	
Search		
 Accounting Administration Disaster Recov Educational Re 	very	
Users		×
Search		Q
Howard, Susan Johnson, Dougl Jones, Anne (Ch	ef Information Officer)	
		ОК

Reviewers (Template)

Important: This step is completely optional.

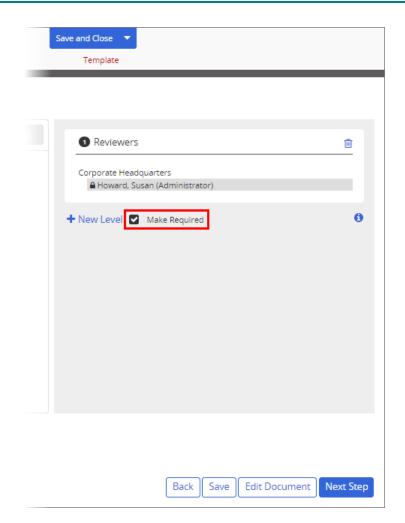
Use this step to assign optional or required reviewers to the template.

- 1. If multiple sites exist, select a site containing one or more reviewers you want to assign.
- 2. Select one or more reviewers (to select reviewers by reviewer group, job title or department, see <u>Other Ways to Select Writers, Reviewers, and Approvers</u>).

Note: To remove a reviewer from the **Selected Users** box, click the reviewer's name, and then click $\widehat{\blacksquare}$.

Poli	cy v.1 🔒		Save and Close 🗢	
Edit	Document Propert	ies Wizard Overview 3	Template	
1	Template Setup	Select From Site Reviewers + Corporate Headquarters +		
2	Category Types	Search	Q Reviewers	a
3	Writers	Enton, Carol (Environmental Control Manager) Ereen, Darren (Personnel Manager)		
4	Reviewers	Cane, Taylor (Accountant) Christenson, Robert (Document, Control Administrator)	+ New Level D Make Required	0
5	Approvers	Driggs, Shiela (Director of Finance) Ellis, Darcy (Installer) Farnsworth, John (Information Systems Manager)		
6	Assignees	Gleeson, Edward (Manufacturing Manager) Gansen, Tom (Accounting Manager)		
7	Security	Howard, Susan (Document, Control Administrator) Leonard, Lynn (Director of Education)		
8	Localization Workflow	Oppener, Susi (Director of Purchasing) Society. Territ (Director of Engineering) Thomas. Brad (Director of Operations) Wright, Fred (Software Development Manager)		
			Back Save Edit Docume	ent Next Step

- 3. (Optional) When you're finished adding reviewers from the current site, repeat steps 1 and 2 to assign reviewers from other sites.
- 4. (Optional) To make a reviewer a required assignee, in the **Selected Users** box, click the reviewer's name, and then click **Make Required**.



5. (Optional) As you assign reviewers, they are all assigned to level 1 of the Review status, meaning that they will all receive a review task at the same time when the document is submitted to review. If you want the document to go to reviewers in a specific order, click **New Level** to create additional review levels. See <u>Working with Levels (Template)</u> for details.

Save and Close 🔻	
Template	
Reviewers	Ê
Corporate Headquarters	
Howard, Susan (Administrator)	_
+ New Level Make Required	0
- Her Lever	
Back Save Edit Document	Next Step

- 6. Do one of the following:
 - To continue with assigning properties, click Next Step, and then go to Approvers (Template) in this guide.
 - To stop assigning properties and finish later, click **Options**, and then click **Save and Close**. (When you are ready to continue with assigning properties, go to <u>Editing a Template</u>.)
 - To work on the template's document content, click Edit Document (see Adding Document Content to a Template).

Approvers (Template)

Important: This step is completely optional.

Use this step to assign optional or required approvers to the template.

1. If multiple sites exist, select a site containing one or more approvers you want to assign.

2. Select one or more approvers (to select approvers by approver group, job title or department, see <u>Other Ways to Select Writers, Reviewers, and Approvers</u>).

Note: To remove an approver from the **Selected Users** box, click the approver's name, and then click **.**

Poli	cy v.1 🔒		Save and Close 🗢	
Edit	Document Propert	ies Wizard Overview 2	Template	
1	Template Setup	Select From Site Approvers - Corporate Headquarters -		
2	Category Types	Search	Q Approvers	
3	Writers	 Christenson, Robert (Document, Control Administrator) Gatos, Will (Chief Information Officer) 		
4	Reviewers	Gados, vim (cline information Officer) Howard, Susan (Document, Control Administrator) Johnson, Douglas (Chief Executive Officer) Jones, Anne (Chief Finance Officer)	+ New Level Make Required	0
5	Approvers	Monson, Teresa (Chief Operations Officer)		
6	Assignees			
	Security			
8	Localization Workflow			
			Back Save Edit Document Next	Step

- 3. (Optional) When you're finished adding approvers from the current site, repeat steps 1 and 2 to assign approvers from other sites.
- 4. (Optional) To make an approver a required assignee, in the **Selected Users** box, click the approver's name, and then click **Make Required**.

Approvers	
◆ New Level Make Required	
Back Save Edit Document Next Step	

5. (Optional) As you assign approvers, they are all assigned to level 1 of the approval status, meaning that they will all receive an approval task at the same time when the document is submitted to approval. If you want the document to go to approvers in a specific order, click **New Level** to create additional approval levels. See <u>Working with Levels (Template)</u> for details.

Approvers Corporate Headquarters
Chen, Jodi (Compliance Officer)
+ New Level Make Required
Back Save Edit Document Next Step

- 6. Do one of the following:
 - To continue with assigning properties, click Next Step, and then go to Assignees (Template).
 - To stop assigning properties and finish later, click **Options**, and then click **Save and Close**. (When you are ready to continue with assigning properties, go to <u>Editing a Template</u>.)
 - To work on the template's document content, click Edit Document (see Adding Document Content to a Template).

Assignees (Template)

Important: This step is completely optional.

Use this step to designate assignees for the template.

- 1. If multiple sites exist, select a site containing assignees you want to designate.
- 2. Select one or more departments (to select assignees individually, by assignee group, or by job title, see <u>Other Ways to Select Assignees</u> below).

Note: To remove a department from the **Selected Users** box, click the department name, and then click $\overline{\blacksquare}$.

Policy v.1		Save and Close 🔻	
Edit Document Proper	ties Wizard Overview 2	Template	
1 Template Setup	Select From Site Departments Corporate Headquarters		Advanced Settings 🔶
2 Category Types	Search Q	Assignees	<u> </u>
3 Writers	Administration Disaster Recovery Educational Resources	Set as Notify Only	9
4 Reviewers 5 Approvers	• Engineering • Environmental Services	- stasting only	U
6 Assignees	Fiscal Services Human Resources Installations		
7 Security	Manufacturing Operations Purchasing		
8 Localization Workflow	Shipping and Receiving Software Development Software Development Software Sadministration Technical Services		
		Back	Edit Document Next Step

3. (For document templates only) By default, selected assignees receive a task that they must complete by reading and then marking documents based on this template as read. If you only want to notify certain users that a document based on this template is available once the document has been published and not give those users reading task assignments, click the department, job title, or assignee name or group in the **Selected Users** box, and then select **Set as Notify Only**. Notice that "Notify Only" assignee selections are preceded with

	Advanced Settings 🗲
(15) Assignees	<u> </u>
Corporate Headquarters Department: Accounting Department: Educational Resources Department: Engineering Department: Fiscal Services Pepartment: Human Resources Department: Operations Set as Notify Only	0
Back Save E	Edit Document Next Step

- 4. (Optional) When you're finished adding assignees from the current site, repeat steps 1 through 3 to select assignees from other sites.
- (For document templates only) By default, assignees receive only one reading assignment for a document. If you want the assignees to read the document again periodically, click Advanced Settings. For Recurrence, click Every, and then type a number of months. (This option does not apply to "Notify Only" assignees.)

← Return to Basic Settings Recurrence ●		
Interval: Once Next Task: On Publication		
⊙ Once ○ Every month(s).		
Start on approved/publication date		

For **Start on**, click **approved/publication date**, or click **specified date**, and then select a date.

- 6. Do one of the following:
 - To continue with assigning properties, click Next Step, and then go to Security (Template).

- To stop assigning properties and finish later, click **Options**, and then click **Save and Close**. (When you are ready to continue with assigning properties, go to <u>Editing a Template</u>.)
- To work on the template's document content, click Edit Document (see Adding Document Content to a Template).

Other Ways to Select Assignees

The default assignee selection method is by individual department. You can also select by job title, by assignee group, or by individual assignees. *Job Titles*

1. For Select From, select Job Titles, and then click OK.

Important: The advantage of selecting a job title rather than individual assignees is that the reading/completion assignment will be automatically updated as users are assigned or unassigned that job title.

Select From Departments Site Corporate Headquarters	
Search	
I • Accounting	
Select From	×
Assignees	
Groups	
Departments	
Department Groups	
Job Titles	
	Cancel

- 2. Do either or both of the following:
 - Select a job title to add all assignees with that job title.
 - Click a job title, select one or more listed assignees, and then click **OK**.

ob Titles 👻 Corporate Headquarters 👻	
Search	
🗄 🔍 🔤 Accountant	
Counting Manager Accounts Payable Cerk	
Users	>
	Q
Sanah	
Search	v
Search	<u>ч</u>
	v
Cane, Taylor (Accountant)	ц
 Cane, Taylor (Accountant) Keller, Kevin (Accountant) 	u

Assignee Groups or Department Groups

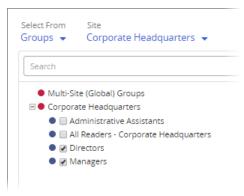
1. For **Select From**, select **Groups** or **Department Groups**, and then click **OK**.

Note: A group is a combination of assignees from a single site or from multiple sites.

ielect From Site Corporate Headquarters 👻	
Search	
Accounting	
Select From	×
Assignees Groups	
Departments	
Department Groups	
Job Titles	
	Cancel

2. Select one or more groups.

Note: To select individual assignees from a group, click the group name, and then select assignees.



Assignees

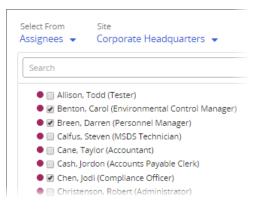
1. For Select From, select Assignees, and then click OK.

Click the **Assignees** tab, click the **Assignees** heading, and then select one or more listed assignees.

Note: Because every user is usually given the assignee role, loading the assignee list could take several minutes.

Select From Departments - Site Corporate Headquarters -	
Search	
Accounting	
Select From	×
Assignees	
Groups	
Departments	
Department Groups	
Job Titles	
	Cancel

2. Select assignees.



Security (Template)

Important: This step is completely optional.

Use this step to assign different security and encryption levels to the template in order to restrict who can work with, view, or search the contents of a document or questionnaire created with this template.

1. For Security Level, select an option. See Security Levels below .

Poli	Policy v.1 Save and Close 👻				
Edit	Document Propert	ies Wizaro	d Overview 🕜	Template	
1	Template Setup	Securit All Us	y Level 🕄 ers	~	
2	Category Types	<u></u>	All Users	Users can view this document in the workflow stages they have permission to view. (Example: Any user with a role can view upcoming documents in any status from links in the Overview > Document History.)	
3	Writers	<u>&</u>	Restricted - High	Users can view this document $\underline{at} \ \underline{any time}$ as long as any task is assigned to them for this document.	
4	Reviewers		Restricted - Severe	(Ex: Reviewers on the document can still view it while it is in the Approval stage.) Users can view this document <u>only during the time</u> that an active task is assigned to them for this document.	
5	Approvers			(Ex: Reviewers on the document can only view it while it is in the Review stage.)	
6	Readers				
7	Security				
				Back Save Edit Document	

- 2. Do one of the following:
 - If you selected the All Users security level (the default setting), you are done with security options. Go to step 5 below.
 - If you selected Restricted High or Restricted Severe, continue with step 3.

3. (Optional) For **Encryption Mode**, click **Normal (Recommended)** or **High**. See <u>Encryption Modes</u> below .

Encryption Mode				
~ Norm	al (Recommended)			
Normal (Recommended)	Allow full text searching of the document.			
OPTIONA High	Once encrypted, only document titles and keywords are searchable.			
eaders	Enabling document encryption on the template will activate encryption by default on all documents that are created using this template.			
	Encrypted documents will be searchable by name (by those with appropriate permission) but the contents of the document will not be searchable.			
	Encrypted documents will take longer to open, and increase the processing load on the server.			

 (Optional) If you want to grant access permissions to specific users who would not normally have access under the **Restricted - High** or **Restricted - Severe** security level, select those users by department, by job title, or by those who have been assigned the Assignee role. See <u>Other</u> <u>Allowed Users</u> below for details on what permissions will be granted.

Security Level 🜖		Encryption Mode
Restricted - High	~	Normal (Recommended) ~
OTHER ALLOWED USERS (OPTIONAL) ()		
Site Corporate Headquarters	~	
Departments Job Titles Assignees		Selected Users 👔 Contents 🗎
Department Groups	×	
Departments	~	
Administration		
Disaster Recovery		
Educational Resources		
Environmental Services		
Fiscal Services		
Human Resources		
Installations Manufacturing	-	
Shift+Click selects a span of checkboxes.		
		Back Save Edit Document Next Step
		Back Save Europolument Next Step

5. Do one of the following:

- If you are finished with the template, click **Save and Close**.
- If this is a document template and you want to work on the document content, click Edit Document (see <u>Adding Document Content to a</u> <u>Template</u>).

Security Levels

The roles you assign users for working with documents and questionnaires allow these users access to the workflow statuses that correspond with their roles. For example, a document owner will see documents/questionnaires in the Draft status, a writer will see documents/questionnaires in the Collaboration status, and an assignee will see documents/questionnaires in the Published status. Which documents/questionnaires they can see in each of these statuses depends on a assigned security levels, as explained below.

All Users. When a document/questionnaire is assigned this security level, all users with the roles mentioned above can see that document/questionnaire in the workflow statuses they have access to, even if they are not specifically assigned to that document/questionnaire. For example, someone with the document owner role who is not a document's owner can see that document while it is in the Draft status, and someone with the reviewer role who is not assigned to a document can see that document while it is in the Review status.

Restricted - High. With this security level assigned to a document/questionnaire, only those specifically assigned to one or more statuses of the document/questionnaire have access to it. They can also access the document/questionnaire in any workflow status except archived. For example, someone assigned as a document's approver can see that document while it is in the Draft, Collaboration, Review, Approval, Pending, and Published statuses.

Restricted - Severe. As with the **Restricted - High** security level, only users specifically assigned to one or more statuses of the document/questionnaire have access to it. However, they can only view that document/questionnaire when it is in the status to which they are assigned. For example, an assigned writer can only see the document/questionnaire while it is in the Collaboration status.

Encryption Modes

The encryption mode determines how much of a document or questionnaire is searchable when a user searches from within a document/questionnaire list, such as when the Published status is selected.

Normal. The title, keywords, and contents are all searchable.

High. Only the title and keywords are searchable. (Keywords can be added in step **1. Settings** of the **Properties Wizard**.)

Important: Be aware that documents/questionnaires with high encryption take longer to open and increase the PolicyTech server's processing load.

Other Allowed Users

If you assign a document or questionnaire the **Restricted - High** or **Restricted** - **Severe** security level, you have the ability to allow other users who are not assigned to this document/questionnaire to access it as if they were assigned to it. As assigned users, where other allowed users can access the document/questionnaire depends on their roles, system permissions, and the security level.

To allow other users to access this document/questionnaire, do one of the following:

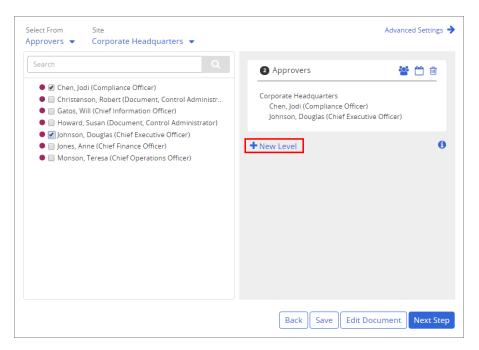
- Click the **Departments** tab, click the **Departments** heading, and then select the departments whose users you want to grant access.
- Click the **Departments** tab, click the **Department Groups** heading, and then select a group.
- Click the Job Titles tab, click the Job Titles heading, and then select one or more job titles. All users with that job title will have access to the document/questionnaire.
- Click the Job Titles tab, click the Job Title Groups heading, and then select a group.
- Click Assignees, and then in the Search Assignees box, start typing a user name. As soon as you see the user you want to add, click the user's name.
- Click the Assignees tab, click the Assignee Groups heading, and then select a group.
- Click the Assignees tab, click the Assignees heading, and then select one or more individual users.

Working with Levels (Template)

When you assign writers, reviewers, and approvers to a template in the **Properties Wizard**, you can create levels to specify which users get the document first, second, and so on. When you create multiple levels, all users on the first level must complete their tasks, such as approving the document, before the same task can be sent to the users at the next level.

The following instructions assume that you are currently working on one of following **Properties Wizard** steps in a template: **Collaboration**, **Review**, **Approval**.

1. Click New Level.



Notice in the following screenshot above that **Approvers (Level 2)** is selected (has a thin, black border), which means that it's active. Any additional users selected at this point are added to **Level 2**. To make **Level 1** active again, click it.

earch	Q Approvers (Level 1) 😤 📛 🕻	x
 Chen, Jodi (Compliance Officer) Christenson, Robert (Document, Control Administrato Gatos, Will (Chief Information Officer) Howard, Susan (Document, Control Administrator) Johnson, Douglas (Chief Executive Officer) 	Correctes Headquarters	
Joinson, Douglas (chief Executive Officer) Jones, Anne (Chief Finance Officer) Monson, Teresa (Chief Operations Officer)	Approvers (Level 2) 😤 📛 👔	• ×
	+ New Level	

- 2. Do any of the following to put selected users in a level:
 - Click a level to activate it, and then select the users by department, job title, or role for that level.
 - Click a user already in a level, and then drag the user to a different level.

earch	🛛 Approvers (Level 1) 🛛 😤 🗂 🖮 🗎 🛪
 Chen, Jodi (Compliance Officer) Christenson, Robert (Document, Control Administrator) Gatos, Will (Chief Information Officer) Howard, Susan (Document, Control Administrator) Johnson, Douglas (Chief Executive Officer) Jones, Anne (Chief Finance Officer) Monson, Teresa (Chief Operations Officer) 	Corporate Headquarters Chen, Jodi (Compliar Drop Here Johnson, Douglas (Chier Executive Officer)
	Johnson, Douglas (@ef Executive Officer) Urop Here
	+ New Level

Adding Document Content to a Template

How you add content to a template depends on the currently selected document type. You can also add content to any document type template by importing an external file.

Adding Content to a Word or Excel TemplateAdding Content to an HTML TemplateAdding Content to an Upload File TemplateImporting Content (Template)

Adding Content to a Word Template

Important: Before you can add Word content to a template, you must complete at least step **1. Template Setup** of the **Properties Wizard** (see <u>Template Setup</u>).

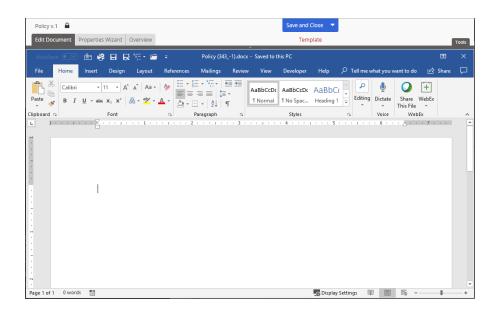
- 1. Do one of the following to start editing the Word template:
 - If the template is already open, click the Edit Document tab near the upper left corner or the Edit Document button at the bottom of the currently displayed Properties Wizard step.

Polic	sy v.1 🔒		Save and Close 🛛 💌
Edit	Document Proper	ties Wizard Overview	Template
	Template Setup	Title	Advanced Settings 🔶
	Category Types	Workflow Configurations	Don't allow assignee:
	Writers	Full (Default)	~
	Reviewers	Content Type Word Document	~
	Approvers	Sites	Automatically select new sites as they get created
	Assignees	Corporate Headquarters Manufacturing	
	Security	Sales & Support Office	
8	Localization Workflow		
			Save Edit Document Next Step

- If the template is currently closed, click System Settings, click
 Document Setup, and then click Templates. Click the template title, and then click the Edit Document tab or button.
- 2. The way you add content to a Word template depends on what type of Word integration your PolicyTech system is currently using. Do one of the following:
 - If you see a prompt like the one below, continue with the instructions under <u>With Office Online Integration</u>.

Policy v.1 🔒 Edit Document	Properties Wizard	Oursieur	Save and Close 🔻	
Edit Document	Properties Wizard	Overview	Template	Tools
	Policy.docx		Import / Overwrite Edit Doc	ument

 If the document opens immediately, continue with the instructions under <u>With WordModulePlus</u>.

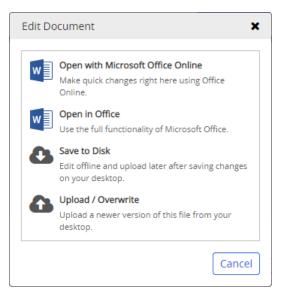


With Office Online Integration

1. Click the Edit Document button.

Policy v.1		Save and Close 🔻
Edit Document Prope	erties Wizard Overview	Template Tools
	Policy.docx	
		Import / Overwrite Edit Document

2. Do one of the following:



 Click Open with Microsoft Office Online to open a new document in Word Online.

w	Word On	line	Back to PolicyTech		olicy (344		Saved to N	NAVE	XGlobal				Do	ugla	s Johnse	on
File	Home	Insert	Page Layout	Review	View Ç	7 Tell me v	vhat you w	vant	to do				[\square	Commer	nts
5 2			v Roman \sim 12 \sim \underline{J} \rightarrow \mathbf{x}_2 \mathbf{x}^2 \mathbf{z}^2					11<	AaBbCc Normal	ABbCc o Spacing	AaBbC Heading 1			÷	ې چې	
Undo	Clipboard		Font			Paragraph		E.		9	Styles			F5	Editing	^
4	I									 In C C C D D U 	Tech Tool sert Properti ategories ompany Info ates ocument Info sert Link	ies				×
Page 1	of 1 0 words	Englis	h (U.S.)								10	00% 0	Give Feed	dbacl	to Micro	osoft

 Click Open in Office to open a new document in the desktop version of Word outside the PolicyTech template window, and then click OK to clear the alert.

Important:

- The Open in Office option will work only if you have the desktop version of Word installed on your computer.
- Always save your work in Word before closing the PolicyTech template window. Closing the PolicyTech template window ends the connection between the Word application and PolicyTech. Changes made in Word after closing the PolicyTech template window would therefore not be

automatically saved back to the PolicyTech database. You would have to save the changes to a local hard drive, reopen the PolicyTech template, and then upload the document with the offline changes.

Edit Document Properties Wizard Overview	Alert X Tools
	Important: The file has been opened using Microsoft Word.
	Please save changes to the file and close it before closing this browser window.
	ок
AutoSave 💽 🕐 🔮 🥵 🐺 🐺 -	
File Home Insert Design Layo	a · / ◆ H · H · H · H · H · H · H · H · H · H
	PolicyTech ×
	 Insert Properties
	∧ Categories
	Company Info Dates
	∧ Document Info
	∧ User Info
	✓ InsertLink
N	
-	
Page 1 of 1 0 words	🐻 Display Settings 💷 📑 📑 – – – – – – – – – – – – – – – – –

 Click Upload / Overwrite and follow the prompts to upload an existing Word document as this template's contents.

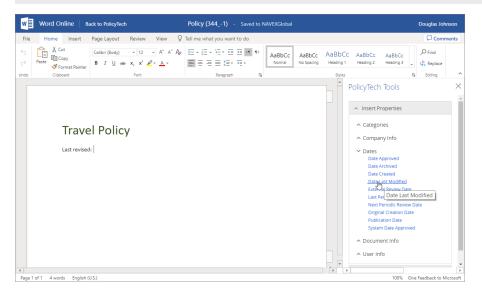
Policy v.1 🔒			Save and Close 🔻	
Edit Document Prope	erties Wizard Overview	Please Wait	× te	Tools
		Choose a file to overwrite the existin Drop file here	ng document. Browse Upload	
	Policy.docx 10/11/2018 3:29 PM		Import / Overwrite Edit Docume	nt

3. Do any of the following to add or modify template content:

Note: If you uploaded a document, to edit it, click the Edit Document button, and then select either of the Open with Microsoft Office Online or Open in Office options described above.

- Use any available Word features to write and format the template.
- To insert automatically updated fields containing document property information, place your cursor, and then, in the **PolicyTech Tools** pane under **Insert Properties**, find and click a document property (see "Inserting Document Properties" in the <u>User's Guide</u>for detailed instructions).

Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.



- 4. (Optional) To return to the Properties Wizard to finish assigning properties, do one of the following, depending on how you initially opened the template's contents:
 - If you selected Open with Microsoft Office Online to open the template contents, in the window's header, click Back to PolicyTech, and then click the Properties Wizard tab.
 - If you selected **Open with Office**, save the spreadsheet and close the Word application window before returning to the PolicyTech template window and clicking the **Properties Wizard** tab.
- 5. When you're finished, click **Save and Close**.

With WordModulePlus

- 1. Do either of the following to add content to the document:
 - Use any available Word features to write and format the document.

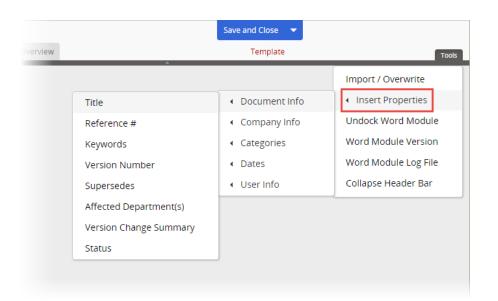
Note: If you would like to see more of the document within the window, click **Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Tools**, and then click **Expand Header Bar**.

 Click Editor Tools, click Import/Overwrite, and then follow the prompts to import the content of an existing Word document from outside of PolicyTech (see Importing Content (Template) for detailed instructions).

Important: Importing content completely overwrites any existing content. Copy and paste information from another document if you need to preserve existing content.

Save and Close 🛛 🔻	
Template	Tools
	Import / Overwrite
	 Insert Properties
	Undock Word Module
	Word Module Version
	Word Module Log File
	Collapse Header Bar

3. (Optional) Place your cursor in the document where you want to insert a document property field. Click **Tools**, click **Insert Properties**, and then find and insert a document property (see "Inserting Document Properties" in the <u>User's Guide</u> for detailed instructions).



Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.

- 4. When you're finished adding content, do either of the following:
 - Save and close the template (see <u>Saving and Closing a Template</u>).
 - Finish assigning properties (see <u>Assigning Template Properties</u>).

Adding Content to an Excel Template

Important: Before you can add Excel content to a template, you must complete at least step **1. Template Setup** of the **Properties Wizard** (see <u>Template Setup</u>).

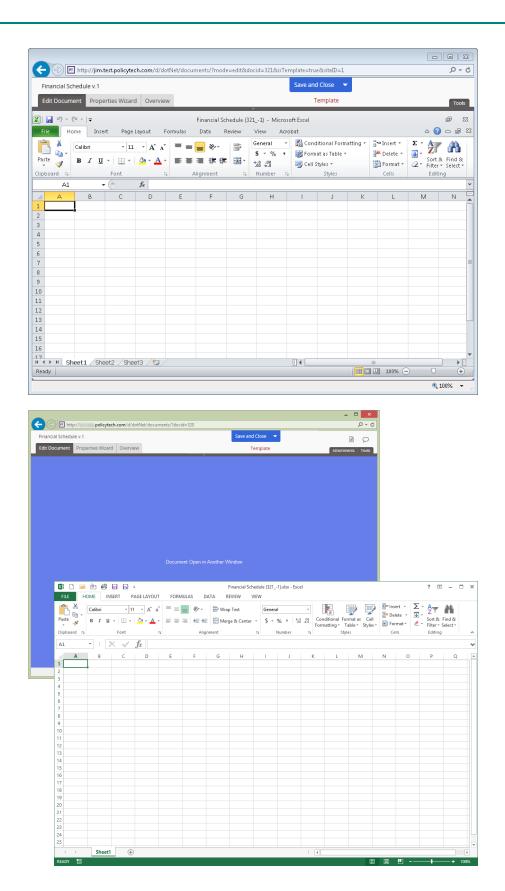
- 1. Do one of the following to start editing the Excel template:
 - If the template is already open, click the Edit Document tab near the upper left corner or the Edit Document button at the bottom of the currently displayed Properties Wizard step.

Fina	ancial Schedule v.1	a	Save and Close 💌
Edit	Document Propert	ties Wizard Overview 😮	Template
•	Template Setup	Title	Advanced Settings 🗲
	Secup	Financial Schedule	
	Category Types	Workflow Configurations	Don't allow assignees
	Writers	Full (Default)	×
	Reviewers	Content Type Excel Spreadsheet	
	Approvers	Sites	Automatically select new sites as they get created.
	Assignees	Corporate Headquarters	
	Security	Sales & Support Office	
	Localization Workflow		
			Save Edit Document Next Step

- If the template is currently closed, click System Settings, click
 Document Setup, and then click Templates. Click the template title, and then click the Edit Document tab or button.
- 2. The way you add content to an Excel template depends on what type of Excel integration your PolicyTech system is currently using. Do one of the following:
 - If you see a prompt like the one below, continue with the instructions under <u>With Office Online Integration</u>.

Excel Spreadsheet v.1		Save and Close 💌	
Edit Document Prope	erties Wizard Overview	Template	Tools
	Excel Spreadsheet.xlsx		
	LACE SPIEBOSINE CLASS	Import / Overwrite Edit Document	

 If the spreadsheet opens immediately, either inside the template window or in a separate Excel application window, continue with the instructions under <u>With WordModulePlus</u>.



With Office Online Integration

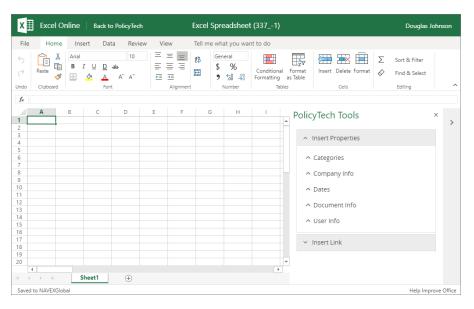
1. Click the Edit Document button.

Excel Spreadsheet v.1				Save and Close 🔹		
Edit Document Prope	erties Wizard	Overview	*	Template		Tools
	Excel Spreads	heet.xlsx				
				Import / Overwrite	Edit Document	

2. Do one of the following:

Edit Do	ocument X
x	Open with Microsoft Office Online Make quick changes right here using Office Online.
x∎	Open in Office Use the full functionality of Microsoft Office.
8	Save to Disk Edit offline and upload later after saving changes on your desktop.
0	Upload / Overwrite Upload a newer version of this file from your desktop.
	Cancel

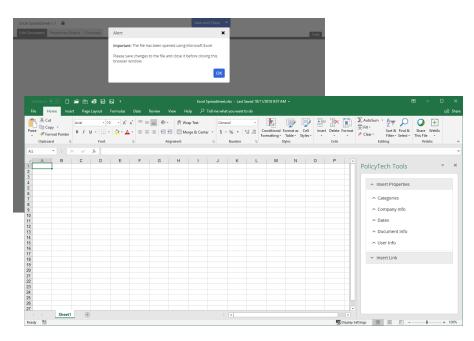
 Click Open with Microsoft Office Online to open a new spreadsheet in Excel Online.



 Click Open in Office to open a new spreadsheet in the desktop version of Excel outside the PolicyTech template window, and then click OK to clear the alert.

Important:

- The **Open in Office** option will work only if you have the desktop version of Excel installed on your computer.
- Always save your work in Excel before closing the PolicyTech template window. Closing the PolicyTech template window ends the connection between the Excel application and PolicyTech. Changes made in Excel after closing the PolicyTech template window would therefore not be automatically saved back to the PolicyTech database. You would have to save the changes to a local hard drive, reopen the PolicyTech template, and then upload the spreadsheet with the offline changes.



 Click Upload / Overwrite and follow the prompts to upload an existing Excel spreadsheet as this template's contents.

Excel Spreadsheet v.1	a		Save and Close 👻	
Edit Document Prope	erties Wizard Overview	Please Wait	× ite	Tools
		Choose a file to overwrite the existin	ng document. Browse Upload	
	Excel Spreadsheet.xlsx 10/11/2018 12:37 PM		Import / Overwrite Edit Document	

3. Do any of the following to add or modify template content:

Note: If you uploaded a spreadsheet, to edit it, click the **Edit Document** button, and then select either of the **Open with Microsoft Office Online** or **Open in Office** options described above.

- Use any available Excel features to write and format the template.
- To insert automatically updated fields containing document property information, place your cursor in an empty spreadsheet cell. Then, in

the **PolicyTech Tools** pane under **Insert Properties**, find and click a document property (see "Inserting Document Properties" in the <u>User's</u> <u>Guide</u> for detailed instructions).

Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.

Auto:	Gave 🖲		i 🖞 🧳	5 5 5			Trav	el Expense	Form.xlsx - L	ast Saved 10/	11/2018 11:5	60 AM 💂				ॼ –	o x
	Hor	ne Insert	Page Lay		ormulas D	ata Revie	w View		,∕⊂ Tell m	ne what you	want to do						년 Share
E E		Arial B I U -	- 10 - • ⊞ - <u>⊅</u> Font	A A A	= = .	≫ - a	b Wrap Tex Merge &	: Center -				al Formata g + Table + Styles	is Cell Styles *	e Insert	Delete Formar	T t x x x x x x x x x x x x x	~
C4		• : ×															~
	A	В	C	D	E	F	G	Н	1	J	к	L	м	-	Policy	Tech Tools	+ ×
2 3 4				pen	se Fo	orm									~ 1	nsert Properties	^
4 5 6 7		Last Revised		4												Categories	
8 9 10																Company Info Dates Date Approved	
11 12 13																Date Archived Date Created	
14 15 16																Date Last Modified Extended Review Date Last Periodic Review Date	
17 18 19																Next Periodic Review Date Original Creation Date Publication Date	
20 21 22 23															~	System Date Approved	
23 24 25																User Info	~
	> 80	Sheet1	+						•					F Display S	ettings II	I II	+ 100%

Important:

- The target cell for the inserted property must be empty.
- You will see a warning that using **Insert Properties** erases the editing history for Excel's **Undo** feature. You must click **OK** to confirm the action.
- 4. (Optional) To return to the Properties Wizard to finish assigning properties, do one of the following, depending on how you initially opened the template's contents:
 - If you selected Open with Microsoft Office Online to open the template spreadsheet, in the window's header, click Back to PolicyTech, and then click the Properties Wizard tab.
 - If you selected **Open with Office**, save the spreadsheet and close the Excel application window before returning to the PolicyTech template window and clicking the **Properties Wizard** tab.
- 5. When you're finished, click **Save and Close**.

With WordModulePlus

- 1. Do either of the following to add content to the template:
 - Use any available Excel features to write and format the template.

Note: If the Excel template is displayed in the PolicyTech **Edit Document** tab and you would like to see more of the document within the window, click **Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Tools**, and then click **Expand Header Bar**.

 In the PolicyTech browser window, click **Tools**, click Import/Overwrite, and then follow the prompts to import the content of an existing Excel document from outside of PolicyTech (see "Importing Content" in the User's Guide for detailed instructions).

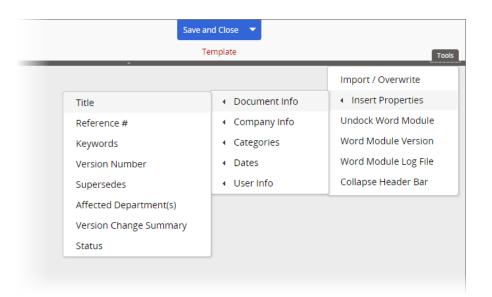
Important: Importing content completely overwrites any existing content. Copy and paste information from another spreadsheet if you need to preserve any existing content.

In	nport / O	verwrite	:
4	Insert P	ropertie	s
U	ndock W	ord Mod	lule
W	ord Mod	ule Vers	sion
W	ord Mod	ule Log	File
C	ollapse H	eader B	ar

 (Optional) Place your cursor in the spreadsheet cell where you want to insert a document property field. In the PolicyTech browser window, click **Tools**, click **Insert Properties**, and then find and insert a document property (see "Inserting Document Properties" in the <u>User's Guide</u>for detailed instructions).

Important:

- The target cell for the inserted property must be empty.
- You will see a warning that using **Insert Properties** erases the editing history for Excel's **Undo** feature. You must click **OK** to confirm the action.



Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.

- 3. When finished adding content, do any of the following:
 - Save and close the template (see <u>Saving and Closing a Template</u>).
 - Finish assigning properties (see <u>Assigning Template Properties</u>).

Adding Content to an HTML Template

Important: Before you can add HTML content to a template, you must complete at least step **1. Template Setup** of the **Properties Wizard** (see <u>Template Setup</u>).

- 1. Do one of the following to open the HTML template editing window in a template:
 - If the template is already open, click the Edit Document tab near the upper left corner or the Edit Document button at the bottom of the currently displayed Properties Wizard step.

Web Document v.	■	Save and Close 🔻
Edit Document	Properties Wizard Overview ?	Template
1 Template Setup	Title	Advanced Settings 🕈
2 Category Types	Web Document Workflow Configurations	Don't allow assignees
3 Writers	Full (Default)	×
4 Reviewers	Content Type	
5 Approvers	Sites	Automatically select new sites as they get created.
6 Assignees	Corporate Headquarters	
7 Security	Sales & Support Office	
8 Localization Workflow		
		Save Edit Document Next Step

If the template is currently closed, click System Settings, click
 Document Setup, and then click Templates. Click the template title, and then click the Edit Document tab or button.

You should now see a window similar to the one below.

Web Document v.1	Save and Close 🛛 👻
Edit Document Properties Wizard Overview	Template Tools
Home	
	注 注 字 年 4 後
🥕 Design 📣 HTML 🛛 🔍 Preview	

- 2. Do one of the following to add content to the document:
 - Use any available features to write and format the document.

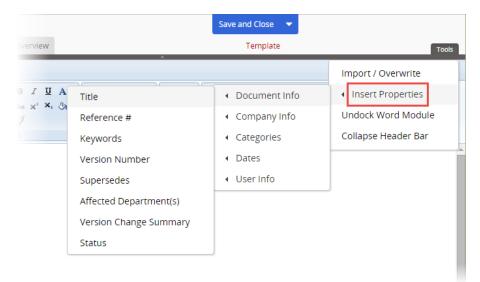
Note: If you would like to see more of the document within the window, click **Tools**, and then click **Collapse Header Bar**. When you are ready to use a feature in the header bar, click **Tools**, and then click **Expand Header Bar**.

 Click Editor Tools, click Import/Overwrite, and then follow the prompts to import the content of an existing document from outside of PolicyTech (see Importing Content (Template) for detailed instructions).

Important: Importing content completely overwrites any existing content. Copy and paste information from another document if you need to preserve existing content.

Save and Close 🛛 🔫	
Template	Tools
	Import / Overwrite
Accept All	 Insert Properties
Accept Reject All	Undock Word Module
t Track Changes	Collapse Header Bar

3. (Optional) Place your cursor in the document where you want to insert a document property field. Click **Tools**, click **Insert Properties**, and then find and insert a document property (see "Inserting Document Properties" in the <u>User's Guide</u> for detailed instructions).



Note: Property fields added to a template are placeholders that will contain actual document property information once a document is created from the template.

4. When finished adding content, do either of the following:

- Save and close the template (see <u>Saving and Closing a Template</u>).
- Finish assigning document properties (see <u>Assigning Template</u> <u>Properties</u>).

Adding Content to an Upload File Template

Important: Before you can add Word content to a template, you must complete at least step **1. Template Setup** of the **Properties Wizard** (see Template Setup).

- 1. Do one of the following to open the document editing window:
 - If the template is already open, click the Edit Document tab near the upper left corner or the Edit Document button at the bottom of the currently displayed Properties Wizard step.

Pre	sentation v.1		Save and Close 🔹
Edit	Document Propertie	es Wizard Overview ?	Template
1	Template Setup	Title	Advanced Settings 🗲
	Category Types	Workflow Configurations	Don't allow assignees
	Writers	Full (Default)	<u> ۲</u>
	Reviewers	Content Type Upload a File	•
	Approvers	Sites	 Automatically select new sites as they get created.
	Assignees	Corporate Headquarters	
	Security	Sales & Support Office	
	Localization Workflow		
			Save Edit Document Next Step

If the template is currently closed, click System Settings, click
 Document Setup, and then click Templates. Click the template title, and then click the Edit Document tab or button.

You should now the window shown below.

Presentation v.1		Save and Close 🔻	
Edit Document Properties Wizard Overview	Upload New Document	× ate	Tools
	Please choose a file to upload. Drop file here	Browse Upload	
Presentation.		Import / Overwrite	

- 2. Do either of the following to upload a document:
 - Click Browse, find and click the file you want to upload, click Open, and then click Upload File.
 - Open Windows Explorer, and then find the file you want to import. Click and drag the file onto the box that contains the text Or drag a file here to upload it. (Optional), and then click Upload.

Note: If ever needed, you can import another file to replace the currently uploaded file's contents. See <u>Importing Content (Template)</u> for details.

3. An alert appears stating that the uploaded file has been renamed to match the template title you typed in the first step of the Properties Wizard. Click **OK**.

Alert	×
The uploaded file has been renamed to match the title given in step 1 of the properties wizard.	
ОК	

4. To view or modify the uploaded document's contents, click **Open Document**. The document opens in the Windows default program for that file type or is simply downloaded, depending on what type of file it is.

Note: Besides Word and Excel[®], PolicyTech supports the upload and launching of Microsoft PowerPoint[®] (.pptx, .ppt) and Microsoft Visio[®] (.vsd, .vss, .vst, .vdx, .vsx, .vtx, .vsw) file types. You can enable the launching of any other file type. See <u>Setting Up Document Access</u> for details.

Presentat	ion v.1		Save and Close 🛛 💌	
Edit Docu	ment Properties Wizard	Overview	Template	Tools
	Presentation.	pdf		
	12/13/2017 14:30			
			Import / Overwrite Open Document	

5. You will see one of the alerts shown below. Click **OK**.

Note: You can change what program automatically opens by using **Default Programs** in the Windows **Control Panel**.

Alert	×
Important: The file has been opened using your default progra for this file type.	m
Please save changes to the file and close it before closing this browser window.	
ОК	
Alert	×
Alert Download Starting	×
	hat

- 6. Do one of the following:
 - If the file opened in its default application, make the desired changes, save the file, and then close the program.

- If the file was downloaded, find and open it in the appropriate application, save the file, and then use Import/Overwrite to re-upload it.
- 7. When finished adding and modifying content, do either of the following:
 - Save and close the template (see <u>Saving and Closing a Template</u>).
 - Finish assigning document properties (see <u>Assigning Template</u> <u>Properties</u>).

Importing Content (Template)

You can import a document from outside of PolicyTech as content for a template. If you import a Microsoft[®] Word or Excel[®] document, you can edit the imported content within PolicyTech. If you import any other type of file, you will see a link in the **Edit Document** page that will open the imported file in the default program for that file type.

Note: Besides Word and Excel, PolicyTech supports the import and launching of Microsoft PowerPoint[®] (.pptx, .ppt) and Microsoft Visio[®] (.vsd, .vss, .vst, .vdx, .vsx, .vtx, .vsw) file types. You can enable the launching of any other file type (see <u>Setting Up Document Access</u> for details). You can import any other type of file that has not been enabled, but users will not be able to launch (open) the uploaded file directly from within PolicyTech in any document created from this template. Instead, they will be prompted to open the document outside of PolicyTech or to save the document to disk.

Important: The imported document will completely overwrite the contents of the PolicyTech document. For this reason, we recommend using this feature only when the template document is empty or if you are certain that its contents can be overwritten without losing important information. If the document already contains important information, we recommend that you copy and paste information from the external document rather than importing it.

To import and overwrite the contents of a template document with the contents of an external document,

- 1. Open the template, and then click the **Edit Document** tab.
- 2. Click Tools, and then click Import / Overwrite.

Template	Tools
	Import / Overwrite
	 Insert Properties
	Undock Word Module
	Word Module Version
	Word Module Log File
	Collapse Header Bar

- 3. Do one of the following:
 - Click Choose File. Find and click the file you want to import, and then click Open. Click Upload File.

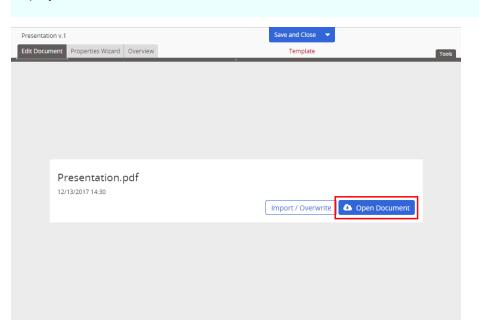
Upload New Document	×
Please choose a file to upload.	
Drop file here	Browse
	Upload

- Open Windows Explorer, and then find the file you want to import. Click and drag the file onto the box containing the text **Drop file here**, and then click **Upload**.
- 4. Click **OK** when you see the alert shown below.

Alert	×
The uploaded file has been renamed to match the tit step 1 of the properties wizard.	le given in
	ОК

What you see in the **Edit Document** tab depends on the type of file you uploaded. If you uploaded a Word or Excel file, the uploaded file's contents are displayed. If you uploaded any other file type, you will see a window similar to the one below with the uploaded file listed.

Important: If the template's currently selected document type is not Word or Excel but you import a Word or Excel document, the document type is



automatically changed and the contents of the Word or Excel document are displayed.

Click **Download** to download the file or open it in your Windows default program for that file type, depending on what type of file it is (see <u>Adding</u> <u>Content to an Upload File Template</u>).

5. Close the template.

Saving and Closing a Template

In an open template, click Save and Close.

Important: If you are editing an Excel template that opens in the Excel application window outside of PolicyTech, the only way to close the Excel application window is to close the PolicyTech browser window.

Note: We also recommend that you periodically save a document while working on it. Click CTRL+S (or click **File**, and then click **Save**) to save the template without closing it.

Presentation v.1			Save and Close	•
Edit Document	Properties Wizard	Overview	Templat	e Tools

Saving a Copy of a Document to Disk

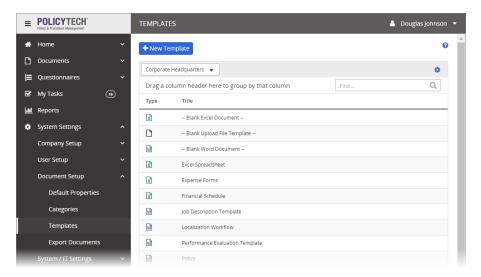
Important: PolicyTech does not track a file you save to disk and can no longer impose security restrictions on that file.

If the **Edit Document** tab opens the template in an editing application, you can use that application's **Save As** feature to save the template file to disk.

Editing a Template

Important: Documents already created from a template will not be affected by changes made in the template unless you manually reapply the template to those documents. See "Changing or Reapplying a Template" in the <u>User's</u> <u>Guide</u> for details.

- 1. If the template is currently closed, click **System Settings**, click **Document Setup**, and then click **Templates**.
- 2. Do one of the following:
 - If only the **Document Module** or only the **Questionnaires Module** is currently enabled, find and open the template in the list (see <u>Finding a</u> <u>Template</u> below for help finding a template in a long list).



 If both the Document Module and the Questionnaire Module are currently enabled, click the Documents tab or Questionnaires tab, and then find and open the template in the list (see <u>Finding a Template</u> below for help finding a template in a long list)..

POLICYTECH* Policy & Procedure Management	TEMPLATES	💄 Douglas Johnson 🔻
🖶 Home 🗸 🗸	Documents Questionnaires	0
🗅 Documents 🗸 🗸	Questionnaires	
🗮 Questionnaires 🗸 🗸	+ New Template	
🗹 My Tasks 🛛 🔞	Corporate Headquarters 👻	0
Lul Reports	Drag a column header here to group by that column	Q
System Settings	Type Title	
Company Setup 🗸 🗸 🗸	Blank Excel Document	
User Setup 🗸 🗸	Blank Upload File Template	
Document Setup	Blank Word Document	
Default Properties	Excel Spreadsheet	
Categories	Expense Forms	
Templates	Financial Schedule	
Export Documents	Job Description Template	
	Docalization Workflow	

- 2. Make the needed changes to the template properties and document content (see <u>Creating a Template</u> for detailed instructions).
- 3. Click Save and Close.

Finding a Template

When you have many templates, use any of the following tools to find a specific one:

 Click Find and start typing any part of a template title. The template list is immediately narrowed to show only those templates whose titles contain matching text.

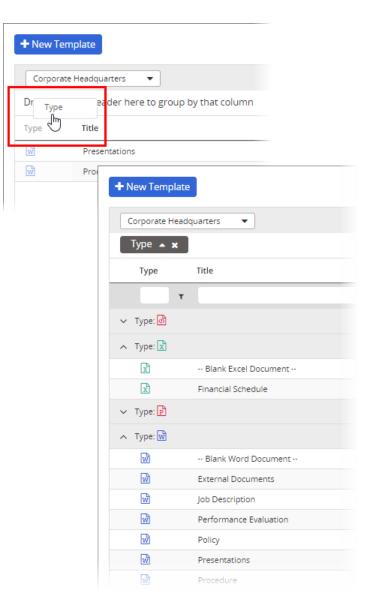
+ New Te	mplate	
Corporate	Headquarters 👻	0
Drag a co	olumn header here to group by that column	Q
Туре	Title	
x	Blank Excel Document	
Ľ	Blank Upload File Template	

On the right of the template grid header, click , and then click Show
 Column Filters. Then, in the Title column filter box, start typing any part of the template title. The template list is immediately narrowed to show only those templates whose titles contain matching text.

Note: By default, the filter finds all titles containing the text you type. To change filter behavior, click **T**, and then click **Starts with**, **Ends with**, **Equals**, or **Does not equal**.

Corporate	Headquarters 👻	0
Drag a co	lumn header here to group by that column	Q
Туре	Title	
	n pr	
x	Excel Spreadsheet	
P	Presentation	
Ŵ	Procedure Template	

• To arrange the template list by type, drag the **Type** column header onto the bar with the text **Drag a column header here to group by that column**.



 To change the number of templates listed per page, click 15, 30, or 60 at the bottom of the list.

Archiving a Template

Important: A n archived template is removed from the **Template** list in the first step of the **Properties Wizard**. If documents or questionnaires have already been created using that template, their template assignments will not change. If, however, you want to permanently delete the template by deleting it from the **Archive**, you will have to reassign all documents/questionnaires using that template before doing so.

1. If the template is currently closed, click **System Settings**, click **Document Setup**, and then click **Templates**.

- 2. Do one of the following:
 - If only the **Document Module** or only the **Questionnaires Module** is currently enabled, find and open the template in the list (see <u>Finding a</u> <u>Template</u> for help finding a template in a long list).
 - If both the Document Module and the Questionnaire Module are currently enabled, click the Documents tab or Questionnaires tab, and then find and open the template in the list (see Finding a Template for help finding a template in a long list).

2. Click , and then click **Archive**.

Pol	icy v.1 🔒		Save and Close 💌	
Edi	Document Propert	ies Wizard Overview 🕐	Template Archive	
1	Template Setup	Title		Advanced Settings 🔶
2	Category Types	Policy		
	rypes	Workflow Configurations Full (Default)		Don't allow assignees

3. When asked to confirm, click Yes.

Note: For instructions on restoring an archived template, see The Archive.

Importing Documents

PolicyTech provides two methods for importing documents:

Document-only import: After importing documents into the PolicyTech database using this method, you can use Bulk Edit to assign document properties and workflow tasks.

Document plus metadata import: This method lets you assign many document properties to all imported documents at once using a metadata spreadsheet.

Important: To avoid unforeseen and possibly irreversible issues, we strongly recommend that you get assistance from NAVEX Global Professional Services before attempting a metadata import.

For further instructions, go to one of the sections listed below:

Basic Document Import

Document Import with Metadata

Basic Document Import

If you have digital copies of documents that you now want to track in PolicyTech, you can import them. We strongly recommend that you follow the guidelines under "Preparing to Import Documents" below before starting to import documents. The more you prepare, the less confusion and the less manipulation of documents there will be after the import.

Note: If you need assistance with importing documents, call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

Preparing to Import Documents

Consider the following guidelines before importing documents:

- Document grouping. Your organization's documents may already be grouped by certain criteria, such as by department or by the documents' owners. We recommend that you group documents by document owner and then import the documents of each document owner separately.
- Site, template, document owner. When you set up a document import, you must specify the site, the document owner, and the template for those documents. These entities must exist in PolicyTech before you can assign them to imported documents (see <u>Adding a Site</u>, <u>Assigning Roles</u>, and <u>Creating a Template</u>).

Note: If some of an owner's documents will require a different template than others, you can further group the documents by template, or you can assign the same template to all of the documents and then change the template assignments as necessary using **Bulk Edit**.

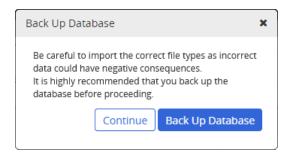
- Bulk Edit. You can assign all other document properties to multiple imported documents at once using Bulk Edit (see <u>Bulk Edit</u>). We recommend that you use Bulk Edit immediately after importing a group of documents—before you import the next group.
- Department assignments. Upon import, documents are assigned to the selected document owner's department. You can change the department assignment later, if necessary, using Bulk Edit.

Performing the Document Import

1. Click System Settings, click Document Setup, and then click Import Documents.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!	×
Be careful to import the correct file types as incorre data could have negative consequences.	ct
Continu	e



- 2. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat step 1 above. Then, on this step, click Continue.

≡	Policy TECH		IMPORT DOCUMENTS		۵	Douglas J	ohnson 🔻
* ⊡ j⊒	Home Documents Questionnaires	× ~ ~		Import Documents with Metadata	s from your computer to the server.		
€ €	My Tasks Reports System Settings	16	Filename	Date M	odified	File	e Size
	Company Setup User Setup Document Setup Default Properties	* *					
	Categories Templates Import Documents				Drop file(s) here	Browse	Upload
	Export Documents Bulk Edit		STEP 2: Select a Documen Document OwnerChoose a document owner	t Owner and a Properties Template			~
	System / IT Settings Archive	~	Select Template Choose a template				~
			department. Replace the headers in t Replace the footers in th	es will be applied and the documents will the imported documents with the header he imported documents with the footers Write task instructions here	s from the selected template ① rom the selected template. ① View Document Imports OBAL:	mport Doci	

3. To select files to upload, do either of the following:

- Click **Browse**, find and select files, click **Open**, and then click **Upload**.
- In Windows Explorer, find and select some files you want to upload, drag them over the file list area of the **Import Documents** window in PolicyTech, and then, when you see the area highlighted in green, drop the files.

s × S		
Filename	Date Modified	File Size
	rop file(s) here	

5. (Optional) Repeat step 3 as necessary to add files from other locations.

Note: Uploading the documents to the PolicyTech server is the first or staging step in the import process. The files won't actually be imported into the PolicyTech database until you click **Import Documents**

A	× 3 🖡		
	Name	Date modified	Size
Z Ì	Account Collection Process.doc	9/8/2016 6:26:01 AM	41 KB
7	Account Collections Form.doc	9/8/2016 6:26:01 AM	42.5 KB
*	Accounts Payable and Cash Distribut	9/8/2016 6:26:01 AM	45 KB
*	Americans with Disabilities Act.doc	9/8/2016 6:26:01 AM	42.5 KB

Once the selected files have been uploaded, they are displayed in the file list. You now need to select certain properties that will be assigned to the documents upon import.

STEP 2: Select a Document Owner and a Properties Template	
Document Owner	
Choose a document owner	~
Select Template	
Choose a template	~
Note: The template properties will be applied and the documents will be filed in draft within the document of department.	owner's primary
Replace the headers in the imported documents with the headers from the selected template. Replace the footers in the imported documents with the footers from the selected template. Create task for owner Write task instructions here	

6. For **Document Owner**, click a name.

Note: The imported documents will be placed in the document owner's primary site and department.

7. For Select Template, click a template.

Note: The **Select Template** list is disabled until you select a document owner.

8. (Optional) If you're importing Word documents, you have the option of replacing headers and footers in the import files with those from the template. Select one or both of the following:

- Replace the headers in the imported documents with the headers from the selected template.
- Replace the footers in the imported documents with the footers from the selected template.

Important:

- If the template headers or footers are a different size than those in the import files, the page layout and pagination of the imported files will be affected.
- If any of the imported files are of a type other than Word, the header and footer replacement for those files will fail and be noted in the import status report.
- 9. (Optional) To include instructions for the document owner about what to do with the imported documents, select **Create task for owner**, click **Write task instructions here**, type instructions, and then click **Close**.
- 10. Click Import Documents.
- 11. A message is displayed stating that you'll receive an email once the import process is done. Click **OK**.

Alert	×
Files have been moved to the queue successfully. You will receive an email when the imp document process has completed. To view the progress, click View Document Imports.	OK

Viewing Import Status Reports

- 1. In the **Import Documents** tab, click **View Document Imports** at any time to check import status.
- 2. Click an import name to view status of the individual documents in that import.

Document Imports					×
Import Name	Status	Documents Remaining	Failed Documents	Days Before Deletion	
2016-09-08-13-33-19	In Progress	5		30	^
					v
				C	ose

If there was a problem with a specific document, the problem is described in the **Results** column.

S	tatus		×
	Document	Results	
	Account Collection Process.doc	Pending	-
	Account Collections Form.doc	Pending	
	Accounts Payable and Cash Distribution.doc	Pending	
	Americans with Disabilities Act.doc	Pending	
	Assembly Manuals.doc	Pending	
			-
		Clo	se

3. Click Close twice.

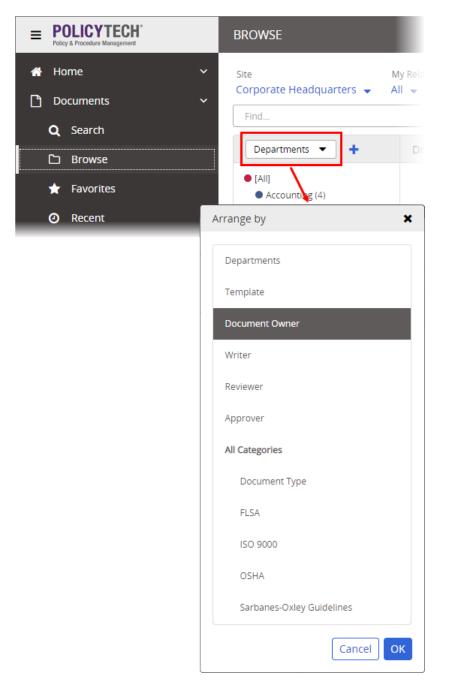
Finishing the Setup of Imported Document Properties

After the import process has completed, you can use Bulk Edit to make any other needed changes to the imported documents' properties, such as optional settings or task assignments. See <u>Bulk Edit</u> for detailed instructions.

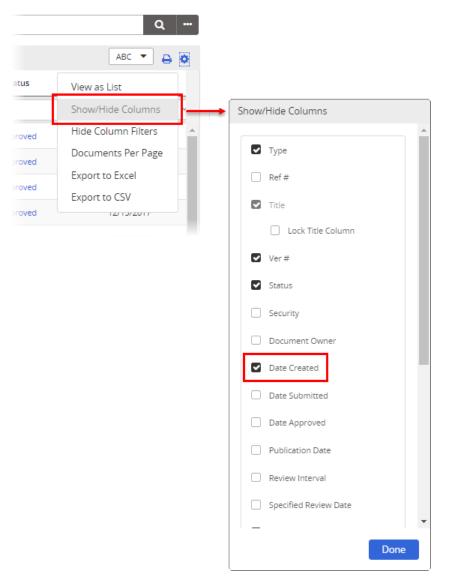
Finding Newly Imported Documents

The instructions below describe one way to find all of the documents you've recently imported.

- 1. Click **Documents**, and then click **Browse**.
- 2. For Status, click Draft, and then click OK.
- 3. For **Arrange by** (the menu below the current site selection), click **Document Owner**.



- 4. Click the name of the document owner assigned to the newly imported documents.
- 5. Click 🔅, and then click **Show/Hide Columns**.
- 6. Select the **Date Created** column, and then click **Close**.



7. In the document list, click the **Date Created** column twice—once to sort the list by creation date and again to reverse the sort order and display the most recently created documents at the top of the list.

Document Import with Metadata

This method of importing documents consists of the following high-level steps:

- Configuring PolicyTech in preparation for the imported documents
- Uploading the documents
- Preparing the document metadata spreadsheet
- Uploading the metadata spreadsheet
- Handling import errors
- Starting the import

Configuring PolicyTech

When you prepare the document metadata spreadsheet, you must assign certain entities, such as document owners and templates. These entities must already exist in PolicyTech for a metadata import to be successful.

Important: A successful PolicyTech configuration requires much thought and planning. If you have not already done so, we strongly recommend engaging NAVEX Global Professional Services to help with your PolicyTech implementation.

Of the PolicyTech entities and properties that can be assigned using the metadata spreadsheet, some are required and some are optional. You must configure at least the required entities and properties prior to a document import with metadata.

Required configurations:

Templates (see <u>About Templates</u> and <u>Creating a Template</u>) Document owners (see <u>Adding a User Manually</u> and <u>Assigning Roles</u>) Sites (see <u>Working with Sites</u> and <u>Adding a Site</u>) Departments (see <u>Working with Departments</u> and <u>Adding a Department</u>) **Optional configurations:**

Proxy authors (see <u>Assigning a Proxy Author</u>) Categories (see <u>About Categories</u> and <u>Adding a Category</u>) Languages (see <u>Language Files</u>) Reference number setting (see <u>Default Document Properties: Reference</u>

Number)

Uploading the Documents

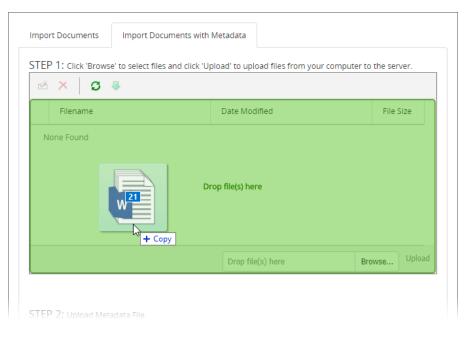
Important: The **Import Documents with Metadata** feature is for importing new documents only. Do not use this feature to update the metadata of existing documents.

1. Click System Settings, click Document Setup, and then click Import Documents.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!			×
Be careful to import th data could have negat		21	as incorrect
			Continue
Back Up Database			×
Be careful to import th data could have negat It is highly recommen database before proce	tive cons ded that	sequences.	
Cont	tinue	Back Up I	Database

- 2. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat step 1 above. Then, on this step, click Continue.
- 3. Click the Import Documents with Metadata tab.
- 4. To select files to upload, do either of the following:
 - Click Browse, find and select files, click Open, and then click Upload.
 - In Windows Explorer, find and select some files you want to upload, drag them over the file list area of the **Import Documents** window in PolicyTech, and then, when you see the area highlighted in green, drop the files.



Preparing the Document Metadata Spreadsheet

Important: To avoid unforeseen and possibly irreversible issues, we strongly recommend that you have NAVEX Global Professional Services help with preparing the document metadata spreadsheet.

1. To download the metadata spreadsheet template, in the **Step 2: Upload Metadata File** area, click **Generate Metadata File**, and then open the file.

🖉 🗙 🖸 🖡			
Filename		Date Modified	File Size
None Found			
		Drop file(s) here	Browse Upload
		brop mo(b) nore	Dronoem
STEP 2: Upload Metadata	File		
STEP 2: Upload Metadata	File		
Warning : We highly recomm	iend working with N	AVEX Services to assist in prepai	
Warning : We highly recomm netadata import cannot be i	iend working with N	AVEX Services to assist in prepai introduce undesirable data into	
Warning : We highly recomm metadata import cannot be r correctly. Jpload the metadata file tha	nend working with N/ reversed, and could i It contains the data f	introduce undesirable data into or the documents you are impo	your system if not done
Warning : We highly recomm metadata import cannot be r correctly. Jpload the metadata file tha	nend working with N/ reversed, and could i It contains the data f	introduce undesirable data into	your system if not done
Warning: We highly recomm metadata import cannot be r correctly. Jpload the metadata file tha metadata file based on the d	nend working with N reversed, and could t contains the data f locuments that are c	introduce undesirable data into or the documents you are impo	your system if not done
Warning: We highly recomm metadata import cannot be r correctly. Jpload the metadata file tha metadata file based on the d	nend working with N/ reversed, and could i It contains the data f	introduce undesirable data into or the documents you are impo	your system if not done
Warning: We highly recomm metadata import cannot be r correctly. Jpload the metadata file tha metadata file based on the d Gelect File to Upload	nend working with N reversed, and could t contains the data f locuments that are c	introduce undesirable data into or the documents you are impo	your system if not done
metadata import cannot be i correctly. Upload the metadata file tha	nend working with N reversed, and could t contains the data f locuments that are c	introduce undesirable data into or the documents you are impo	your system if not done
Warning: We highly recomm metadata import cannot be r correctly. Upload the metadata file tha metadata file based on the d Select File to Upload	nend working with N reversed, and could t contains the data f locuments that are c	introduce undesirable data into or the documents you are impo	your system if not done

The Excel template will contain the names of the files you've already uploaded.

2 - : 🗙	$\sqrt{f_x}$ (text)		
A	Эм (12.1.1) В	С	
Field	File Name	Document Title	Template Title
Format	(text)	(text)	(text)
Description	The name of the file to be importe	d. The title that will be applied to the document after it is imported.	Title of the target system template If duplicate template titles exist, th title will be assigned. Several of the are for the same settings that can l settings will be applied first and the setting, either merged with or overw columns.
	Account Collections Form docx Accounts Paybale and Cash		
	Distribution.docx		
	Bad NSF Checks.docx Bank Account Reconciliation.doc		
	Capitalization.docx	*	
	Capitalization.docx Cash Drawers.docx		
	Cash Receipts.docx		
	Chart of Accounts.docx		
	Check Requests.docx		
	Check Signing Authority.docx		
	Fixed Asset Control.docx		
	Year End Closing.docx		

- 2. Enable editing in the Excel file.
- 3. Using the field descriptions as a guide, fill in at least the required information for each document.
- 4. Save and close the spreadsheet.

Uploading the Metadata Spreadsheet

1. In the **Step 2: Upload Metadata File** area, click **Browse**, find and click the metadata spreadsheet you prepared, and then click **Open**. The name of the uploaded file appears under **Metadata File / Results**.

STEP 2: Upload Metadata File
Warning: We highly recommend working with NAVEX Services to assist in preparing your metadata file. The metadata import cannot be reversed, and could introduce undesirable data into your system if not done correctly.
Upload the metadata file that contains the data for the documents you are importing. You may generate a metadata file based on the documents that are currently uploaded if desired. Generate Metadata File
Select File to Upload Browse Metadata File / Results
Verify Metadata File
View Document Imports Start Import

Before starting the import, it's important that you verify your metadata spreadsheet to check for errors.

2. Make sure that the metadata spreadsheet is closed in Excel, and then click **Verify Metadata File**.

Metadata Validation × RESULTS The Metadata file has been compared with the included docs and the new system to identify potential issues with importing the documents into the system. Results are outlined below: Туре Count Critical Errors 0 0 **High Errors** Medium Errors 0 Documents without Metadata 0 Total Records Processed 25 You can view detailed results by downloading the Metadata file MetaData2.xlsx Close

The results are shown in a table like the one below.

- 3. Depending on the results, do one of the following:
 - If there are no errors, click Close and then go to the <u>Completing the</u> <u>Import</u> section below.
 - If errors exist, click the file name to open a read-only copy of the metadata spreadsheet containing detailed explanations of the errors,

close the **Metadata Validation** window, and then move on to the next section ("Handling Import Errors").

Handling Import Errors

There are three error levels:

- Critical (red): If a particular piece of a document's metadata includes a critical error, none of that document's metadata can be imported. For example, if the cell for the document's title or template is left blank, none of that document's metadata will be imported.
- High (orange): This error level applies to a piece of document metadata that cannot be imported as it is but that will not cause the import of the rest of the metadata for the document to fail. The piece of defective metadata will either be ignored or replaced with a valid value.
- Medium (yellow): A medium error calls your attention to a piece of metadata that will be imported if you continue but that may or may not be the specific metadata assignment you intended. For example, suppose you include both a site reference ID and the optional site name, and PolicyTech finds the site reference ID but not the specified name. If you go ahead and complete the import, PolicyTech will assign the site with the matching reference ID, but that site may or may not be the one you intended to assign to the document.

In addition to errors, the results you see after clicking **Verify Metadata File** may include a number for **Documents without Metadata**. This means that one or more documents were uploaded that have no corresponding row of information in the uploaded metadata spreadsheet.

- 1. In the metadata spreadsheet you just opened, click Enable Editing.
- 2. Look in the **Field** column (column A) for any cells with a fill color (red, orange, or yellow), which indicates that there is an error with the document metadata on that row. Look in that row for other colored cells, and then point to a colored cell to display the error detail.

Important: Be sure to scan the entire row for colored cells as there may be multiple errors for the same document.

4	Account Collections Form.docx	Account Collections Form	Blank Word Document	
5	Accounts Paybale and Cash Distribu	Accounts Paybale and Cash Distribu	Blank Word Document	
6	Bad NSF Checks.docx	Bad NSF Checks	Blank Word Document	
7	Bank Account Reconciliation.docx	Bank Account Reconciliation	Blank Word Document	This field is required and cannot be blank.
8	Capitalization.docx	Capitalization	+	This lield is required and califior be blank.
9			-	
10				

- 3. Open the original metadata spreadsheet you prepared and uploaded, and then make the needed changes.
- 4. Repeat the steps in the "Uploading the Metadata Spreadsheet" section above.

Starting the Import

Once the uploaded metadata spreadsheet validates with no errors (or with only high and medium errors that you chose not correct), you can start the document and metadata import.

- 1. Click Start Import.
- 2. When you see the message telling you that the documents and metadata have been queued for processing, click **OK**.

Alert	×
Files have been moved to the queue successfully. You will receive an email when the imp document process has completed. To view the progress, click View Document Imports.	OK

Notes:

- To check an import's status, click View Document imports. Click the import name to view individual document status.
- To cancel a scheduled import, click View Document Imports, click the import name, click Cancel Import, and then click Yes.

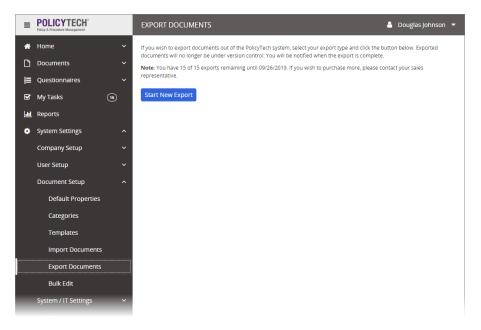
Exporting Documents

Important:

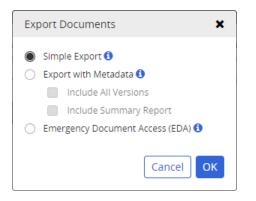
- Depending on your PolicyTech license, the Export Documents module is either included or is available as an optional feature and must be purchased. Click System Settings, and then click Document Setup. If you see the Export Documents option, then the feature is already enabled. If the feature is not already enabled and you have questions about or want to purchase the Export Documents module, call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.
- Exported documents are no longer under version control.
- If you need to move documents from one PolicyTech system to another, please <u>contact Client Support</u> for guidance in order to avoid possible adverse and irreversible issues.
- 1. Click System Settings, click Document Setup, and then click Export Documents.

Important: Your PolicyTech license or your purchase of the **Export Documents** module includes a certain number of exports per year. Each time you perform an export, regardless of its type (simple export, export with metadata, or Emergency Document Access), one of your annual export instances is used. The number of export instances remaining is displayed when you click **Export Documents**.

2. Click Start New Export.



3. Do one of the following:



- To export the selected documents in their original file formats, click Simple Export.
- To export the selected documents and convert any included Word documents to PDF at the same time, click Simple Export, and then select Export Word documents as PDF. (Selecting Export Word documents as PDF has no effect on other document types, which will be downloaded in their original file formats.)

Important: The option to download Word documents as PDFs will only be available if it was enabled when the Document Export module was

purchased and if PDF Converter has also been enabled (see <u>Set Up PDF</u> <u>Converter</u>).

Ехро	ort Documents 🗙
0	Simple Export 🕄
	 Export Word documents as PDF
OE	Export with Metadata 🕄
	Include All Versions
	Include Summary Report
() E	Emergency Document Access (EDA) 🕄
	Cancel

To export the selected documents along with an Excel spreadsheet containing document metadata (certain Property Wizard settings and other document information), click Export with Metadata. This option facilitates moving (exporting and then importing) documents from one PolicyTech system to another.

Important: To avoid adverse and possibly irreversible issues, please <u>contact</u> <u>Client Support</u> for guidance before attempting to move documents from one PolicyTech system to another.

If you select **Export with Metadata**, you also have the options of including all versions of each selected document (instead of only the latest version) and including a summary report for each selected document that shows the document's properties and history.

- To export the selected documents along with a basic viewer for browsing and searching for document, click Emergency Document Access (EDA).
- 4. Click **OK** to continue.
- 5. Do one of the following:
 - If you selected Simple Export or Export with Metadata, select documents to export (see <u>Selecting Documents for a Simple or</u> <u>Metadata Export</u> below).

Select Documents	to Export				
Status	All Statuses	~	🔲 📓 Show Restricted Do	cuments	
Site	Corporate Headquarters	~	🖶 Add All From This Site	Add All From All Sites	
Select By	Title	~			
Title	Type here to find a document by ti	tle.			
Available Docume	nts		Selected Documents		Ē
changing the Selec	by typing a Title/Reference Number above t By criteria.	: Of			×
Shift+Click selects a	a span of checkboxes.	Clear Filter(s)			
Mad Filter(s)	~	Clear Filter(S)		Cance	ОК

 If you selected Emergency Document Access (EDA), select an arrangement, a site, and a department or category (see <u>Selecting</u> <u>Documents for an EDA Export</u> below).

Select Documents to Export	×
Arrangement	
Department	•
Site	
All Sites	•
Department	
All Departments	*
Export Restricted Documents	
Cancel	

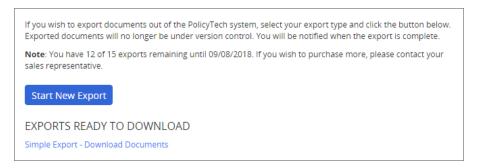
6. Click **OK** to place the export in a queue for processing by the PolicyTech server.

You are returned to **Export Documents** with a progress bar displayed. The time it takes to complete the export depends on the number and sizes of the documents.

If you wish to export documents out of the PolicyTech system, select your export type and click the button below. Exported documents will no longer be under version control. You will be notified when the export is complete.
Note: You have 11 of 15 exports remaining until 09/08/2018. If you wish to purchase more, please contact your sales representative.
EXPORTS IN PROGRESS
Simple Export: Preparing conversion to PDF
33%
Cancel

When the export is complete, PolicyTech sends you an email with the subject **Document export results**. If **Export Documents** is not currently displayed in PolicyTech, click the link provided in the email to go there.

7. In **Export Documents**, click **Download Documents** to save the zip file locally.



8. Extract the zip file's contents.

Note: If you exported documents with their metadata and chose to include summary reports, you can find those reports in a folder named **SummaryAndAttachments** after extracting the contents of the exported zip file.

- 9. (Conditional) If you exported EDA documents or documents with their metadata, do one of the following:
 - EDA export: In the PolicyTech_EDA_[download date] folder, double-click index.htm to open the EDA viewer.
 - Documents with metadata export: In Export Documents, also click Download Metadata, and then save the Excel spreadsheet.

Bulk Edit

You can use **Bulk Edit** to assign properties to multiple documents or questionnaires at once. This is especially useful for assigning properties to imported files that are created as draft documents.

The steps under "Using Bulk Edit" below provide general instruction. See the following sections for additional details:

Next Review Dates after Setting as Approved Reapplying a Template to Multiple Documents or Questionnaires

Using Bulk Edit

Using **Bulk Edit** consists of two major steps—choosing the documents or questionnaires you want to edit and then modifying their properties.

1. Click System Settings, click Document Setup, and then click Bulk Edit.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

WARNING!! Bulk actions may not be reversible. Please e	exercise extreme caution in this area.	
	Cancel Launch Bulk Edit	
,	Please exercise extreme caution in this area. ack up the database before proceeding. Cancel Back Up Database Launch Bulk Edit	

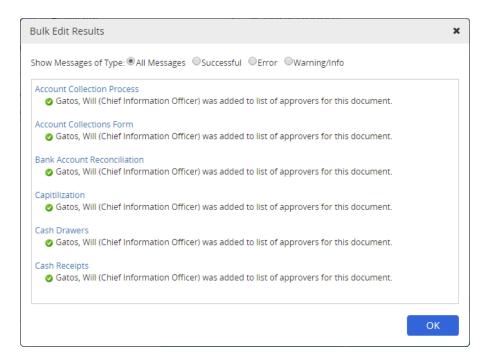
- 2. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click Launch Bulk Edit.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat step 1 above. Then, on this step, click Launch Bulk Edit.

The **Bulk Editor** opens in a separate window.

Content Type	Documents	~	
Status	Draft - Draft	~	
lite	Corporate Headquarters	✓ ▲ Add All From This Site ▲ Add All From All Sites	
Select By	Title	~	
ſitle	Type here to search by title.		
Available Documen	ts	Selected Documents	
Select a document b changing the Select	y typing a Title/Reference Number above By criteria.	or	

- 3. Select all the documents or questionnaires you want to change in the same way (see Selecting Documents or Questionnaires below).
- 4. Do one of the following:
 - Use Modify Properties to change settings or to add or remove writers, reviewers, approvers, or assignees. See <u>Modify Properties</u> below for details.
 - Use Bulk Actions to change the workflow status of or archive the selected documents. See <u>Bulk Actions</u> below for details.
- 5. Each time you perform a **Bulk Editor** action, a results window like the one below is displayed. You can click a document/questionnaire title to open and check your changes. Click **OK** to close the **Bulk Edit Results** window.

Note: All message types are shown by default. You can also choose to see only success or error messages.



6. When finished, close the **Bulk Editor** window.

Selecting Documents or Questionnaires

- 1. For Content Type, select Documents or Questionnaires.
- 2. Do any of the following:
 - To quickly select all documents/questionnaires, click Add All From All Sites.

Bulk Editor			Bulk Actions 🔻	
hoose Documents (0)	Modify Properties			
		_		
Choose Documents:	Choose the documents that will be affecte	d by your bul	k edit modifications. Then choose "Modify Properties" or "Bulk Actions	
Content Type	Documents	~		
Status	Draft - Draft	~		
Site	Corporate Headquarters	~	Add All From This Site Add All From All Sites	
Select By	Title	~		
Title	Type here to search by title.			
Available Document	ts		Selected Documents	Ē
Select a document by changing the Select	y typing a Title/Reference Number above (By criteria.	or		*

• To select all documents/questionnaires from a specific site, select the site, and then click Add All From This Site.

Bulk Editor	Bulk Actions 🔻				
Choose Documents (0) Modify Properties ?					
Chaose Desuments	Choose the documents that will be affecte	d burner bull	, edit medifications. Then she	ese "Medifi: Dreporties" or "Dull: Actions"	_
choose Documents:	choose the documents that will be affecte	a by your buik	cedic modificacions. Then cho	ose modily properties of Bulk Actions .	
Content Type	Documents	~			
Status	Draft - Draft	~			
Site	Corporate Headquarters	~	🛨 Add All From This Site	🛨 Add All From All Sites	
Select By	Title	~			
Title	Type here to search by title.				
Available Documer	nts		Selected Documents		ŵ
Select a document l changing the Select	by typing a Title/Reference Number above (t By criteria.	or			*

- To select documents/questionnaires by other criteria, follow the steps below:
 - For **Status**, select the current workflow status of the documents/questionnaires you want to edit.

Note: If you change the status after selecting documents/questionnaires, you will be prompted to click **Yes** to clear the current selections and switch to the different status.

- If your PolicyTech system has multiple sites, select the site containing documents/questionnaires you need to edit.
- For **Select By**, choose a criterion by which to find documents/questionnaires.

The selector below **Select By** changes depending on your **Select By** choice.

If you selected **Title** or **Reference #**, start typing any part of a document /questionnaire title or reference number you want to find. After typing at least three characters, a list of titles or reference numbers appears containing the characters you typed. Click a title to select the document/questionnaire.

Note: With **Title** and **Reference #**, you are limited to selecting one document/questionnaire at a time.

Bulk Editor			
Choose Documents (0)	Modify Properties		
			_
Choose Documents: C	hoose the documents that will be affected b	y your bulk	edit modifica
Content Type	Documents	~	
Status	Draft - Draft	~	
Site	Corporate Headquarters	~	🛨 Add Al
Select By	Title	~	
Title	cash		
Available Documents Select a document by changing the Select B	typii Waaldo Fierrarial and Six Weals Or ab Fie	w Reports (v	elected

If you made any other **Select By** choice, select an item to show the documents/questionnaires assigned to it. For example, if you chose **Department**, then, in the **Department** list, click a department name.

Note: If you choose **Department**, **Template**, or **Category** for **Select By**, the items in the resulting **Department**, **Template**, or **Category** list show, in parentheses after the item name, the number of documents/questionnaires assigned to that item for the currently selected status and site.

Bulk Editor		
Choose Documents (0)	lodify Properties 🛛 😮	
Choose Documents: Choo	ose the documents that will be affected by your bu	lk edit
Content Type	Documents ~	
Status	Draft - Draft 🗸 🗸	
Site	Corporate Headquarters ~	1
Select By	Department ~	
Department	Select Department ~	
Available Documents	• [All]	5
	 Accounting (14) 	
	 Administration (52) 	
	 Disaster Recovery (5) 	
	 Educational Resources (5) 	
	 Engineering (15) 	
	Environmental Services	
	 Fiscal Services (13) 	
Shift+Click selects a spar	 Human Resources (16) 	
Add Filter(s)	Installations	

A list of documents/questionnaires corresponding with the **Select By** item you chose is displayed. Select the those you want added to **Selected Documents**.

Note: If you see the **No documents found...** message, then there are no documents/questionnaires in the currently selected status and site that are assigned to that item.

	Documents	by your bulk edit modifications. Then choose "Modify Properties" or "Bulk A	
ontent Type	Draft - Draft		
tatus			
ite	Corporate Headquarters	Add All From This Site Add All From All Sites	
elect By	Department		
epartment	Accounting	✓ ➡ Add All From Accounting	
vailable Documents		Selected Documents	Ē
Capitilization (v.1		Documents Capitilization (v.1)	^
Code of Conduct	(v.1)	Cash Drawers (v.1)	
Invoice Billings (v lob Description -		Invoice Billings (v.1)	
	Accounts Receivable Clerk (v.1)	Laboratory Safety Guidelines (v.1)	
🖌 🗹 Laboratory Safet		Performance Evaluation - Accountant (v.1) Performance Evaluation - Accounting Manager (v.1	1)
	luation - Accountant (v.1) luation - Accounting Manager (v.1)	Performance Evaluation - Accounting Manager (v.)	1)
Performance Eva	iuation - Accounting Manager (V.1)	•	Ŧ

 (Optional) To view more information about the documents/questionnaires you've selected, click View Detailed List. You can then use Show/Hide Columns to add or remove columns, and you can click a column header to sort the list by that item of information.

Modify Properties

1. Click the Modify Properties tab or button.

recalled	List: Below are the documents that will be affected by your bulk mo	odifications.	
ocumer	its Found: 156		Show/Hide Columns
Ref#	Title	Document Owner	Status
86	Assembly Manuals (v.1)	Hansen, Tom (Manager)	Draft
53	Bank Loan Applications (v.1)	Hansen, Tom (Manager)	Draft
87	Bill of Materials (v.1)	Hansen, Tom (Manager)	Draft
119	Board of Directors (v.2)	Hansen, Tom (Manager)	Draft
55	Business Plans and Forecasts (v.1)	Hansen, Tom (Manager)	Draft
88	Calibration for Testing and Measuring Equipment (v.1)	Hansen, Tom (Manager)	Draft
24	Centers of Operation (v.1)	Hansen, Tom (Manager)	Draft
31	Check-In Form (v.1)	Hansen, Tom (Manager)	Draft
120	Check-In Form (v.1)	Hansen, Tom (Manager)	Draft

A modified version of the **Properties Wizard** appears, which is nearly the same as the one that document owners use while creating documents or questionnaires. You can make changes in any number of the steps, but you must apply the changes in one step before moving on to another. For

Bulk Editor	Bulk Actions 💌
Choose Documents (156	Modify Properties 📀
1 Settings	Advanced Settings 🔶
2 Categories	Document Owner 10 Document Owner Instructions
	Choose a document owner 🗸
3 Writers	Template 1
4 Reviewers	Choose a template v Preview
5 Approvers	Version Number
6 Assignees	
7 Security	
	Apply Changes

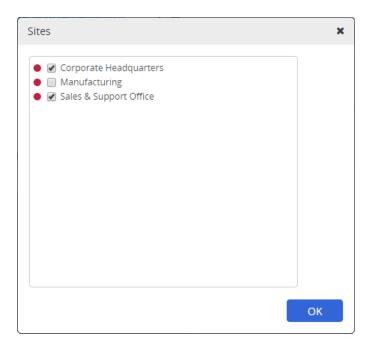
details on the settings and assignments in the steps, see "Assigning Properties" in the User's Guide.

- 2. Do any of the following:
- Change settings: In the Settings step, change any of the selected documents'/questionnaire's basic or advanced settings, and then click Apply Changes.
- Reapply Template Properties: In the Settings step under Reapply Template Properties, click Properties to Reapply, and then select Reapply Template Headers, Reapply Template Footers, or both options. Click Close, and then click Apply Changes.

Important: The **Reapply Template Properties** feature is available only if it has been enabled. If you have a need for this feature, please contact Customer Support.

 Change site assignments (grant or deny document access by site): In the Categories step, for Sites, select one or more sites, click OK twice, and then click Remove from Selected Documents or Add to Selected Documents.

Important: When created, a document/questionnaire must be assigned to at least one site (it is assigned to the document owner's primary site by default). When removing site access using Bulk Edit, if the sites you select would result in all currently assigned sites being removed from a selected document/questionnaire, the removal will fail for that document/questionnaire and you will see a message to that effect in the **Bulk Edit Results** window.



 Change department assignments: In the Categories step, under Required in the Categories box, click Departments, and then select one or more departments or department groups. Then, click Remove from Selected Documents or Add to Selected Documents.

Bulk Editor		Bulk Actions 🔻
Choose Documents (156	6) Modify Properties ?	
1 Settings	Sites Choose which sites can access this document	0
2 Categories	Next: Choose where this document will be displayed Required	 To choose which departments will be affected by this document, check
3 Writers	Departments Optional Document Type	a department (or group of departments) on the lower left.
4 Reviewers	Employee Type FLSA ISO 9000	
5 Approvers	OSHA Choose Departments Below	Selected Departments & Categories Contents
6 Assignees	Site Corporate Headquarters	Departments (concerns) Departments (concerns) Departments (concerns)
7 Security	Department Groups Departments	« «
		emove from Selected Documents

 Change category assignments: In the Categories step, under Optional in the Categories box, click a category to display its assignable subcategories in the box below. Select one ore more subcategories, and then click Remove from Selected Documents or Add to Selected Documents.

Bulk Editor		Bulk Actions 💌
Choose Documents (156)	Modify Properties ?	
1 Settings	Sites Choose which sites can access this document v	
2 Categories	Next: Choose where this document will be displayed	View Category Properties
3 Writers	Departments Optional Document Type	
4 Reviewers	Employee Type FLSA	
5 Approvers	OSHA Choose Document Type Below Add Subcategories	Selected Departments & Categories Contents
6 Assignees	[Document Type] Activity	Departments (Corporate Headquarters) Department: Administration
7 Security		Document Type Policy
	🖨 Remo	ve from Selected Documents

 Change writer, reviewer, or approver assignments: Adding or removing writers, reviewers, or approvers is a bit more complex than other Bulk Editor changes, because these types of users can be assigned to different writing, review, or approval levels.

If you're removing writer, reviewer, or approver assignments, you don't need to know which level they're assigned to. Simply select users, job titles, or departments (see <u>Selecting Users</u> below), and then click **Remove from Selected Documents**. The selected entities will be removed from all levels to which they're currently assigned within the selected documents/questionnaires.

Important: Because all approved documents/questionnaires must have at least one assigned approver, attempting an action that would remove all approvers will fail. To switch an approver assignment, you may need to add the new approvers before removing existing ones.

If you're adding writer, reviewer, or approver assignments, you have several options for assigning to writing, review, or approval levels:

Assign to a specific level: To assign entities to a specific writing, review, or approval level, in the Writers, Reviewers, or Approvers step, in the Selected Users box, use New Level to add the desired number of levels. For example, if you want to assign approval entities to Level 2, click New Level, and then, with Level 2 selected, choose approvers, job titles, or departments (see Selecting Users below).

Bulk Editor		Bulk Actions 💌	
Choose Documents (156) Modify Proper	ies 🕜		
Reviewers Chri Gat Gat Gat Gat Gob Go	Site Corporate Headquarters , Jodi (Compliance Officer) , Will (Chief Information Officer) , Will (Chief Information Officer) , Will (Chief Finance Officer) , Anne (Chief Finance Officer) son, Teresa (Chief Operations Officer)	Approvers (Level 1) Approvers (Level 2) Corporate Headquarters Jones, Anne (Chief Finance Officer) New Level	
	E Ret	nove from Selected Documents 🛛 🖶 Add to Se	lected Documents

When finished selecting entities, click **Add to Selected Documents**, in the prompt click **Specified Levels**, and then click **OK**.

Level Assignment	×
Add selected users/groups to: Specified Levels Specified Levels Add New)	
Cast Level (Use Existing) 🕄	✓ OK X Cancel

- Assign to the last level: To assign entities to the last (greatest in number) level of the Writing, Review, or Approval step, select users, job titles, or departments (no need to add levels first; see <u>Selecting Users</u> below), and then click Add to Selected Documents to display the Level Assignment prompt. Either click Last Level (Add New) to create a new, last writing, review, or approval level and assign the selected entities to it, or click Last Level (Use Existing) to assign the selected entities to whatever is the already existing, last writing, review, or approval level; and then click OK.
- Assign to the current level in the current workflow status: Depending on your current document/questionnaire selection, you may be able to assign entities to whatever workflow step (Draft, Writers, Review, etc.) and level the selected documents/questionnaires are in. For this option to be available, the

status of the selected documents/questionnaires and the currently selected step in **Modify Properties** must be the same.

For example, if you want to assign approvers to the current approval level, start in the **Choose Documents** tab by selecting **In Approval** - **Approval** for **Status** and then selecting documents/questionnaires. Then, in the **Modify Properties** tab,

select the **Approvers** step, and then select approvers, job titles, or departments (see <u>Selecting Users</u> below).

Bulk Editor Choose Documents (0) Moo	lify Properties	E	Iulk Actions 🔻	
Choose Documents: Choose	e the documents that will be affected by your bulk edit mo	difications. Then c	hoose "Modify Properties" or "Bulk Actions".	
Content Type	Documents			
Status	In Approval - Approval V			
Site	Corporate Headquarters ~	Add All From	This Site 🛃 Add All From All Sites	
Select By	Department ~			
Department	Accounting ~	Add All From	Accounting	
Available Documents		Selected Docun	nents	Û
Capitilization (v.1) Cash Receipts (v.1) Check Signing Author Job Description - Acco		Documents Capitilizatio Cash Receip Check Signi		*
Bulk Editor Choose Documents (3) 1 Settings 2 Categories 3 Writers	Modify Properties Select From Site Approvers Corporate Headquarters Search Cenn, Jodi (Compliance Officer) Christenson, Robert (Document, Control Add	٩	Approvers Corporate Headquarters	ŵ
4 Reviewers 5 Approvers	 Cliniterison, Robert (Joccanien, Control Ad Clatos, Will (Chief Information Officer) Howard, Susan (Document, Control Adminis Johnson, Douglas (Chief Executive Officer) 		Gatos, Will (Chief Information Officer) Monson, Teresa (Chief Operations Officer)	
6 Assignees	 Jones, Anne (Chief Finance Officer) Monson, Teresa (Chief Operations Officer) 		+ New Level	0
7 Security		- Remo	we from Selected Documents 🔒 Add to Selecte	d Documents

Then, click Add to Selected Documents, in the prompt click Current Step's Level, and then click OK.

Level Assignment	×
Add selected users/groups to: Specified Levels () Last Level (Add New) () Last Level (Use Existing) ()	
Current Step's Level (1)	✓ OK X Cancel

- Change assignee assignments: You can add or remove required assignee task assignments, add or remove "Notify Only" assignments (documents only), or change the task or "Notify Only" status of existing assignee assignments (documents only).
 - To remove an assignee designations, select departments, job titles, or assignees (see <u>Selecting Users</u> below), and then click **Remove from Selected Documents**. If you're working with documents, each assignment will be removed regardless of whether it is a required task assignment or "Notify Only" assignment.
 - To add a required task assignment (where assigned users must mark documents as read or complete a questionnaire), select departments, job titles, or assignees, and then click Add to Selected Documents.
 - (For documents only) To add a "Notify Only" assignment (where assigned users are only notified that documents are available once they've been published and are not assigned reading tasks), select departments, job titles, or assignees, and then click Add as Notify Only.
 - (For documents only) To change an existing assignee selection from a required task to "Notify Only," or vice versa, select departments, job titles, or assignees, and then select Modify Notify Only Status. Notice that the options at the bottom change when the Modify Notify Only Status option is selected.

Bulk Edito		Bulk Actions 💌
Choose Do	cuments (3) Modify Properties ?	
1 Setti	ngs Select From Site Departments Corporate Headquarters	Advanced Settings 🗲
2 Cate	gories Search Q	S Assignees
3 Write	ers	Corporate Headquarters
4 Revi	ewers	Department: Accounting
5 Appi	overs	θ
6 Assig	nees Fiscal Services Human Resources	
7 Secu	rity Installations Manufacturing Operations Operations Purchasing Shipping and Receiving Shipping and Receiving Software Development Systems Administration Technical Services	
		Modify Notify Only Status

Select **Set as Required** to change "Notify Only" assignments to required reading task assignments, or select **Set as Notify Only** to change required task assignments to "Notify Only" assignments.

Important: With the Modify Notify Only Status option selected, the Set as Required and Set as Notify Only buttons only change existing assignments. These options DO NOT add the entities in the Selected Users box to the selected documents if the selected users are not already assigned.

- Change security settings: In the Security step, select a different security level, and then click Apply Changes.
- 3. Each time you perform one of the actions in the previous step, a results window like the one below is displayed. You can click a title to open the document/questionnaire and check your changes. Click **OK** to close the **Bulk Edit Results** window.

Bulk Edit Results	>
Show Messages of Type: I Messages OSuccessful OError OWarning/Info	
Account Collection Process	
Account Collections Form States, Will (Chief Information Officer) was added to list of approvers for this document.	
Bank Account Reconciliation ② Gatos, Will (Chief Information Officer) was added to list of approvers for this document.	
Capitilization Catos, Will (Chief Information Officer) was added to list of approvers for this document. 	
Cash Drawers S Gatos, Will (Chief Information Officer) was added to list of approvers for this document.	
Cash Receipts Ø Gatos, Will (Chief Information Officer) was added to list of approvers for this document.	
	ОК

Selecting Users

The following instructions assume that the **Writers**, **Reviewers**, **Approvers**, or **Assignees** step in the **Modify Properties** tab is already selected.

- 1. If your PolicyTech system has multiple sites, select the site containing the users you want to select.
- (Optional) By default, only active (not archived) users are available for selection. Select Show Archived Users if you need to select users currently in the Archive. This is especially useful for removing Writer, Reviewer, Approver, or Assignee assignments for those who are no longer with your organization.
- 3. Use any of the available methods for selecting writers, reviewers, approvers, or assignees. If you need help, see the following sections in the <u>User's Guide</u>:

"Assigning Writers" "Assigning Reviewers" "Assigning Approvers" "Designating Assignees"

Bulk Actions

There are several bulk editing actions available on the **Bulk Actions** menu.

Bulk Editor		Bulk Actions 💌	
Choose Documents (3)	Modify Properties	0	
Choose Documents: Ch	oose the documents	that will be affected by your bulk edit modifications. Then choose "Modify Properties" or "Bulk Actions".	
Status	In Approval - Ap	proval v	

The options you see depend on the status of the selected documents or questionnaires, as shown below.

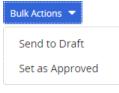
With documents/questionnaires in draft or collaboration selected:

Bulk Actions 🔻	
Submit to Writers	
Submit for Review	
Submit for Approval	
Set as Approved	
Archive	

With documents/questionnaires in review selected:

Bulk Actions 🔻
Send to Draft
Submit for Approval
Set as Approved

With documents.questionnaires in approval selected:



With pending documents/questionnaires selected:



With approved documents/questionnaires selected:

Bulk Actions 🔻	
Submit for Periodic Review	
Archive	

Each of these options is explained below.

Send to Draft. The selected documents/questionnaires in Review or Approval are sent back to Draft status. The document owner is notified of the status change, and any assignees in the current status (before sending back to Draft)

who have not finished their tasks are notified that they no longer need to complete those tasks.

Submit to Writers. Immediately moves the selected draft documents/questionnaires to the Collaboration (writing) status. The document owner is notified of the status change, and assigned writers receive a task notification.

Submit for Review. Immediately moves the selected documents/questionnaires in Draft or Collaboration status into Review status, skipping any assigned writers who have not completed their tasks and notifying them that they no longer need to complete the tasks. The document owner is notified of the status change, and assigned reviewers receive a task notification.

Submit for Approval. Immediately moves the selected documents/questionnaires in Draft, Collaboration, or Review status into Approval status, skipping any assigned writers or reviewers who have not completed their tasks and notifying them that they no longer need to complete the tasks. The document owner is notified of the status change, and assigned approvers receive a task notification.

Set as Approved. Immediately moves the selected documents/questionnaires in Draft, Collaboration, Review, or Approval status into either Pending or Published status, depending on each document's/questionnaire's publication date. If the publication date has passed, the document/questionnaire is moved to Published status. If the publication date is in the future, the document/questionnaire goes to Pending status. The document owner is notified of the status change. Any assigned writers, reviewers, and approvers who have not completed their tasks are skipped and notified that they no longer need to complete their tasks.

Important: If any of the selected documents/questionnaires you set as approved are currently within the warning period for the next periodic review date, the review date the document owner has already been warned about will be reset to be at the end of the next review interval. See <u>Next Review</u> Dates after Setting as Approved for more information.

Archive. Deactivates and moves the selected documents to the Archived status. Any assigned writers, reviewers, approvers, or assignees who have not yet marked the documents as read or completed the questionnaire will be notified that they no longer need to complete their tasks.

Submit for Periodic Review. Immediately assigns the document owner a periodic review task.

Next Review Dates after Setting as Approved

When you set a document as approved, PolicyTech checks the next scheduled periodic review date to see if the set as approved date is within the warning period for that periodic review date. If it is not, review notifications will be sent to the document owner and any assigned proxy authors on the scheduled periodic review date.

If the set as approved date is within the warning period, PolicyTech cancels the currently pending review date and reschedules it for the end of the next review interval. For example, suppose a document's next review date is 6/1/2017 and the warning period for that document is set to one month. If you set that document as approved on 5/7/2017, it would be within the document's one-month warning period, so the review date would be reset to 6/1/2018.

If the periodic review date for one or more documents was reset as a result of clicking **Submit for Period Review** in the **Bulk Editor**, you will see an alert at the top of the **Bulk Edit Results** window, as shown below. Click **View the list** to see which documents' review intervals were reset.



If you want to submit any of the listed documents for review now instead of waiting for the next schedule review date, select those documents and then click **Submit for Periodic Review**. Doing so creates a periodic review task and sends the document owner two emails. One is the email usually sent at the beginning of the periodic review warning period and includes a due date of the day you force the periodic review submission. The second email indicates that you, as an administrator, have submitted the document for periodic review.

Please Review				
Please evaluate each documents' Next Review Date and select any that need to be set as Due for Periodic Review immediately. 👔 Learn More				
	Document	Next Review		
~	Account Collection Process	09/30/2016		
Click Cancel if you are not ready to close the Bulk Edit Results window.				
	Ca	ancel Submit for Periodic Review		

Reapplying a Template to Multiple Documents

If changes have been made to a template's properties and you want to have those changes reflected in multiple documents that are currently assigned that template, you can reapply it using **Bulk Edit**.

- 1. In **Bulk Editor**, select documents, and then click **Modify Properties** (see Bulk Edit for detailed instructions).
- 2. In step **1. Settings**, for **Document Template**, select the template currently assigned to the selected documents.

Bulk Editor		Bulk Actions 🔻
Choose Documents (1)	Modify Properties 2	
1 Settings		Advanced Settings 🔶
	Document Owner 🕄	Document Owner Instructions
2 Categories	Choose a document owner	v
3 Writers	Template 🕄	
4 Reviewers	Choose a template	~ Preview
	Choose a template	A
5 Approvers	Document Templates	
6 Assignees	Localization Workflow	
7 Security	Performance Evaluation	
Jecunty	Policy	•
		Apply Changes

3. In the **Confirm** window, select **Also re-apply properties to selected documents already using this template**.

Note: If any of the selected documents are currently assigned to a different template, they will be reassigned to the template selected in **Bulk Editor**. Only the properties will be replaced and not document contents.

Confirm	×
Please specify what you would like to copy from the template.	
Properties Replaces the settings on all the steps of the Properties Wizard with those from the template.	
☑ Also re-apply properties to selected documents already using this template.	
Warning: This will take affect immediately and you will not be able to undo this chang	2.
Cancel Preview Template Apply Chang	es

- 4. (Optional) Click **Preview Template** to look at the current properties settings for the selected template. The template opens in a separate browser window, which you can close once you're finished viewing it.
- 5. Click Apply Changes.
- 6. In the **Bulk Edit Results** window, click **OK**.

Bulk Edit Results	×
Show Messages of Type: All Messages Successful Error Warning/Info	
Account Collection Process	*
Account Collections Form O Template set to: Policy	
Accounts Payable and Cash Distribution Template set to: Policy	
Americans with Disabilities Act Template set to: Policy	
Bad NSF Checks Template set to: Policy	
Board of Directors Template set to: Policy	
Safety Guidelines	•
	ОК

System and IT Settings

Go to the section listed below for the setting you need to check or change.

Registration InfoCheck for UpdatesDatabase ManagerEmail SettingsLogin SettingsLanguage FilesModule ManagerAutomated User SynchronizationAutomated Department SynchronizationView LogsTheme ManagerWidget SettingsRedact ToolFIPS ComplianceAPI Keys

Registration Info

- 1. Click **System Settings**, click **System/IT Settings**, and then click **Registration Info** to display current product and registration information.
- 2. You can do any of the following:
 - To see your current registration code, make sure the Enter Registration Code box is empty, and then click Submit Registration Code.
 - If you have a new registration code, copy and paste it into the Enter Registration Code box, and then click Submit Registration Code.
 - Click Purchase Online to go to the NAVEX Global web site, where you can request pricing and have a sales professional contact you.

Check for Updates

You can check to see if PolicyTech application and WordModule*Plus* browser extension updates are available and, in some cases, immediately download and install new versions.

Note: For an explanation of what WordModule*Plus* does, see <u>Setting Up</u> <u>Document Access</u>.

Important: If you have purchased a support service level and are paid up and current, you are entitled to all updates as they become available. If you are not current on your service agreement, you will not be able to update until you are.

Check for PolicyTech Updates

How you use **Check for PolicyTech Updates** depends on whether your PolicyTech system is hosted by NAVEX Global or is installed on your organization's premises.

For a PolicyTech System Hosted by NAVEX Global

If your PolicyTech system is hosted by NAVEX Global, all PolicyTech application updates are installed by NAVEX Global technicians as soon as they are released. You can, however, view a history of updates and access release notes and descriptions of the issues resolved in patch updates.

For a PolicyTech System Installed on Your Organization's Premises

 Click System Settings, click System / IT Settings, and then click Check for Updates. When the update check is finished (which may take several seconds), you'll see a window similar to the below. If no updates are available, you can skip the remaining steps.

updates are available for PolicyTech or Word Module from NAVEX Global, download the select ive, then Browse to that file and click the Install button to install it to your server.	ed update to your hard
OLICYTECH UPDATES AVAILABLE FROM NAVEX GLOBAL 🕄	
Version 10.5.0 Build(96) - Oct 2, 2018	
added: 10.5 Release Notes (<u>Learn More</u>)	
Version 10.4.0 Build(104) - Aug 24, 2018	
fixed: (bugid: $\ensuremath{PTPROD-2693}\xspace)$ Users assigned the Manager permission were able to do originally intended.	more than
Version 10.4.0 Build(103) - Aug 21, 2018	
addad: 40.4 Dalaasa Natas (Learn Mars)	*
PLOAD POLICYTECH UPDATES 🚯	
ease select the file to be installed.	
Browse Install	

- 2. (Optional) If a major or minor release is available (as opposed to a patch release), click **Learn More** to see what was changed in the new version compared to the one immediately previous to it.
- 3. Depending on whether the update is a major, minor, or patch update, you may be able to immediately download it, or you may need to request it.
 - If you see a **Download** link, click it, and then follow the prompts to download the update file to a local drive.
 - If you see an upgrade request site link, contact Client Support, either by phone or by clicking the link and submitting a support ticket, in order to obtain a new registration key.
- 4. To install a downloaded update, do one of the following:
 - If you clicked a Download link, in the Upload PolicyTech Updates area, click Browse. Find and select the downloaded update file, click Open, and then click Install.

UPLOAD POLICYTECH UPDATES	•	
Please select the file to be installed.		
	Browse	Install

 If you were required to contact Client Support, follow the steps provided.

Check for WordModulePlus Updates

- 1. Click System Settings, click System / IT Settings, and then click Check for Updates.
- 2. Click the **Check for Word Module Updates** tab. If no newer build than your currently installed WordModule*Plus* build is available, you can skip the remaining steps.

Check for PolicyTech Updates	Check for Word Module Updates
	n or Word Module from NAVEX Global, download the selected update to your nd click the Install button to install it to your server.
WORD MODULE UPDATES A	VAILABLE FROM NAVEX GLOBAL ()
CHANGES SINCE YOUR VERS	SION:
Feb 7, 2018 Download	
Word Module+ 3.5 Build(1524) fixed: PTPROD-2114: Document	(Internet Explorer) t version compare windows were opening behind other programs
View complete change history he	ere.
UPLOAD WORD MODULE UF	PDATES ()
Please select the file to be installed	Install
Please select the file to be installed	Install
Please select the file to be installed	Install
Please select the file to be installed	Install
Please select the file to be installed Once the file is selected, click Install to REQUIRE MINIMUM WORD N This version of PolicyTech requires a	A. Browse Install D initiate the upgrade. MODULE VERSION ()
Please select the file to be installed Once the file is selected, click Install to REQUIRE MINIMUM WORD N This version of PolicyTech requires a in You may choose to enforce a great	A. Browse Install b initiate the upgrade. MODULE VERSION () minimum Word Module version of 3.5.915.0.
You may choose to enforce a great	A. Browse Install D initiate the upgrade. MODULE VERSION (1) minimum Word Module version of 3.5.915.0. er minimum version for your existing users.
Please select the file to be installed Once the file is selected, click Install to REQUIRE MINIMUM WORD M This version of PolicyTech requires a in You may choose to enforce a great 3.5. 915 .0 Apply	Install b initiate the upgrade. MODULE VERSION (1) minimum Word Module version of 3.5.915.0. er minimum version for your existing users. r all new users
Please select the file to be installed Once the file is selected, click Install to REQUIRE MINIMUM WORD N This version of PolicyTech requires a in You may choose to enforce a great 3.5. 915 .0 Apply Version 3.5.1523.0 will be installed for	Install b initiate the upgrade. MODULE VERSION (1) minimum Word Module version of 3.5.915.0. er minimum version for your existing users. r all new users

- 3. If a new build download is available, click **Download**, and then follow the prompts to download the update file to a local drive.
- 4. In the **Upload Word Module Updates** area, click **Browse**. Find and select the downloaded update file, click **Open**, and then click **Install**.
- 5. (Optional) When you install a new WordModulePlus version (build), that version will be installed for all users created from that point forward, but it is not necessarily installed for existing users. The **Require Minimum Word Module Version** setting determines which existing users, if any, will have the new version installed. By default, the minimum version is set to earliest WordModulePlus version that will work with the current PolicyTech version. If you want all existing users to also be updated to the new version, type that version number, and then click **Apply**. If users have permission to install new software, the new version will be installed the first time each existing user opens a document.

Database Manager

What you can do with Database Manager depends on whether your PolicyTech installation is hosted by NAVEX Global (a SaaS installation) or is installed on

your organization's premises.

Using Database Manager with a SaaS Installation

Using Database Manager with an On-Premises Installation

Using Database Manager with a SaaS Installation

If your organization's PolicyTech installation is hosted by NAVEX Global, you can use **Database Manager** to enable **Advanced Search**, and you can download one of the backups performed nightly by NAVEX Global.

Enabling Advanced Search

Full-text search indexes must be enabled in the PolicyTech database before users can access the **Advanced Search** feature (see "Advanced Search" in the <u>User's Guide</u>).

- 1. Click System Settings, click System / IT Settings, and then click Database Manager.
- 2. Click **Rebuild/Enable Full-Text Indexes**, and then click **OK** after the index has been built.

≡	POLICYTECH° Policy & Procedure Management	DATABASE MANAGER	💄 Douglas Johnson 🔻
*	Home ×	Connection Settings Manage Backups	0
⊡ j≡	Documents × Questionnaires ×	Database Manager	
	My Tasks (16)	SETUP DATABASE Driver	
•	Reports System Settings	Microsoft SQL Server (with Support for Non-Latin Character Sets)	~
	Company Setup 🛛 👻	Data Data	~
	User Setup × Document Setup ×	Rebuild/Enable Full-Text Indexes	
	System / IT Settings ^		
	Registration Info Check for Updates		
	Database Manager		
	Email Settings Login Settings		
	0 0-		

Download Nightly Backups

NAVEX Global keeps a total of 14 of the most recently generated SQL Server backup files, the most recent seven of which are listed in the **Nightly Backups** tab. If you have a need to save a nightly backup locally, you can download it while it is listed in**Nightly Backups**.

1. Click System Settings, click System /IT Settings, and then click Database Manager.

- 2. Click Manage Backups, and then click the Nightly Backups tab.
- 3. For the backup you want to download, click 📥.

Note: If you ever need a nightly backup restored, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

Using Database Manager with an On-Premises Installation

In **Database Manager**, you can perform all of the following tasks. Each task is described in the sections that follow.

Changing Database Connection Settings

Creating a New, Empty Database

Backing Up a Database

Restoring a Backup

Managing Backups

Changing Database Connection Settings

In Connection Settings, you can perform the following tasks:

- Set up or modify database connection settings
- Enable or rebuild full-text indexes for the **Advanced Search** feature

Set Up or Change Connection Settings

Important:

- If your PolicyTech site is hosted by NAVEX Global, you should never change any database connection settings unless instructed to do so by a Client Support technician.
- If your PolicyTech site is installed on your organization's premises and you need to create an entirely new database or move the database to a different server, see <u>Creating a New, Empty Database</u>.
- 1. Click System Settings, click System /IT Settings, and then click Database Manager.

Connection Settings	Back Up Database	Restore Backup	Manage Backups	
Database Manager				
SETUP DATABASE	1			
	with Support for Non-Latir	n Character Sets)		~
Database Name				
Data				
(No spaces or special c	haracters)			
Server Name				
an				
Port				
1433				
Login ID				
ptech				
Password				_
Integrated County				
Integrated Security	r			
Rebuild/Enable Full-Tex	kt Indexes		_	
			Sav	

- 2. For Driver, click the type of database being used.
- 3. Provide the following database information: server name, port, login ID, password.
- 4. (Conditional) Select Integrated Security only if an Active Directory[®] domain entity is being used as the PolicyTech application pool identity instead of the built-in NetworkService account. When Integrated Security is selected, PolicyTech ignores whatever is entered in the Login ID and Password boxes.
- 5. Click Save.
- 6. If the settings are correct, a **Connection Made Successfully** message is displayed. Click the link to go to the login screen.

Enable or Rebuild Full-Text Search Indexes

Full-text search indexes must be enabled in the PolicyTech database before users can access the **Advanced Search** feature (see "Advanced Search" in the <u>User's Guide</u>).

To enable or re-enable the **Advanced Search** feature after installing PolicyTech or after restoring the PolicyTech database, click **Rebuild/Enable Full-Text Indexes**, and then click **OK** after the index has been built.

Notes:

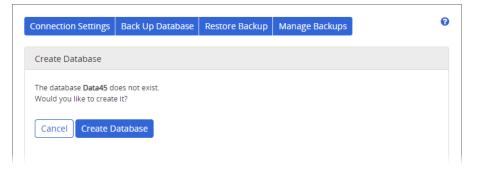
- If users attempt to access Advanced Search before full-text indexes have been enabled, they will see a message instructing them to contact their administrator.
- The Advanced Search feature is not available and the Rebuild/Enable Full-Text Indexes option does not apply if a MySQL database is being used.

Creating a New, Empty Database

If PolicyTech is installed on your organization's premises, you can create another PolicyTech database for testing or training purposes.

Important: This feature is not available in PolicyTech systems hosted by NAVEX Global. If you have a SaaS installation and need to make a database change, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

- 1. Click System Settings, click System / IT Settings, and then click Database Manager.
- 2. In the **Database Name** box, delete the current text, type a new name, and then click **Save**.
- 3. Click Create Database.



4. Type the information needed to create a global administrator in the new database, and then click **Submit**.

onnection Settings	Back Up Database	Restore Backup	Manage Backups	Ø
Setup Administrator				
First Name				
Master				
Middle Name]
Last Name				
Administrator				
Email Address				
yourEmail@yourComp	any.com			
Username				
Password				
Site				
Main Office				
Department				
Administration				
Job Title				
Administrator				
				Submit

Note: If you leave any fields blank in the **Setup Administrator** window, PolicyTech fills them in with information from the administrator record of the **DemoData** database that is included with the PolicyTech application.

5. After the new database is created, you will see the following window. Click the **Click here to log in** button.

Connection Settings	Back Up Database	Restore Backup	Manage Backups	0
Setup Database				
	CONNECT			
	CONNECT	ION MADE SUC	-ESSFULLY	
		Click here to log in		

6. Type the administrator's user name and password, and then click Log in.

Backing Up a Database

If PolicyTech is installed on your organization's premises, you can perform a manual backup of the PolicyTech database at any time. Performing a manual backup is recommended before performing any operation, such as importing documents or merging departments, that could significantly alter existing data.

Note: If PolicyTech is hosted by NAVEX Global (is a SaaS instance), your database is automatically backed up nightly.

Backup Details and Considerations

Consider the following before performing a backup.

- Starting a backup immediately logs out all currently logged in users, including the user who started the backup, and prevents any users from logging in until the backup is completed. This is to prevent database corruption that could be caused by users performing certain operations while the backup is in progress. We highly recommend that you notify PolicyTech users and allow them adequate time to save their work and log out before you perform a database backup.
- A user who attempts to log in while a backup is in progress sees a "backup in progress" alert along with a progress bar.
- When a backup starts, PolicyTech lets Scheduler complete any tasks in progress, such as task notifications and automated syncs, before starting the backup.
- It is imperative that you use the Microsoft[®] SQL Server[®] database backup functionality to back up the database at set intervals. The **Back Up Database** feature in PolicyTech is not a replacement for regularly scheduled backups.
- There is an Advanced Settings option for backing up the core data only. This type of backup does not include documents and attachments. It is intended to help NAVEX Global Client Support technicians troubleshoot

PolicyTech issues without having to download stored documents. A core data backup does *not* lock out users while it is being performed.

Performing a Database Backup

- 1. (Optional but recommended) Notify all PolicyTech users that you are about to perform a backup and that they will be locked out of the system while the backup is in progress. Urge them to immediately save any work in progress and log out.
- 2. Click System Settings, click System / IT Settings, and then click Database Manager.
- 3. Click Back Up Database.

Connection Settings	Back Up Database	Restore Backup	Manage Backups		8
Database Manager					
SETUP DATABASE					•
Microsoft SQL Server (1	with Support for Non-Latin	Character Sets)		~	

4. An alert appears explaining that all users will immediately be logged out and locked out of the system as soon as you start the backup. The alert also includes an **Advanced Settings** option. Do one of the following:

Back Up Database	×
WARNING: If you proceed, all users logged out of the system, unless yo backup only. The users will not be until the backup is complete. We h sending your users a notification to this function. Click OK to continue	ou perform a core able to log in again ighly recommend o log off prior to using
Advanced Settings	Cancel

- When you're sure you're ready to continue with a full database backup, click OK.
- To perform a core-only backup (as instructed by a Client Support technician), click Advanced Settings, select Create "Core Data Backup" only, and then click OK.

A progress bar is displayed showing backup status.

Back Up Database		×
	18 of 74 tables backed up.	

Note: Depending on the size of your database, the backup could take anywhere from several minutes to several hours complete.

5. When the backup process has finished, click **Close**. The backup file is then accessible in **Restore Backup** (see <u>Restoring a Backup</u>) and **Manage Backups** (see <u>Managing Backups</u>).

Aborting a Backup

Any user assigned the Administrator permission for all sites (a global administrator) and any user assigned the System / IT permission can abort a backup in progress.

- 1. Do one of the following:
- If you initiated the backup, you should currently see a progress bar displayed. Refresh the page to display a window similar to the following.

	POLICYTECH [™] Policy & Procedure Management
A ba	ckup is in progress
lf you ha current l	ave administrative privileges, you may abort the backup.
	Click to Abort
	34 of 74 tables backed up.

- If you did not initiate the backup, then access the PolicyTech login screen as you normally would. You should see a window similar to the one above.
- 2. Click Click to Abort, and then click OK.
- 3. In the login screen type your user name and password, and then click **Log** in.

4. A message is displayed confirming that the backup has been aborted. Click **Continue** to display the PolicyTech home screen.

Restoring a Backup

Consider the following before restoring a database backup:

- When you restore a backup, it completely replaces the current database with the backup version. Be certain this is what you want to do before starting a backup. Any data added or changed between the time the backup was made and the time when you restore the backup will be lost.
- If your PolicyTech site is hosted by NAVEX Global, you can have both manual backups created with the **Back Up Database** feature in PolicyTech and nightly SQL Server[®] backups created automatically by NAVEX Global. The Restore Backup feature is for restoring manual backups. If you need to restore a nightly backup, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.
- To restore a backup that you've downloaded to a local drive, you must upload it back into PolicyTech first. See <u>Managing Backups</u>.

To restore a backup:

- 1. Click System Settings, click System / IT Settings, and then click Database Manager.
- 2. (Optional but recommended) Back up the database in its current state before restoring an older backup (see <u>Backing Up a Database</u>).
- 3. Click Restore Backup.

Connection Se	ttings Back Up Database	Restore Backup	Manage Backup	s	6
Database Bac	kups				
	Name		Date		File size
Restore	PPM_10_18_2018.pmb		10/18/2018	10.600.1	5.80 MB
Restore	PPM_10_16_2018_2.pmb		10/16/2018	10.600.1	5.69 MB
Restore	PPM_10_16_2018.pmb		10/16/2018	10.600.1	5.69 MB
Restore	PPM_10_15_2018.pmb		10/15/2018	10.600.1	0.05 MB
Restore	PPM_09_17_2018.pmb		9/17/2018	10.600.1	1.65 MB

4. For the backup you want to restore, click **Restore**, click **Yes** to confirm , and then click **Yes** again to clear the message recommending a database backup.

As the restoration is in process, you'll see a window similar to the following:

Restore I	Database with Backup	×
	13 of 74 tables restored.	

5. When the database is completely restored, the login window is displayed. Log in as you normally would.

Note: If the backup was created using a previous PolicyTech software version, once the restore is completed you'll see another progress bar while the database is upgraded to the current version.

Managing Backups

If your PolicyTech site is hosted by NAVEX Global, you can have two types of backups to manage—manual backups that you can perform anytime from within PolicyTech (see <u>Backing up a Database</u>) and nightly backups performed automatically in the NAVEX Global hosted environment. It's important to understand that the file format of the two backup types are different. Manual backups are stored in native PolicyTech database (.pmb) format, while nightly backups are done using Microsoft[®] SQL Server and are stored in SQL Server database (.bak) format.

If your PolicyTech site is installed on your organization's premises, the **Manage Backups** feature in PolicyTech lets you manage manual backups only.

Managing Manual Backups

- 1. Click System Settings, click System /IT Settings, and then click Database Manager.
- 2. Click Manage Backups.

anage B	аскирз				
	val Daaluura				
	ual Backups				
Select a b	oackup file below or right-click on	a backup for more opt	ions.		
Server Sp	ace: 36.1 GB free of 99.9 GB				
ø)	< 🛛 3 🖷				
	Filename		Modified	File Size	
Ľ	PPM_06_13_2018.pmb	6/13/2	2018 7:44:27 AM	2.04 MB	•
Ľ	PPM_09_11_2017_3.pmb	9/11/2	2017 10:51:14 AM	4.31 MB	
D	PPM_09_17_2018.pmb	9/17/2	2018 3:40:41 PM	1.65 MB	
	PPM_10_15_2018.pmb	10/15/	/2018 11:07:43 AM	49.75 KB	
Ľ	PPM_10_16_2018.pmb	10/16/	/2018 7:29:54 AM	5.69 MB	
	PPM_10_16_2018_2.pmb	10/16/	/2018 7:31:00 AM	5.69 MB	
Ľ	PPM_10_18_2018.pmb	10/18/	/2018 12:59:52 PM	5.8 MB	~
			Drop file(s) here	Browse Upl	oad

- 3. Do any of the following:
 - **Rename a backup:** Click a file, click 2, change the name, and then press Enter.
 - **Delete a backup:** Click a file, click \times , and then click **OK**.
 - **Download a backup:** Click a file, click \clubsuit , and then follow the system prompts.
 - Upload a previously downloaded backup: Do either of the following:
 - In Windows Explorer, find and select the backup (.pmb) file or files you want to upload, drag them over the file list area of the Manual Backups tab in PolicyTech, and then, when you see the area highlighted in green, drop the files and click Upload.

د ک	< 🔉 🗣		
	Name	Date modified	Size
			2.47 MB
æ	PPM_09_09_2016.pmb	9/9/2016 6:14:34 AM	2.63 MB
Ð	PPM_09_09_2016_2.pn	9/9/2016 6:18:18 AM	2.63 MB
æ	PPM_09_16_2014.pmb	9/16/2014 7:15:01 AM	19.16
Ð	PPM_10_09_2013.pr	op files here 10/9/2013 8:43:15 AM	14.53
Ð	PPM_10_09_2013_2.pmb	10/9/2013 10:26:31 AM	14.53
Ð	PPM_10_09_2013_3.pmb	10/9/2013 10:27:19 AM	14.53
Ð	PPM_10_09_2013_4.pmb	10/9/2013 10:36:01 AM	14.53 💂
		Drop files here	Browse Upload

• Click **Browse**, find and select backup (.pmb) files, click **Open**, and then click **Upload**.

Managing Nightly Backups (Hosted PolicyTech Sites Only)

For a hosted PolicyTech site, NAVEX Global keeps a total of 14 of the most recently generated SQL Server backup files, the most recent seven of which are listed in the **Nightly Backups** tab. If you have a need to save a nightly backup locally, you can download it while it is listed in**Nightly Backups**.

- 1. Click System Settings, click System /IT Settings, and then click Database Manager.
- 2. Click Manage Backups, and then click the Nightly Backups tab.
- 3. For the backup you want to download, click 📥.

Note: Nightly backups are SQL Server (.bak) files that cannot be restored using **Restore Backup** in PolicyTech. If you should ever need to have a nightly backup restored, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

System/IT Settings: Email Settings

PolicyTech uses your organization's email system to notify users that they need to take certain actions, such as reviewing, approving, or reading a document.

Note: Email must be set up correctly for the **Periodic Report Emails** feature to be available (see "Emailing a Report from a Saved Setup" in the User's Guide for details on this feature).

To set up email or change email settings,

1. Click System Settings, click System / IT Settings, and then click Email Settings.

Note: You may want to consult with your information technology (IT) person before setting up email.

Outgoing Mail	Bulk Mail Settings	Scheduler & Delivery	Error Reports	
OUTGOING MA	AIL SETTINGS (SMTP)	1	Disable	Most Notifications 📵
System Email Add	ress			
donotreply@polic	ytech.com			
URL to Program				
https:// .po	olicytech.com/			
Select Method for	Sending Emails from Poli	cyTech		
	-	cyTech		
Use client-ente	Sending Emails from Poli red mail server settings il server settings	cyTech		
Use client-ente Use NAVEX mail	red mail server settings il server settings	cyTech		
Use client-ente	red mail server settings il server settings	cyTech		
Use client-ente Use NAVEX ma SMTP Server / Port	red mail server settings il server settings t	cyTech		25
Use client-ente Use NAVEX ma SMTP Server / Port	red mail server settings il server settings	cyTech		25
Use client-ente Use NAVEX ma SMTP Server / Port	red mail server settings il server settings t	cyTech		25
Use client-ente Use NAVEX ma SMTP Server / Port My server requ	red mail server settings il server settings t	-		25
Use client-ente Use NAVEX ma SMTP Server / Port My server requ	red mail server settings il server settings t	-		25
Use client-ente Use NAVEX ma My server / Port My server requ TEST OUTGOIN	red mail server settings il server settings t	-		25 Save and Test
Use client-ente Use NAVEX ma My server / Port My server requ TEST OUTGOIN	red mail server settings il server settings t	-		
Use client-ente Use NAVEX ma My server / Port My server requ TEST OUTGOIN	red mail server settings il server settings t	-	Cance	Save and Test

- 2. Refer to the following sections for details on each tab of settings:
 - Outgoing Mail
 - Bulk Mail Settings
 - Scheduler & Delivery
 - Error Reports
- 3. Click Save.

Outgoing Mail

These setting provide PolicyTech with the information necessary to send outgoing mail through your organization's email system.

Outgoing Mail	Bulk Mail Settings Scheduler & Delivery	Error Reports
OUTGOING M/	AIL SETTINGS (SMTP)	Disable Most Notifications 🜖
System Email Add	ress	
donotreply@polic	ytech.com	
URL to Program		
https:// .po	olicytech.com/	
SMTP Server / Port	t iires authentication	25
	NG MAIL SETTINGS ()	
Email Address		
Email Address		Save and Test

Outgoing Mail Settings (SMTP)

Disable Most Notifications. Select this option to block the sending of task notification emails. This option is typically used only when installing and setting up the PolicyTech system or when using **Bulk Edit**.

Important:

- When Disable Most Notifications is selected, tasks will continue to be added to each user's My Tasks list, but no task notification emails will be queued. In other words, reactivating task notifications will not send emails for tasks created while task notifications were disabled.
- Selecting Disable Most Notifications also disables the Periodic Report Emails feature (see "Emailing a Report from a Saved Setup" in the User's Guide for details on this feature).

System Email Address. What you enter here will appear as the sender on all PolicyTech notifications when the **Send Task Alerts From** setting is **System Email Address** (see "Send Task Alerts From" below). To allow replies to these notifications, type the email address of someone within your organization, such as an administrator. To prevent replies, use a nonworking email address, such as noreply@mycompany.com. Whatever you type must be in a valid email format.

URL to Program. The URL to the PolicyTech program is automatically filled in upon installation. Do not change the URL unless PolicyTech has been moved to a different server since installation.

Note: If PolicyTech is installed on your organization's premises and you move a Policy Tech database to a training or development test site, be sure to modify URL to the program so that links connect with the correct site and do not attempt to connect with the live, originating database. Include the server name (as opposed to the IP address) in the URL. For example, if the PolicyTech server name were ptappsrvr, then the URL to the program would be http://ptappsrvr/ (be sure to include the trailing forward slash). If PolicyTech is configured on a port other than 80, then include the correct port number in the URL (for example, http://ptappsrvr:8080/).

Send Task Alerts From. You can choose to have the sender on all PolicyTech email notifications be the system email address (see "System Email Address" above), or the owner of the document or questionnaire that the notification is about.

Select Method for Sending Emails from PolicyTech. These options apply only if your system is hosted by NAVEX Global. By default, notification emails are generated using an SMTP mail server located in the NAVEX Global hosting center. To switch to using your organization's SMTP mail server, click **Use client-entered mail server settings**, and then enter the appropriate server and port information.

SMTP Server / Port. (You may need to contact your IT professional for the following information.) Enter your organization's SMTP server name and port number. If applicable, select **My server requires authentication**, and then provide the login information.

Important: The server and port settings apply only if your PolicyTech system is installed on your organization's premises or, if your PolicyTech system is hosted by NAVEX Global, you select **Use client-entered mail server settings** (see **Select Method for Sending Emails from PolicyTech** above).

Test Outgoing Mail Settings

To make sure the email settings are correct, type your email address in the **Email Address** box, and then click **Save and Test**. Check your email inbox after a few minutes to see if the message was successfully sent.

Bulk Mail Settings

Use the **Bulk Mail Settings** tab to enable and disable two different methods— **Bulk Mailer** and **Distribute by BCC**—for controlling the email processing load on the PolicyTech server.

Outgoing Mail	Bulk Mail Settings	Scheduler & Delivery	Error Reports	0
Use Bulk Mai	iler			
EMAIL LOAD	SETTINGS			
Mail Threads Us	ed by PolicyTech			
1				
Messages per In	terval			
100				
Messages per Qu	ueue File			
100				
Distribute Bu	lk mail by BCC			
Recipient Name				
Policy Manager	Readers			
Recipient Addre	22			
			Back Cancel Save	Next

Use Bulk Mailer

This option turns **Bulk Mailer** on and off. It is selected (on) by default upon installation.

With **Bulk Mailer** enabled, instead of most generated emails being sent immediately to the mail server, they are put in a queue file and sent in bulk each time **Scheduler** runs. This method can greatly enhance performance for end users by balancing the load on the PolicyTech server between notification processing and end user processes.

Important:

- Bulk Mail works only if Scheduler is running (Disable Task Notifications option is not selected) and if you've entered valid <u>Outgoing</u> <u>Mail</u> settings.
- For the majority of organizations, the default settings provide efficient email delivery. We therefore recommend keeping the default settings—at least initially. If you find that messages are backing up in the queue and are not being delivered quickly enough, we recommend contacting Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123 to talk about your particular configuration and get recommendations as to how to modify the **Bulk Mail** settings.

Email Load Settings

Mail Threads Used by PolicyTech. The number entered here determines the number of processing threads, and therefore the number of emailing processes, that will run simultaneously. The default setting is 1.

Important: Increasing the number of processing threads could result in the emailing processes delivering more emails than the mail server can handle.

Messages per Interval. This setting determines how many emails from the queue will be processed and sent to the mail server each time **Scheduler** runs, which is once per minute. The default setting is 100.

Messages per Queue File. This setting determines the maximum number of emails a queue file can contain before PolicyTech creates another one.

Distribute Bulk mail by BCC

You can enable this feature if you find you need even better email processing performance than that provided by **Bulk Mailer** alone. When PolicyTech sends the same message to multiple recipients, such as when a document is published and there are many users assigned to read it, it creates and processes a separate message for each recipient. When you enable **Distribute Bulk mail by BCC** (blind carbon copy), one message is created and processed by the PolicyTech server, and then the mail server does the work of sending the message as BCC emails to all recipients. We highly recommend using this option in medium and large (enterprise) organizations.

Important: Using this setting removes PolicyTech's ability to capture information about undelivered emails and makes the Email Bounce Backs by Document report no longer useful.

Recipient Name. The name you enter here will be the name users see in the **From** field of each BCC message.

Recipient Address. Each message will be sent to this email account each time scheduler processes messages to be sent by BCC.

Note: If the email server is configured to require valid send addresses, the email address you enter for **Recipient Address** must be in a valid. Otherwise, you can enter any value in that field to avoid messages piling up in the recipient address inbox. Be aware, however, that because PolicyTech won't be able to deliver the message that a "delivery failed" message will be sent to the PolicyTech system email address.

Scheduler & Delivery

The PolicyTech Scheduler does the work of sending queued task notification emails to the SMTP server defined in the **Outgoing Mail** tab. The **Scheduler & Delivery** tab shows the status of **Scheduler**, including the number of messages pending and failed, the last and next task summary notification time, and the last and next overdue task notification.

Outgoing Mail	Bulk Mail Settings	Scheduler & Delivery	Error Reports	0
SCHEDULER S		-		
Last Run-time: M	londay, 09/11/2017, 12:1	15		
Messages Pendir	ng : 0			
🖻 Clear Queue				
Messages Failed:	0			
🖻 Clear Queue 💡	C Retry Failed Messages	5		
Run Schedule	r			
View notification				
Corporate Headq	uarters 🗸			
TASK SUMMA	RY EMAILS (AVAIL)	ABLE ONLY IF SCHEE	OULER IS RUNNING)	
Last task summa	ary notification: Not Se	et		
Next anticipat	ted notification: Not Se	cheduled to be run.		
Last overdue ta	ask notification: Mond	ay, 09/11/2017, 12:00		
Next anticipat	ed notification: Tuesd	lay, 09/12/2017, after 12:00		
			Back Cancel Save Next	

You can perform the following actions in the Scheduler & Delivery tab:

- To delete any pending or failed messages, click Clear Queue.
- To reset failed messages so that Scheduler will try to send them again, click Retry Failed Messages.
- Click Run Scheduler to immediately start processing all pending messages.
- For View notification send times for, click the site whose Scheduler information you want to see.

Error Reports

The **Error Reports** settings let you specify who should receive error report emails for each site.

Outgoing Mail	Bulk Mail Settings	Scheduler & Delivery	Error Reports	6
Error Reports Se	ttings for			
System Default	~			
ERROR REPO	RT SETTINGS			
Send reports to				
NAVEX Globa	l PolicyTech Support			
Email Addres	s			
			Back	Cancel Save
			Dack	Caricer

- 1. For **Emails Reports Settings for** list, click **System Default** or a specific site.
- 2. Do one of the following to select an error report email recipient:
 - Click NAVEX Global PolicyTech Support to have the error reports sent to the Client Support department at NAVEX Global.
 - Click Email Address, and then type the address of the person or entity you want to receive error report emails.

Login Settings

In Login Settings, you can control authorized access to PolicyTech. Click System Settings, click System / IT Settings, and then click Login Settings.

Global Settings	Active Directory	Single Sign-on	SAML 2.0	PolicyTech Managed	e
LOGOUT/LOCK	JUT			Lock System	
Lockout user aft	er 0	login attem	pts		
Timeout lockout	after 0	minute(5)		
Require 0		second(s) between log	in attempts		
Enable "Keep me	e logged in" option on th	ie login screen 🔺 W	arning		
Logout users after	15	minutes of inactiv	ity		
ALLOWED IP RA Users IP Range(s) Public IP Range(s)	NGE 0				
LOGIN SCREEN	MESSAGE				
	(Font Size)	B I <u>U</u> 🌮	• A • 🔒	G	
Policy Tech Qualit	ty Assurance Tester Demo	o Data use only.			
- Designs 11774					
Design HTML					

Each tab in the **Login Settings** page contains a grouping of settings, each of which is described in the sections below.

Global Settings

Active Directory Settings

Single Sign-on Settings

SAML 2.0 Settings

Password Settings for PolicyTech-Managed Users

Global Settings

To change general settings that affect all users,

1. Click System Settings, click System / IT Settings, and then click Login Settings.

The Global Settings tab is displayed by default.

LOGOUT/LOCKOUT Lockout user after Lockout user after	Global Settings	Active Directory	Single Sign-on	SAML 2.0	PolicyTech Managed	(
Immout lockout after 0 minute(s) Require 0 second(s) between login attempts Enable "Keep me logged in" option on the login screen A Warning Logout URL ALLOWED IP RANGE ● Users IP Range(s) Public IP Range(s) CogIN SCREEN MESSAGE Image if	LOGOUT/LOCK	OUT			Lock System	
Require 0 second(s) between login attempts Enable "Keep me logged in" option on the login screen A Warning Logout users after 15 minutes of inactivity Logout URL ALLOWED IP RANGE ③ Users IP Range(s) Public IP Range(s) Image: Second Screen MESSAGE Policy Tech Quality Assurance Tester Demo Data use only. Design	Lockout user af	iter 0	login attem	npts		
□ Enable "Keep me logged in" option on the login screen ▲ Warning Logout users after 15 Minutes of inactivity Log out URL Allowed IP RANGE ③ Users IP Range(s) Public IP Range(s) LOGIN SCREEN MESSAGE Image:	Timeout lockou	it after 0	minute((5)		
Logout users after 15 minutes of inactivity Log out URL ALLOWED IP RANGE Users IP Range(s) Public IP Range(s) LOGIN SCREEN MESSAGE	Require 0		second(s) between log	gin attempts		
Log out URL ALLOWED IP RANGE Users IP Range(s) Public IP Range(s) LOGIN SCREEN MESSAGE View is is is is is is in the image of the ima	Enable "Keep m	ne logged in" option on th	he login screen 🔺 W	/arning		
ALLOWED IP RANGE Users IP Range(s) Public IP Range(s) LOGIN SCREEN MESSAGE Policy Tech Quality Assurance Tester Demo Data use only. Design HTML	Logout users after	15	minutes of inactiv	vity		
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- 2. In the Logout/Lockout area, do any of the following:
 - Click Lock System. If you want the system to automatically unlock after a certain time period, select Timeout lockout after, and then type a number of minutes.

Important: Locking the system only prevents new logins; it does not end the sessions of those who are already logged in.

When the system is locked, users see the following message when they attempt to log in:

• 5ys	tem Temporarily Locked. POLICYTECH Policy & Procedure Management
	Username
	Password
	•••••
	Language (Choose your language) English (English) Log in
	Forgot password?

 To guard against an unauthorized user trying to guess a user name and password, select Lockout user after, and then type a number of attempts.

Important: If a legitimate user is locked out by using the correct user name but an incorrect password, you can clear the lockout in **User Manager**. See <u>Clearing a User Lockout</u>.

- To guard against a malicious application attempting to guess login credentials, select **Require**, and then type a number of minutes a user has to wait after a failed login before the user can attempt logging in again.
- To keep a record of attempted logins, select Log login attempts.
- Select Enable "Keep me logged in" option on the login screen to give users the option to stay logged in even after closing the PolicyTech browser window, as long as they don't explicitly log out. A user selecting this option (shown below) upon login can then relaunch PolicyTech within the Login users after period (see next bullet item) without having to re-enter credentials.

	POLIC Policy & Proced			м
Username	9			
Password				
Keep) me logged in (ti	his is a priv	vate com	nputer)
Language	(Choose your	language)		
English	ı (English)		~	Log in
			Forgo	t password

 To help prevent unauthorized access when a user's computer is left unattended with the user logged in to PolicyTech, select Logout users after, and then type a number of minutes. The maximum allowed value is 999 (16 hours 39 minutes), and the minimum is 15.

Note: The Logout users after feature cannot be turned off.

- To redirect users to a specific web page when they log out from PolicyTech, in the Log out URL box, type, or copy and paste, the full web address.
- 3. In the **Allowed IP Range** area, you can type an IP range or ranges to restrict access to PolicyTech and to the **Public Viewer** (see <u>Purchase an</u> <u>Advanced Feature Module</u> for a description of this optional, separately purchased module). Then, only users whose computer IP addresses fall within the specified range can successfully log in to PolicyTech or access a document in the **Public Viewer**.

Use the following format:

X.X.X.X-X.X.X.X

To include multiple ranges, separate each range with a comma.

Note: You can also use the IPv6 format to designate ranges.

4. In the **Login Screen Message** area, type and format the message users will see each time they log in. Click the **HTML** tab to see how the message

will actually look when displayed on in a web browser.

5. Click Save.

Active Directory Settings

If your organization uses Microsoft[®] Active Directory[®] to manage network user accounts, you can configure PolicyTech to use Active Directory (AD) for the following purposes:

- Initial user import
- User list maintenance (daily synchronization)
- User login

Note: The alternatives to using AD to create and maintain the PolicyTech user list are to define and maintain users manually or to export a user list from another database and import that list into PolicyTech. For details, see <u>User</u> <u>Setup</u>.

Considerations

There are many factors to consider when deciding how to configure PolicyTech to connect to and use AD. Some of the more common considerations include the following:

- How much AD user information do you want pulled into PolicyTech user records?
- If AD doesn't include all of the user data needed for PolicyTech user definitions, do you want to import the missing information from another database (see <u>Importing Users from Another Database</u>) or possibly add it to AD before syncing?
- If users have already been defined in PolicyTech and any of those users also exist in AD, how do you ensure that the sync doesn't cause problems for those existing users?

Important: If users have already been defined in PolicyTech, please contact Customer Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123 so that a technician can walk you through the PolicyTech/Active Directory sync setup. This will help you avoid many possible issues that could result from syncing existing PolicyTech users with AD users. In addition, we highly recommend first configuring the AD sync on a test site with a restored backup of the production PolicyTech site, and then configuring the production site once you're sure the AD sync on the test site is working correctly.

- If a user is deactivated or deleted in AD, do you also want that user deactivated or deleted in PolicyTech?
- If you don't want all of the users in an AD domain synced with PolicyTech, how are you going to filter out those you don't want synced? Are the AD organizational units and containers set up in a way that accommodates efficient syncing of a specific set of users?
- Do you know which organizational unit in the AD hierarchy to access so that all of the users you want synced with PolicyTech are contained in that organizational unit or in the ones below it?
- Do you know which AD user credentials you're going to use to allow the PolicyTech sync process to access AD? Will you use a service account or a normal user?
- Will your PolicyTech site be required to use SSL to authenticate to AD and, if so, is SSL set up correctly on the server hosting PolicyTech?

If, after reviewing the considerations above and the steps below, you have any questions, please contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

How the Sync Works

Knowing how the AD sync works can help you make decisions about how to set it up and when to run it. The following process is performed for each user profile that PolicyTech pulls from each AD domain you specify.

- Attempt to match the AD GUID. PolicyTech users that are synced with AD users include an extra field of data in their PolicyTech user profile for storing the user's Globally Unique Identifier, or GUID, that is assigned by AD whenever an object is created. When you perform a sync, PolicyTech first checks to see if the AD user's GUID has already been added to a PolicyTech user profile.
 - If a matching GUID is found, the process skips to step 4 below.
 - If a matching GUID is not found, the process continues with step 2.

Note: Adding a GUID to a PolicyTech user profile can only be done by the AD sync feature. The GUID property is not available in the PolicyTech user profile in User Manager.

- 2. Attempt to match user names. If a matching GUID is not found, the sync next searches for a PolicyTech user name that is the same as the user logon name in the AD profile.
 - If a matching user name is found, the process skips to step 4.
 - If a matching user name is not found, the process continues with step 3.

3. **Create a new PolicyTech user.** If the sync finds no matching GUID or user name, it creates a new PolicyTech user and pulls at least the following properties from the AD user profile.

Note: Because these are the minimum required properties (except Domain) for creating a PolicyTech user, these properties are used regardless of whether or not they are enabled and mapped in the domain information you will later add in PolicyTech Login Settings.

PolicyTech User Property Added	From AD User Property
First Name	First name
Last Name	Last name
Username	User logon name (sAMAccountName)
Password	Random placeholder*
Unique Employee ID	AD GUID
Site	Mapped property in PolicyTech Login Settings [†]
Department	Mapped property in PolicyTech Login Settings [†]
Domain	Domain specified in PolicyTech Login Settings in the Organization Unit (OU) definition that included this user in the sync

*When AD sync is enabled, PolicyTech ignores whatever is stored in the Password field of the PolicyTech user profile and uses the password from the AD user profile instead. However, because the Password field is required, the sync places a random string in that field when creating a new user.

[†]When you later specify the AD domains to sync with PolicyTech, you will be required to specify a default site for adding new users and will have the opportunity to map AD user properties to PolicyTech user properties. If you choose not to enable and map the site and department properties, users added during a sync will be assigned to the specified default site and to a department called Unassigned Department.

4. If necessary, create a new job title, department, or site. If the PolicyTech job title, department, or site property is mapped for the sync, PolicyTech will compare the property value in the AD user profile to the existing PolicyTech job titles, departments, or sites.

- If the job title, department, or site already exists in PolicyTech, the process moves on immediately to step 5.
- If the job title, department, or site doesn't exist in PolicyTech, then PolicyTech creates a new job title, department, or site and names it with the value from the corresponding AD user property.
- 5. Update mapped properties.
 - If the sync found a matching user, it compares the properties from the AD user profile to any corresponding PolicyTech user properties that you chose to include in the sync. If any properties don't match, PolicyTech overwrites the information in the PolicyTech user property with the information from the mapped AD user property.
 - If the sync created a new user, in addition to the required properties listed in step 3 above, it adds any optional properties you chose to include in the sync.

Important: As you can see from the process description above, the PolicyTech/AD sync feature will create new users, job titles, departments, and sites if they don't already exist in PolicyTech. If you add or modify any of these objects manually in PolicyTech, make sure the site reference IDs, department reference IDs, job title names, or user names exactly match the names of the corresponding objects in AD. If the PolicyTech object name varies even by a single character, such **AVDept** vs. **AVDep**, a new, duplicate object will be created in PolicyTech when AD is synced.

Enter Domain and Organizational Unit Information

Important: If you're not familiar with the AD setup in your organization, be sure to consult with or have your IT specialist or network administrator present when you perform the following steps.

PolicyTech uses the information you enter in the Domain Information form to communicate with AD and perform the user sync. This information is divided into three sections: Connection Settings, Synchronization Mapping, and Remote Domain.

Connection Settings

- 1. Click System Settings, click System / IT Settings, and then click Login Settings.
- 2. Click the Active Directory tab, and then click Add Domain.

≡	POLICYTECH Policy & Procedure Management	LOGIN SETTINGS					💄 Douglas Johnson 🔻
	Home		ive Directory	Single Sign-on	SAML 2.0	PolicyTech Managed	^ ۲
- 626	My Dashboard	~					
D	Documents	DOMAINS					Add Domain
i ≡	Questionnaires	Enabled Name					Edit
Ø	My Tasks	D ptech					1
Lad	Reports						
٠	System Settings	AUTOMATED USER S		ION			Synchronize Now
	Company Setup	Activate Synchronizatio Daily Synchronization Tim					
	Third-Party Setup	12:00 PM					
	User Setup	HH:MM am/pm Based on sy	ystem-wide time zo	ne. 🕄			
	Document Setup	V Notification Email Addres	ses				
	System / IT Settings	comma delimited list					
	Registration Info	Synchronization Queue Le	nath				
	Check for Updates	50	engui				
	Database Manager	Restore Archived Users					
	Email Settings	Archive Users Not in Sy	/nc 🚯				
	Login Settings	INTEGRATED AUTHE					
	Language Files	URL to Program		DOLE			

You'll see one of the following messages, depending on whether your PolicyTech system is hosted by NAVEX Global (first message) or installed on your organization's premises (second message).

WARNING!
Improper configuration can create DUPLICATE USERS or lead to other significant, irreversible results! Please exercise extreme caution.
Continue
Back Up Database 🗶
Improper configuration can create DUPLICATE USERS or lead to other significant, irreversible results! Please exercise extreme caution. You may refer to the
following instructions on backing up your database. It is highly recommended that you back up the database before proceeding.

- 3. Do one of the following:
 - If your PolicyTech system is hosted by NAVEX Global, click **Continue**.
 - If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 and 2 above. Then, on this step, click Continue.

4. For **Domain**, type the name of a domain containing at least some of the users you want synced with PolicyTech.

Note: The domain name you type is only for identifying this domain definition in the PolicyTech **Domains** list. The actual distinguished domain name will be specified later when you add organizational units.

Domain Information				×
CONNECTION SETTINGS			SYNCHRONIZATION MAPPI	NG
Domain	Port		Enabled	AD Property
	389		First Name	givenName
Authorized User	Password		Middle Name	initials
			✓ Last Name	sn
Require SSL	Authentication Type		🗹 Email	mail
	⊖ Basic ● NTLM		Job Title	title
			Department Reference ID	department
Site to Add Users			Site Reference ID	company
			Manager	manager
Add Organizational Unit (OU)		Delete Selected		
Organizational Unit (OU)		Edit		
None Found		A		
		*		
Test Connection				
REMOTE DOMAIN				
Connection URL				
Enabled				Cancel Save

5. You now need to provide PolicyTech with the credentials of a user within the specified domain. We recommend creating a service account user within the domain to be used specifically for the purpose of enabling PolicyTech to log in to the domain with that user's credentials. The authorized user you create can be a simple user (does not need to be an administrator) with read access for all domain users and must be a member of the organizational unit that you'll be designating shortly.

Important: The authorized user should not be required to periodically change the account password, because the AD syncing capability in PolicyTech would be disabled as soon as the password expired. Someone would then need to change the AD password and update the authorized user password in PolicyTech.

- 6. Type the authorized user's name and password.
- 7. (Optional) An SSL (Single Sockets Layer) connection is not typically required between the PolicyTech website and the domain controller, but if

the domain controller has been set up with a certificate to enable SSL, then you can select **Require SSL** to add a more sophisticated layer of encryption when the authorized user name and password are sent from PolicyTech to the domain controller.

Important:

- If Require SSL is selected and SSL has not been enabled on the domain controller, the user sync will fail and users will not be able to log in to PolicyTech using AD credentials.
- This option is NOT for configuring SSL for HTTP (not for enabling HTTPS).
- 8. For Authentication Type, select NTLM or Basic.

Note: NTLM is the native Microsoft[®] authentication protocol and encrypts the user name and password as it is being sent. Basic authentication does not encrypt the user name and password and should be selected only if you have a specific need for doing so.

- 9. Select the PolicyTech site where you want AD users added and synced.
- 10. You must now set up at least one organizational unit (OU) for the specified domain (you can designate up to 10 OUs per domain). You can filter out unwanted users by selecting specific groups within the OU. PolicyTech will import and sync only those users that meet the filter conditions.

Click Add Organizational Unit (OU).

Domain Information	
CONNECTION SETTINGS	
Domain	Port
ptech	389
Authorized User	Password
rc@ptech.ts	•••••
Require SSL	Authentication Type
	Basic
	Intermediate In
Site to Add Users	
Corporate Headquarters \vee	
Add Organizational Unit (OU)	
Organizational Unit (OU)	
1 ou=technical services,dc=ptech,dc=ts	
Test Connection	

11. Type the OU's LDAP distinguished name that uniquely identifies it within AD. See <u>About LDAP Distinguished Names</u> below for details.

Add Organizational Unit (OU)	×
Organizational Unit (OU) ou=Users,dc=companyname,dc=com	
Filter String	
(&(objectCategory=person)(objectClass=user)(!(userAccountControl:1.2.840.113556.1.4.803:=2)) (samaccountname=\$logon))	
	1
✓ Include Child OU's	
Cancel	ave

12. A filter string is included by default that returns only those AD users who are currently active. If desired, you can modify the filter string to further restrict

returned users. See Filtering by Group Membership below for details.

13. **Include Child OU's** is selected by default, meaning that if the OU you specify contains other OUs, the users from those child OUs will also be synced. If you want only the OU specified and none of its child OUs included, click to clear the check box.

Important: The **Include Child OU's** option will NOT include sibling (parallel) or parent OUs.

- 14. Click Save.
- 15. In the **Organizational Unit (OU)** list, click the OU you just added, and then, below the list, click **Test Connection** to make sure all connection settings work.

Note: This tests all connection settings, including the user name and password you typed and the new OU definition.

16. (Optional) Repeat the steps above to add other OUs (up to 10 total).

Important:

- Each OU you add runs as a separate LDAP query. Thus, the fewer OUs you add, the better the sync performance. For optimal performance, we recommend specifying the domain root as the only OU and then using a filter string to include or exclude specific user groups.
- If you add multiple OUs, they must all be from the same domain.
- 17. Continue with the steps in the Synchronization Mapping section below.

About LDAP Distinguished Names

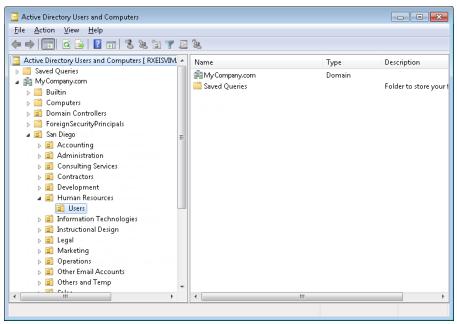
An LDAP distinguished name (DN) consists of a string of relative distinguished names (RDNs) separated by commas. In turn, an RDN consists of an attribute name followed by an equal sign and an object name. Which attribute precedes each object name depends on the object type: CN stands for common name; OU stands for organizational unit name; and DC stands for domain component (a domain name usually contains multiple components separated by periods, such as Sales.South.com).

LDAP Distinguished Name (DN)

The order of the RDNs within the DN is from the lowest level object name (CN=Users in the example above) to the domain root (DC=MyCompany,DC=com in the example above). Both OUs and containers—which are designated with the CN attribute—can contain users, so

you need to make sure you use the correct attribute in each RDN. In an AD tree, objects with a plain folder icon (iii in Windows Server 2012 or 2008; iii in Windows Server 2003) are containers and must use CN, while objects with a folder that has a user profile icon (iii in 2008 and 2012) or book icon (iiii in 2003) superimposed are organizational units and must use the OU attribute.

For example, let's say that you want to add the Users OU selected in the AD tree shown below.



You would type the following DN:

OU=Users,OU=Human Resources,OU=San Diego,DC=MyCompany,DC=com

If you want to include all users in the San Diego OU, you would type the following and make sure that **Include Child OU's** were selected:

OU=San Diego,DC=MyCompany,DC=com

Filtering by Group Membership

Important: Providing a complete explanation of LDAP filters is not within the scope of this guide. The information below shows how to use some common methods for filtering by group.

The default filter when you add an OU is as follows:

```
(&(objectCategory=person)(objectClass=user)(!
(userAccountControl:1.2.840.113556.1.4.803:=2))
(sAMAccountName=$logon))
```

The ampersand (&) is an AND operator that returns only those results that match all of the filters that follow it. The exclamation point (!) is a NOT operator that filters for the opposite of the filter following it. In plain English, the complete

filter string above says to filter for AD objects that meet all of the following conditions:

- Are assigned to the person category
- Are assigned to the user class
- Are not disabled (the specified userAccountControl setting does not equal 2)

Note: The last filter (sAMAccountName=\$logon) is a specialized filter required by the PolicyTech application, and \$logon is a PolicyTech code variable.

Now, suppose you wanted to include all users who were members of the Researchers group, which belonged to the Users OU in the MyCompany.com domain. You would add the following to the end of the filter immediately inside the outermost right parenthesis:

(memberOf=CN=Researchers,OU=Users,DC=MyCompany,DC=com)

So, the complete filter string would look like the following:

(&(objectCategory=person)(objectClass=user)(! (userAccountControl:1.2.840.113556.1.4.803:=2)) (sAMAccountName=\$logon)

(memberOf=CN=Researchers,OU=Users,DC=MyCompany,DC=com))

To specify more than one group in the same filter, use the pipe symbol (|, which is the OR operator) and enclose each **memberOf** filter in parentheses, as shown in the filter string below:

```
(&(objectCategory=person)(objectClass=user)(!
(userAccountControl:1.2.840.113556.1.4.803:=2))
(sAMAccountName=$logon)(|
(memberOf=CN=Researchers,OU=Users,DC=MyCompany,DC=com)
(memberOf=CN=Delevelopers,OU=Users,DC=MyCompany,DC=com)))
```

Additional filter notes:

- AD is said to be case aware but case insensitive. Case aware means that if you use mixed case in something like an object name, AD will store the name exactly as you typed it. And case insensitive means that AD interprets lowercase letters the same as their uppercase counterparts for search and filter strings. For example, AD interprets DC=MyCompany and dc=mycompany as the same value.
- If you decide to filter by groups, we recommend setting Organization Unit (OU) to the domain root (such as DC=MyCompany,DC=com) rather than an OU within the domain and then exclusively using groups to filter users.
- Nesting of groups is NOT supported. If an LDAP query includes a nested group, only those users in the top-most group will be filtered (included or excluded).

- After making changes to an existing OU filter, be sure to test that OU's connection again in the **Domain Information** window.
- If you decide to test an LDAP filter string by doing a custom search in Active Directory Users and Computers, you will need to either temporarily remove the (sAMAccountName=\$logon) filter from the string or change the \$logon value to * (to select all account names).
- If, after syncing AD users, a user who did not match the filter criteria tries to log in to PolicyTech, that user will see a message stating that the user name and password are invalid.

Synchronization Mapping

In the Synchronization Mapping area of the Domain Information window, you can tell PolicyTech what information you want pulled from this domain's user profiles into PolicyTech user profiles. PolicyTech will import the user profiles initially and then keep the user properties you specify in sync with their corresponding AD properties.

Important:

- The sync is a one-way, read-only process. PolicyTech never changes user properties in AD.
- We recommend that you re-read the <u>How the Sync Works</u> section above before deciding which properties to map.
- If you've manually created a user in PolicyTech prior to the initial AD sync, the only way to avoid creating a duplicate user when you perform the initial sync would be to add and enable that user's domain in PolicyTech and then assign the user to that domain in PolicyTech User Manager. If, and only if, the user's AD logon name matches that user's PolicyTech user name, then performing the initial sync will update that user's existing user profile in PolicyTech instead of creating a new (duplicate) user.
- If you've added custom attributes, (see <u>Custom Attributes</u>), those will also appear in the **Synchronization Mapping** list.

In the **Synchronization Mapping** area of the **Domain Information** window, PolicyTech user properties are listed in the **Enabled** column and AD user properties in the **AD Property** column.

1. To enable the syncing of a user property, select it.

		×
	SYNCHRONIZATION MA	PPING
	Enabled	AD Property
	🗹 First Name	givenName
	V Middle Name	initials
	🔽 Last Name	sn
	Email	mail
~	☑ Job Title	title
	Department Reference ID	department
te Selected Edit	Site Reference ID	company
/	Manager	manager

2. Check the default AD property to make sure that is the property source you want. If not, type a different AD property using its LDAP attribute name.

Remote Domain

If your PolicyTech system is hosted by NAVEX Global or your Active Directory service is on a different network than the PolicyTech server, you will need to provide a URL to a web page that can pass the information between PolicyTech and Active Directory. For hosted systems, this URL is filled in by an implementation specialist during installation.

If necessary, type a URL in the Remote Domain area.

(Optional) Set Up and Activate Automated Synchronization

If you want the PolicyTech user database to automatically be synced with Active Directory users, see <u>Automated User Synchronization</u>.

(Optional) Set Up Integrated Authentication

Important: The **Integrated Authentication Module** settings apply only if PolicyTech is installed on your organization's premises. If PolicyTech is hosted by NAVEX Global, contact Customer Support at 888-359-8123 (tollfree in the U.S. and Canada) or 208-359-8123 for help in setting up Single Sign-On or using SAML for user authentication.

You can have Active Directory users automatically authenticated for using PolicyTech as soon as they log on to the network. This means that they can open PolicyTech without being required to enter a user name or password. This

capability is built into and installed with PolicyTech—you need only provide the correct URLs to activate it.

URL to Program. Type the URL, including the including the scheme (http:// or https://), used to access your installation of the PolicyTech program. The program URL is typically in the format http://[company name].policytech.com.

Authentication URL. Type the same URL you typed for URL to Program and append /ADAuth/, as in the following example: http://mycompany.policytech.com/ADAuth/

Note: If AD users click **LOG OUT** in PolicyTech or if their PolicyTech session times out, they will be presented with the login screen. At that point, they can either simply refresh the web page or type their AD credentials, select the correct domain, and then press Enter.

Save Active Directory Settings

When you're finished setting up AD sync, and whenever you make changes to the settings in the future, be sure to click **Save**.

Single Sign-On Settings

If your organization has implemented a third-party single sign-on (SSO) application, you can configure PolicyTech to refer login attempts to this application. Then users who are logged in through the SSO application will not need to log in when launching PolicyTech.

1. Click System Settings, click System / IT Settings, and then click Login Settings.

Global Settings	Active Directory	Single Sign-on	SAML 2.0	PolicyTech Managed	
BASIC SETTINGS					
Encryption Type					
3DES					•
Private Key					
Private Key					
Private Key					
Private Key Authentication URL					
Authentication URL					
Authentication URL					
Authentication URL				Cancel	Save

2. Click Single Sign-on.

- 3. The default **Encryption Type** setting, is the Triple Data Encryption Algorithm (which is sometimes designated 3DES for applying the Data Encryption Standard (DES) cipher algorithm three times to each data block). Change this setting if your SSO application uses an Advanced Encryption Standard (AES) algorithm.
- 4. In the **Private Key**, **Authentication URL**, and **Cookie / URL Key** boxes, type the information necessary for PolicyTech to communicate with your SSO application.

Note: If you have any questions about **Single Sign-on** configuration, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

5. Click Save.

SAML 2.0 Settings

- 1. Click System Settings, click System / IT Settings, and then click Login Settings.
- 2. Click SAML 2.0.

If your organization exchanges user authentication information using SAML 2.0, type the necessary information in the form.

Note: Completing this form is not necessary if you're authenticating users by another method.

If you have questions contact your IT department or NAVEX Global Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

362 - System and IT Settings

Global Settings	Active Directory	Single Sign-on	SAML 2.0	PolicyTech Managed	0
IDENTITY PRO	VIDER				
Verification certi	ficate				
lssuer					
Sign-on URL					
Relay State Varia	ble				
RelayState					
Deep Linking					
SERVICE PROV	/IDER				
ACS URL					
nttps://jim.test.p	oolicytech.com/c/dotn	et/noautn/iogin.aspx			
Service Provider	D				
.policytech.com					
Clock Skew (minu	ites)				
5					
				Cancel	ave

Password Settings for PolicyTech-Managed Users

The **PolicyTech Managed** tab lets you control whether users can change their own passwords and the required complexity of passwords.

Important:

- These settings apply only if you are not using another method (Active Directory sync, single sign-on, or SAML) of controlling user authentication.
- If you need to reset a user's password, see <u>Resetting a User's Password</u>.
- If you need to clear a user lockout, see <u>Clearing a User Lockout</u>.
- 1. Click System Settings, click System / IT Settings, and then click Login Settings
- 2. Click PolicyTech Managed.

Global Settings A	Active Directory	Single Sign-on	SAML 2.0	PolicyTech Managed	Ø	
PASSWORD COM	IPLEXITY					
Require minimum of	0	characte	ers (0=no restrict	ion)		
Require minimum of	0	upperca	ise characters			
Require minimum of	0	special o	characters			
Require minimum of	0	numerio	characters			
PASSWORD CHA	NGING					
Require users to c	hange their passwor:	d every 0		day(s)		
Allow users to cha	ange password anytir	ne				
Keep record of the	e last 0	p	assword(s)			
Require all users t	to change originally a	ssigned password	s			
Require all users to ch	Require all users to change their password upon next login					
				Canc	elSave	

- 3. Make the desired changes in the **Password Complexity** and **Password Changing** areas (see the sections that follow for setting descriptions).
- 4. Click Save.

Password Complexity

Important: These settings apply only when not using Active Directory[®] integration and when settings in the **Password Changing** area are configured to allow users to change their own passwords.

Use these setting to increase the complexity of user passwords, thus increasing the difficulty of guessing a password. These settings apply only when users change their own passwords. They do not apply when you edit a user record in **User Manager**.

Note: Special characters are any standard keyboard characters besides letters and numbers.

Password Changing

Require users to change their password every [integer] days. Type the number of days after which each user's password expires.

Allow users to change password anytime. Unless this option is selected, users cannot change their own passwords.

Keep record of the last [integer] password(s). If you enter a number here, users will not be able to reuse a recently expired password when setting a new password.

Require new users to change their password upon first login. When you create a new user, you must include a password, and the new user must use that password to log in for the first time. Select this option to ensure that only users know their passwords.

Require all users to change their password upon next login. Click this option if you need a system-wide password reset.

Language Files

The PolicyTech default language is English. If you need to support other languages, you can either purchase a language file or create a custom language file and use your own resources to translate and replace the default English text.

Working with a Purchased Language File

Creating a Custom Language File

Working with a Purchased Language File

A fixed set of translated language files can be purchased and activated. You can purchase the fully translated (system-wide) version or a subset of translated user interface text called a reader core, which is designed to support only those users assigned to read documents.

Language Files Available for Purchase

The PolicyTech user interface text has already been translated into the following languages. Each language file is available in both a system-wide version and a reader core version.

- Arabic
- Chinese (simplified)
- Dutch
- French (European)
- German
- Italian
- Japanese
- Korean
- Portuguese (Brazilian)
- Russian
- Spanish (European)
- Spanish (Latin American)

You also have the option of having a language not on the above list translated for you. For pricing information or to place an order, contact Client Support using one of the following methods.

Customer Resource Center

Email: policytech@navexglobal.com

Toll-free: 888-359-8123 (in the U.S. and Canada)

Local: 208-359-8123

Activating a Language File

When you purchase a language file you will be given a new registration code. Simply submit the new code to activate the language file (see <u>Registration Info</u>).

Modifying a Purchased Language File

When you activate a purchased language file, a custom language file is automatically created that is linked to the purchased translation. This gives you the option of overriding any translated text with a different translation.

1. Click System Settings, click System / IT Settings, and then click Language Files.

POLICYTECH Policy & Procedure Management	LANGUAGE FILES	💄 Douglas Johnson 🔻
<pre> Home</pre>	+ Add a Language	
i≡ Questionnaires ✓	Current Translations	Import / Export
☑ My Tasks 15	English (English)	Import / Export
System Settings	Nederlands (Dutch) Français - France (French - France)	Import / Export
Company Setup V	Prançais - Prance (Penci - Prance) Deutsch (German)	Import / Export
Document Setup	Norsk - Bokmål (Norwegian - Bokmål) Polski (Polish)	Import / Export
System / IT Settings	 Español - España (Spanish - Spain) 	Import / Export
Check for Updates		
Database Manager		
Email Settings Login Settings		
Language Files		
Module Manager	Additional languages are available for purchase. Please contact Sales or Client Support	rt for more information.

2. Click the newly added custom language file to open it, and then see Editing <u>a Language File in PolicyTech</u> for further instructions.

Note: You can also export the language file to a Microsoft[®] Excel[®] file, edit it in Excel, and then import the changes. See <u>Editing a Language File in Excel</u> for details.

Creating a Custom Language File

You can create a new language file and add translated user interface text to it. You can also use this feature to modify the user interface text in the English language file or in a language file you've purchased. You can edit a language file directly within PolicyTech or export the file, edit it in Microsoft[®] Excel[®], and then import it.

Adding a Language Translation

Exporting a Language File

Editing a Language File in PolicyTech

Editing a Language File in Excel

Importing a Language File

Enabling or Disabling a Language

Adding a Language Translation

- 1. Click System Settings, click System / IT Settings, and then click Language Files.
- 2. Click Add a Language.

+ Add a Language					
Current Tr	anslations				
Enabled	Language	Import / Export			
0	English (English)	Import / Export			

3. For **Language Code** list, click a code (see <u>Language Code Tables</u>), and then click **OK** to clear the alert.

Edit Language	×
Language Code:	Native Name
Choose 🔻	
	Preferred Name
	Enabled Cancel Save

Note: Only one language file can be linked to any given language code. If a code has already been assigned to another language file, it will not appear in the **Language Code** list for this language file.

- 4. (Conditional) If your organization has purchased one or more language files, you'll also see a **Default Translation** option. Select the translation you want to use as the basis for this new language file.
- 5. In the **Native Name** and **Preferred Name** boxes, type the native and preferred versions of the language name. What you type here will appear in the **Language** menu available when users log in, as shown below, and in other document and preference settings.

Important: You can set the default language for both the entire organization (see <u>General Properties</u>) and for each site (see <u>Adding a Site</u>).

POLICYTECH Policy & Procedure Management	
Username	
Password	
Language (Choose your language)	
English (English)	Log in
English (English) Francaise (French) Français - Canada (French - Canada) Deutsch (German) Italiano (Italian) Español - Españo (Spanish - Spain)	t password?
	Policy & Procedure Management Username Password Language (Choose your language) English (English) Francaise (French) Francaise (French) Français - Canada (French - Canada) Deutsch (German)

- 6. Click Save.
- 7. Find text you need to translate or change. For details on the tools provided for locating text, see Finding Specific User Interface Text.

Edit Language									0	×
Language Code: fr-FR: French (France)	¥	Native Name Français - France		Show						*
Default Translation fr-FR: French (France)	v	Preferred Name French - France								
Area Filter	Text	Entries							•	F
M Arcese My Tasks Reports Notifications Generatings Components Document - Template - Bulk Editor		t Default Text		Translated Text						*
Workflow Other	Source									
	Generic	Item	1						-	Ţ
		Page 1 of 234 (4664 iten	ns)	≪ < [1]	2	3		234 >	>>	_
						V	Enable	Jump to Pag		ve

8. In the **Translated Text** column, type the translations of the default text. To keep a piece of default text, leave the corresponding **Translated Text** box empty.

Notes:

- The pieces of text (strings) listed in the boxes in the Current Default Text column are the original user interface text strings provided by PolicyTech. These strings cannot be directly edited. The boxes in the Translated Text column are where you can type the text that will replace the corresponding default text.
- Some default text contains content formatted with HTML tags, such as
 for a line break, and some default text contains variables.
 Variables are placeholders that are replaced automatically with specific information, such as a user name, when the text is displayed in the user interface. A variable is a number enclosed in percent symbols, such as %1%. You'll usually want to include these tags in the translated text as well.
- 9. (Optional) If you're ready to enable this language and make it selectable by users and administrators, at the bottom of the **Edit Language** window, select **Enabled**.
- 10. When you're finished adding translations, click **Save**, and then close the **Edit Language** window.

Finding Specific User Interface Text

PolicyTech provides the following tools to help find text strings that appear in the user interface.

Navigation

Navigate through the list by scrolling and moving from page to page. To display a different number of text strings per page, click , and click **Display Options**, and then click a number.

	•
Translated Text	Display Options 🔶
	20 v Entries Per Page
	Close

Area Filters

All text strings are listed by default. To show only those text strings for a specific user interface area, in the **Area Filter** tree, click that area.

Area Filter	Text B
All Areas My Tasks	Current
Reports Notifications System Settings Components Document - Template - Bulk Editor Workflow	:
Other	Cancel

Important:

- If you have been making changes to text strings in one area, click Save before switching to another area.
- A text string may be listed in multiple areas. Changes made to a text string in one area will be reflected it in all areas in which that text string is listed.

"Show" Filters

In the **Show** list, do one of the following:

- Click Untranslated to filter out all but those text strings whose corresponding Translated Text boxes are empty.
- Click System Text Modified Since Last Version to see only those default (original PolicyTech) text strings that were modified or added in the current PolicyTech version.
- Click All to reset the Show filter (the Area Filter is not affected).

	()
how	
All	~
All	
Untranslated	
System Text Modified Since Last Version	

Search

You can search for a specific text string in either the **Current Default Text** (the original text provided by PolicyTech) or in **Translated Text** (new text added in the box to the right of the default text).

Area Filter	Text Entries		4	ŧ
All Areas My Tasks Reports Notifications System Settings Components Cocument - Template - Bulk Editor Workflow	Current Default Text Save	Translated Text		-
Other	strong>Warning strong> Changes you made will cause Activate Case Creation to be disabled. Any current or future questionnaires will no longer create cases unless Activate Case Creation is reselected. strong-Year Year of the strong of the stro		▲] ▲	

Pop-up Help

To see in which user interface area (from those listed in the **Area Filter** tree) a text string is used, hover your cursor over \triangle .



Language Code Tables

The three tables below contain the same information, but each is sorted by a different column.

Sorted by Language Code

Sorted by Language Name

Sorted by Country or Region

Sorted by Language Code

Code	Language	Country or Region
af-ZA	Afrikaans	South Africa
ar-AE	Arabic	U.A.E.
ar-BH	Arabic	Bahrain
ar-DZ	Arabic	Algeria
ar-EG	Arabic	Egypt
ar-IQ	Arabic	Iraq
ar-JO	Arabic	Jordan
ar-KW	Arabic	Kuwait
ar-LB	Arabic	Lebanon
ar-LY	Arabic	Libya
ar-MA	Arabic	Morocco
ar-OM	Arabic	Oman
ar-QA	Arabic	Qatar
ar-SA	Arabic	Saudi Arabia
ar-SY	Arabic	Syria
ar-TN	Arabic	Tunisia
ar-YE	Arabic	Yemen
be-BY	Belarusian	Belarus
bg-BG	Bulgarian	Bulgaria
ca-ES	Catalan	Spain
cs-CZ	Czech	Czech Republic
da-DK	Danish	Denmark
de-AT	German	Austria
de-CH	German	Switzerland
de-DE	German	Germany
de-Ll	German	Liechtenstein
de-LU	German	Luxembourg

dv-MV	Divehi	Maldives
el-GR	Greek	Greece
en-029	English	Caribbean
en-AU	English	Australia
en-BZ	English	Belize
en-CA	English	Canada
en-CB	English	Caribbean
en-GB	English	United Kingdom
en-IE	English	Ireland
en-JM	English	Jamaica
en-NZ	English	New Zealand
en-PH	English	Republic of the Philippines
en-TT	English	Trinidad and Tobago
en-US	English	United States
en-ZA	English	South Africa
en-ZW	English	Zimbabwe
es-AR	Spanish	Argentina
es-BO	Spanish	Bolivia
es-CL	Spanish	Chile
es-CO	Spanish	Colombia
es-CR	Spanish	Costa Rica
es-DO	Spanish	Dominican Republic
es-EC	Spanish	Ecuador
es-ES	Spanish	Spain
es-GT	Spanish	Guatemala
es-HN	Spanish	Honduras
es-MX	Spanish	Mexico
es-NI	Spanish	Nicaragua
es-PA	Spanish	Panama

es-PE	Spanish	Peru
es-PR	Spanish	Puerto Rico
es-PY	Spanish	Paraguay
es-SV	Spanish	El Salvador
es-UY	Spanish	Uruguay
es-VE	Spanish	Venezuela
et-EE	Estonian	Estonia
eu-ES	Basque	Spain
fa-IR	Farsi	Iran
fi-FI	Finnish	Finland
fo-FO	Faroese	Faroe Islands
fr-BE	French	Belgium
fr-CA	French	Canada
fr-CH	French	Switzerland
fr-FR	French	France
fr-LU	French	Luxembourg
fr-MC	French	Principality of Monaco
gl-ES	Galician	Spain
gu-IN	Gujarati	India
hr-HR	Croatian	Croatia
hu-HU	Hungarian	Hungary
hy-AM	Armenian	Armenia
id-ID	Indonesian	Indonesia
is-IS	Icelandic	Iceland
it-CH	Italian	Switzerland
it-IT	Italian	Italy
ja-JP	Japanese	Japan
ka-GE	Georgian	Georgia
kk-KZ	Kazakh	Kazakhstan

kn-IN	Kannada	India
ko-KR	Korean	Korea
ky-KG	Kyrgyz	Kyrgyzstan
lt-LT	Lithuanian	Lithuania
lv-LV	Latvian	Latvia
mk-MK	FYRO Macedonian	Former Yugoslav Republic of Macedonia
mn-MN	Mongolian	Mongolia
mr-IN	Marathi	India
ms-BN	Malay	Brunei Darussalam
ms-MY	Malay	Malaysia
nl-BE	Dutch	Belgium
nl-NL	Dutch	Netherlands
nn-NO	Norwegian	Norway
pa-IN	Punjabi	India
pl-PL	Polish	Poland
pt-BR	Portuguese	Brazil
pt-PT	Portuguese	Portugal
ro-RO	Romanian	Romania
ru-RU	Russian	Russia
sa-IN	Sanskrit	India
sk-SK	Slovak	Slovakia
sl-Sl	Slovenian	Slovenia
sq-AL	Albanian	Albania
sv-Fl	Swedish	Finland
sv-SE	Swedish	Sweden
sw-KE	Swahili	Kenya
syr-SY	Syriac	Syria
ta-IN	Tamil	India
te-IN	Telugu	India

th-TH	Thai	Thailand
tr-TR	Turkish	Turkey
tt-RU	Tatar	Russia
uk-UA	Ukrainian	Ukraine
ur-PK	Urdu	Islamic Republic of Pakistan
vi-VN	Vietnamese	Viet Nam
zh-CN	Chinese	Simplified
zh-Hans	Chinese	Simplifited
zh-Hant	Chinese	Traditional
zh-HK	Chinese	Hong Kong
zh-MO	Chinese	Macau
zh-SG	Chinese	Singapore
zh-TW	Chinese	Traditional

RETURN TO TOP

Sorted by Language Name

Language	Code	Country or Region
Afrikaans	af-ZA	South Africa
Albanian	sq-AL	Albania
Arabic	ar-AE	U.A.E.
Arabic	ar-BH	Bahrain
Arabic	ar-DZ	Algeria
Arabic	ar-EG	Egypt
Arabic	ar-IQ	Iraq
Arabic	ar-JO	Jordan
Arabic	ar-KW	Kuwait
Arabic	ar-LB	Lebanon
Arabic	ar-LY	Libya
Arabic	ar-MA	Morocco
Arabic	ar-OM	Oman

Arabic	ar-QA	Qatar
Arabic	ar-TN	Tunisia
Arabic	ar-SA	Saudi Arabia
Arabic	ar-SY	Syria
Arabic	ar-YE	Yemen
Armenian	hy-AM	Armenia
Basque	eu-ES	Spain
Belarusian	be-BY	Belarus
Bulgarian	bg-BG	Bulgaria
Catalan	ca-ES	Spain
Chinese	zh-CN	Simplified
Chinese	zh-Hans	Simplifited
Chinese	zh-Hant	Traditional
Chinese	zh-HK	Hong Kong
Chinese	zh-MO	Macau
Chinese	zh-SG	Singapore
Chinese	zh-TW	Traditional
Croatian	hr-HR	Croatia
Czech	cs-CZ	Czech Republic
Danish	da-DK	Denmark
Divehi	dv-MV	Maldives
Dutch	nl-BE	Belgium
Dutch	nl-NL	Netherlands
English	en-029	Caribbean
English	en-AU	Australia
English	en-BZ	Belize
English	en-CA	Canada
English	en-CB	Caribbean
English	en-GB	United Kingdom

English	en-IE	Ireland
English	en-JM	Jamaica
English	en-NZ	New Zealand
English	en-PH	Republic of the Philippines
English	en-TT	Trinidad and Tobago
English	en-US	United States
English	en-ZA	South Africa
English	en-ZW	Zimbabwe
Estonian	et-EE	Estonia
Faroese	fo-FO	Faroe Islands
Farsi	fa-IR	Iran
Finnish	fi-FI	Finland
French	fr-CA	Canada
French	fr-BE	Belgium
French	fr-CH	Switzerland
French	fr-FR	France
French	fr-LU	Luxembourg
French	fr-MC	Principality of Monaco
FYRO Macedonian	mk-MK	Former Yugoslav Republic of Macedonia
Galician	gl-ES	Spain
Georgian	ka-GE	Georgia
German	de-AT	Austria
German	de-CH	Switzerland
German	de-DE	Germany
German	de-Ll	Liechtenstein
German	de-LU	Luxembourg
Greek	el-GR	Greece
Gujarati	gu-IN	India
Hungarian	hu-HU	Hungary

Icelandic	is-IS	Iceland
Indonesian	id-ID	Indonesia
Italian	it-CH	Switzerland
Italian	it-IT	Italy
Japanese	ja-JP	Japan
Kannada	kn-IN	India
Kazakh	kk-KZ	Kazakhstan
Korean	ko-KR	Korea
Kyrgyz	ky-KG	Kyrgyzstan
Latvian	lv-LV	Latvia
Lithuanian	lt-LT	Lithuania
Malay	ms-BN	Brunei Darussalam
Malay	ms-MY	Malaysia
Marathi	mr-IN	India
Mongolian	mn-MN	Mongolia
Norwegian	nn-NO	Norway
Polish	pl-PL	Poland
Portuguese	pt-BR	Brazil
Portuguese	pt-PT	Portugal
Punjabi	pa-IN	India
Romanian	ro-RO	Romania
Russian	ru-RU	Russia
Sanskrit	sa-IN	India
Slovak	sk-SK	Slovakia
Slovenian	sl-SI	Slovenia
Spanish	es-AR	Argentina
Spanish	es-BO	Bolivia
Spanish	es-CL	Chile
Spanish	es-CO	Colombia

Spanish	es-CR	Costa Rica
Spanish	es-DO	Dominican Republic
Spanish	es-EC	Ecuador
Spanish	es-ES	Spain
Spanish	es-GT	Guatemala
Spanish	es-HN	Honduras
Spanish	es-MX	Mexico
Spanish	es-NI	Nicaragua
Spanish	es-PA	Panama
Spanish	es-PE	Peru
Spanish	es-PR	Puerto Rico
Spanish	es-PY	Paraguay
Spanish	es-SV	El Salvador
Spanish	es-UY	Uruguay
Spanish	es-VE	Venezuela
Swahili	sw-KE	Kenya
Swedish	sv-FI	Finland
Swedish	sv-SE	Sweden
Syriac	syr-SY	Syria
Tamil	ta-IN	India
Tatar	tt-RU	Russia
Telugu	te-IN	India
Thai	th-TH	Thailand
Turkish	tr-TR	Turkey
Ukrainian	uk-UA	Ukraine
Urdu	ur-PK	Islamic Republic of Pakistan
Vietnamese	vi-VN	VietNam

RETURN TO TOP

Sorted by Country or Region

Country or Region	Code	Language
Albania	ar-AE	Arabic
Algeria	ar-DZ	Arabic
Argentina	es-AR	Spanish
Armenia	hy-AM	Armenian
Australia	en-AU	English
Austria	de-AT	German
Bahrain	af-ZA	Afrikaans
Belarus	be-BY	Belarusian
Belgium	nl-BE	Dutch
Belgium	fr-BE	French
Belize	en-BZ	English
Bolivia	es-BO	Spanish
Brazil	pt-BR	Portuguese
Brunei Darussalam	ms-BN	Malay
Bulgaria	bg-BG	Bulgarian
Canada	en-CA	English
Canada	fr-CA	French
Caribbean	en-029	English
Caribbean	en-CB	English
Chile	es-CL	Spanish
Colombia	es-CO	Spanish
Costa Rica	es-CR	Spanish
Croatia	hr-HR	Croatian
Czech Republic	cs-CZ	Czech
Denmark	da-DK	Danish
Dominican Republic	es-DO	Spanish
Ecuador	es-EC	Spanish
Egypt	ar-EG	Arabic

El Salvador	es-SV	Spanish
Estonia	et-EE	Estonian
Faroe Islands	fo-FO	Faroese
Finland	fi-FI	Finnish
Finland	sv-Fl	Swedish
Former Yugoslav Republic of Macedonia	mk-MK	FYRO Macedonian
France	fr-FR	French
Georgia	ka-GE	Georgian
Germany	de-DE	German
Greece	el-GR	Greek
Guatemala	es-GT	Spanish
Honduras	es-HN	Spanish
Hong Kong	zh-HK	Chinese
Hungary	hu-HU	Hungarian
Iceland	is-IS	Icelandic
India	gu-IN	Gujarati
India	kn-IN	Kannada
India	mr-IN	Marathi
India	pa-IN	Punjabi
India	sa-IN	Sanskrit
India	ta-IN	Tamil
India	te-IN	Telugu
Indonesia	id-ID	Indonesian
Iran	fa-IR	Farsi
Iraq	ar-IQ	Arabic
Ireland	en-IE	English
Islamic Republic of Pakistan	ur-PK	Urdu
Italy	it-IT	Italian
Jamaica	en-JM	English

Japan	ja-JP	Japanese
Jordan	ar-JO	Arabic
Kazakhstan	kk-KZ	Kazakh
Kenya	sw-KE	Swahili
Korea	ko-KR	Korean
Kuwait	ar-KW	Arabic
Kyrgyzstan	ky-KG	Kyrgyz
Latvia	lv-LV	Latvian
Lebanon	ar-LB	Arabic
Libya	ar-LY	Arabic
Liechtenstein	de-Ll	German
Lithuania	lt-LT	Lithuanian
Luxembourg	fr-LU	French
Luxembourg	de-LU	German
Macau	zh-MO	Chinese
Malaysia	ms-MY	Malay
Maldives	dv-MV	Divehi
Mexico	es-MX	Spanish
Mongolia	mn-MN	Mongolian
Могоссо	ar-MA	Arabic
Netherlands	nl-NL	Dutch
New Zealand	en-NZ	English
Nicaragua	es-NI	Spanish
Norway	nn-NO	Norwegian
Oman	ar-OM	Arabic
Panama	es-PA	Spanish
Paraguay	es-PY	Spanish
Peru	es-PE	Spanish
Poland	pl-PL	Polish

Portugal	pt-PT	Portuguese
Principality of Monaco	fr-MC	French
Puerto Rico	es-PR	Spanish
Qatar	ar-QA	Arabic
Republic of the Philippines	en-PH	English
Romania	ro-RO	Romanian
Russia	ru-RU	Russian
Russia	tt-RU	Tatar
Saudi Arabia	ar-SA	Arabic
Simplified	zh-CN	Chinese
Simplifited	zh-Hans	Chinese
Singapore	zh-SG	Chinese
Slovakia	sk-SK	Slovak
Slovenia	sl-Sl	Slovenian
South Africa	sq-AL	Albanian
South Africa	en-ZA	English
Spain	eu-ES	Basque
Spain	ca-ES	Catalan
Spain	gl-ES	Galician
Spain	es-ES	Spanish
Sweden	sv-SE	Swedish
Switzerland	fr-CH	French
Switzerland	de-CH	German
Switzerland	it-CH	Italian
Syria	ar-SY	Arabic
Syria	syr-SY	Syriac
Thailand	th-TH	Thai
Traditional	zh-Hant	Chinese
Traditional	zh-TW	Chinese

Trinidad and Tobago	en-TT	English
Tunisia	ar-TN	Arabic
Turkey	tr-TR	Turkish
U.A.E.	ar-BH	Arabic
Ukraine	uk-UA	Ukrainian
United Kingdom	en-GB	English
United States	en-US	English
Uruguay	es-UY	Spanish
Venezuela	es-VE	Spanish
Viet Nam	vi-VN	Vietnamese
Yemen	ar-YE	Arabic
Zimbabwe	en-ZW	English

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Exporting a Language File

To export a file containing a list of all the current default and translated text,

- 1. Click System Settings, click System / IT Settings, and then click Language Files.
- 2. Click Import / Export for the language file you want to export.

+ Add a Language				
Current Translations				
Enabled	Language	Import / Export		
0	English (English)	Import / Export		
0	Français - France (French - France)	Import / Export		
0	Deutcsh (German)	Import / Export		
Ø	Русский (Russian)	Import / Export		

4. Click All, Untranslated, or System Text Modified Since Last Version.

Import / Export Language File		8 ×
Language: fr-FR French - France (Français - F Import Language File	rance)	
	Browse	Import
Export Language File		
Text Entries	# c	of Entries
All	4	562
Untranslated	4	562
System Text Modified Since Last Version	0	
		Close

5. Follow the prompts to open or save the exported $Excel^{(R)}$ (.xls) file.

	A	В	С	D
1	Key (Do not edit this column)			
	LANG.NEW_VERSION_SURE	This will create a copy of the document and open it in Draft		
		status. When the new document is published, the current		
		version of the document will be archived. Are you sure you want to create a new version?		
2		sure you want to create a new version?		
3	LANG.HOME_SITE	Home Site		
4	LANG.ALERT	Alert		
5	LANG.CONFIRM	Confirm		
6	LANG.NOTIFICATIONS	Notifications		
7	LANG.WARNING_SIMPLE	Warning		
8	LANG.HELP	Help		
9	LANG.APPLY	Apply		
10	LANG.REAPPLY	Reapply		
11	LANG.SAVE	Save		
12	LANG.OK	ок		
13		Minimize		
14	LANG.COLON	:		
15	LANG.HYPHEN	-		
16		>		
17	LANG.COMMA	,		
18		%		
19		Percentage		
20		Accept		
21	LANG.CANCEL	Cancel		
	LANG.RESULTS	Results		

6. In the Import / Export Language File window, click Close.

Editing a Language File in PolicyTech

You can modify the text in the default **English (English)** language file or a language file you've added.

- 1. Click System Settings, click System / IT Settings, and then click Language Files.
- 2. Click the language file you want to edit.

Edit Language				8 ×
Language Code:		Native Name	Show	
en-US: English (United States)	Ŧ	English Preferred Name English	All	v
Area Filter	Text	Entries		0
All Areas My Tasks Reports Notifications System Settings Components Document - Template - Bulk Editor Workflow Other	The follo software product	t Default Text	Translated Text	
	Generic	: Item		▲ ▲
		Page 1 of 229 (4562 iten	ns) < [1] 2	3 229 >> >> Jump to Page 1
				Enabled Cancel Save

3. Make changes to the Language Code, Default Translation, Native Name, and Preferred Name settings as needed.

Important: If you need to change the language code, we highly recommend that you do this only when no users are logged in to PolicyTech in order to avoid possible errors with open documents.

Notes:

- Only one language file can be linked to any given language code. If a code has already been assigned to another language file, it will not appear in the Language Code list for this language file.
- The Default Translation option will only be available if additional languages have been purchased. See <u>Working with a Purchased a</u> <u>Language File</u>.
- 4. Find and edit text in the **Translated Text** column as necessary. For details on the tools provided for locating a text string, see <u>Finding Specific User</u> <u>Interface Text</u>.
- 5. Make changes to the found text string, such as translating it into another language or modifying it to be specific to your organization.

Important:

- You can include any valid HTML formatting tags in a Translated Text box. However, the <script>, <iframe>, and <form> tags are not supported.
- If the default text contains one or more variables, you can include those variables in the corresponding Translated Text box. Be aware that a

variable is specific to a default text string. In other words, the **%1%** variable in one default text box is not the same as the **%1%** variable in another. Also, if you include a variable in a **Translated Text** box that does not exist in the corresponding **Current Default Text** box, the variable name (such as **%1%**) will be displayed as plain text rather than being replaced by other information.

- (Optional) If the language file you're editing is not the English (English) file, you can modify the text in the Native Name and Preferred Name boxes.
- (Optional) If you're ready to make this language file available so users can select it as their language, select **Enabled**. Or, click to clear the check box to disable this language file (remove it from the language selection list in the **Personal Settings**, **Edit User**, and **Edit Site** windows, as well as in the **Bulk Permissions Editor**).
- 8. Click Save.

Editing a Language File in Excel

You can edit a language file outside of PolicyTech by first exporting it as a Microsoft[®] Excel[®] file (see Exporting a Language File for details).

1. In Excel, open the exported language file.s

	A	В	С	DE
1	Key (Do not edit this column)			
	LANG.NEW_VERSION_SURE	This will create a copy of the document and open it in Draft		
		status. When the new document is published, the current		
		version of the document will be archived. Are you sure you want to create a new version?		
2		sure you want to create a new version?		
3	LANG.HOME_SITE	Home Site		
4	LANG.ALERT	Alert		
5	LANG.CONFIRM	Confirm		
6	LANG.NOTIFICATIONS	Notifications		
7	LANG.WARNING_SIMPLE	Warning		
8	LANG.HELP	Help		
9	LANG.APPLY	Apply		
10	LANG.REAPPLY	Reapply		
11	LANG.SAVE	Save		
12		ОК		
13	LANG.MINIMIZE	Minimize		
14	LANG.COLON	:		
	LANG.HYPHEN	-		
16	LANG.GREATER_THAN_CHAR	>		
17	LANG.COMMA	,		
18		96		
19	LANG.PERCENTAGE	Percentage		
20		Accept		
21	LANG.CANCEL	Cancel		
	LANG.RESULTS	Results		

2. In the **Translated Text** column, add translations of the text in the **Current Text** column.

Important: Do not edit text in the **Key** or **Current Text** columns, or you won't be able to import the file. By default, all cells in the worksheet have the **Locked** setting selected, but the cells can still be edited unless you protect the worksheet. You may want to leave the cells in the **Key** and **Current Text** columns locked, unlock the cells in the Translated Text column, and then protect the worksheet. This will prevent unintentional changes in the **Key** and

Current Text columns. (Search for "lock cell" and "protect worksheet" in Excel **Help** if you need help.)

3. Save the file.

Note: You can name the file anything you want to. The **Import** feature only checks the data structure inside the file.

Importing a Language File

Important: A file you want to import should be created from editing an exported language file (see <u>Exporting a Language File</u>). In addition, a language file can only be imported into an existing PolicyTech language file. See <u>Adding Language Translations</u> for details on creating a language file.

- 1. Click System Settings, click System / IT Settings, and then click Language Files.
- 2. For the language file you want to replace with the imported file, click **Import** / **Export**.
- 3. Click **Browse**, find and select the file, and then click **Open**.
- 4. Click Import, and then, when the import has finished, click OK.

Import / Export Language File		Ø X
Language: fr-FR French (Français) Import Language File		
French_fr-FR_all.xls	Browse	Import
Export Language File		
Text Entries	# of	fEntries
All	389	0
Untranslated	389	0
System Text Modified Since Last Version	0	
		Close

5. Click Close.

Enabling or Disabling a Language

1. Click System Settings, click System / IT Settings, and then click Language Files.

- 2. Click the language you want to enable or disable.
- 3. Select or click to clear the **Enabled** check box.

Edit Language				0	×
Language Code:		Native Name	Show		
de-DE: German (Germany)	•	Deutcsh	All		~
Default Translation		Preferred Name			
de-DE: German (Germany)	۲	German			
Area Filter	Text	Entries			8
All Areas — My Tasks	Curren	t Default Text	Translated Text		
- Reports					
Notifications System Settings Components Document - Template - Bulk Editor Workflow	The foll softwar product	owing sets forth attribution notices for open source that may be contained in portions of the PolicyTech	Der nachstehende Text enthält Zuordnungsmeldungen für Open-Source-Software, die in Teilen von PolicyTech-Produkten enthalten sein kann.		^
Other	Source		Quelle		
	Generic	Item	Generisches Element		-
		Page 1 of 223 (4457 iter	ns) < 🤇 [1] 2 3 223 🔊	>>>	
			Jump to Page	1	
			Enabled Cancel	Sa	ve

4. Click Save, and then close the Edit Language window.

Module Manager

Use **Module Manager** to activate or deactivate add-ons and to refresh WordModule*Plus* features.

REGISTERED ADD-ONS	0
Office Online (BETA)	
DF Converter	
PDF Converter (Powerpoint Document)	
Document Module	
Questionnaire Module (EEX) Learn more about other available add-ons	
WORD MODULE	
♂ Refresh PDF search index ●	
Cancel	Save

Registered Add-ons

In the **Registered Add-ons** area of **Module Manager**, several modules can be activated or deactivated.

PDF Converter

PDF Converter exports a copy of all approved Microsoft[®] Word documents to a temporary folder where a third-party application—Neevia Document Converter Pro—converts them into PDF format. PolicyTech then displays the PDF version of those documents to readers, which eliminates the need for readers to have Word licenses.

- If your PolicyTech site is hosted by NAVEX Global, simply select PDF Converter, and then click Save, to activate it.
- If PolicyTech is installed on your organization's premises, you must complete a setup process before activating PDF Converter in Module Manager. See <u>Set Up PDF Converter</u> for details.

Public Viewer

Public Viewer is a separately purchased, advanced feature module that adds an option for opening a document for viewing and reading by anyone you give the URL. You can restrict access to a specific range of IP addresses. For additional information about or to purchase this module, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

After purchasing Public Viewer and submitting the new registration code you were given, the **Public Viewer** option appears in **Module Manager**. Select **Public Viewer**, and then click **Save** to activate it.

Note: The **Public Viewer** option is not selectable when only the **Questionnaire Module** is selected.

Document Module

This module is enabled by default and provides the ability to create, publish, and attest to having read documents. You can disable this module only if the **Questionnaire Module** is enabled.

Important: Disabling the **Document Module** has no effect on existing documents. Re-enabling this module gives users immediate access to all documents they could access before the **Document Module** was disabled.

Questionnaire Module

Enabling this module provides the ability to create stand-alone questionnaires that can be created and distributed independent of documents

Notes:

- The Questionnaire Module is currently in beta and will likely change or be enhanced as beta testing feedback is received.
- The Questionnaire Module setting has no effect on questionnaires included in documents.

Word Module

Refresh supported files: Click this option to request that all Word documents have their inserted document properties updated. (See "Inserting Document Properties" in the <u>User's Guide</u> for a description of the **Insert Properties** feature.) If **PDF Converter** is currently enabled, all Word documents are requeued for conversion to PDF files (although only those that have changed since the last conversion are actually reconverted).

Important: This option is not available if your PolicyTech site is hosted by NAVEX Global.

Refresh PDF search index: Click this option to have PolicyTech flag all imported, text-based PDF files to be scanned and indexed so users can search the text within those PDF files. This option is especially useful after upgrading PolicyTech from a previous version that did not support the indexing of PDF files.

Note: This option does not apply to PDF files created from Word documents via **PDF Converter**, which are indexed each time the source document is updated and are then reconverted to PDF.

Set Up PDF Converter

How you set up PDF Converter depends on whether your PolicyTech site is hosted by NAVEX Global or is installed on your organization's premises.

- If PolicyTech is hosted, all you need to do is activate PDF Converter in Module Manager. Go to <u>Activate PDF Converter</u> for instructions.
- If PolicyTech is installed on your organization's premises, follow all of the instructions that follow, starting with "Prerequisites."

Prerequisites

Complete the following steps before installing PDF Converter.

Obtain a Neevia Document Converter Pro Serial Number

PolicyTech uses a third-party application—Neevia Document Converter Proto convert Word documents to PDF. You'll be downloading and installing Document Converter Pro in a later step, at which time you'll be prompted for a serial number to activate the application.

If you're newly adding PDF Converter to an existing PolicyTech site or migrating your PolicyTech site to a new server, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123 to obtain a Document Converter Pro serial number.

If you're reinstalling PolicyTech on the same server, use the serial number from the previous Document Converter Pro installation. If you don't know that serial number, contact Client Support at one of the numbers listed above to retrieve it.

Create a Local Administrator Account

On the computer where PDF Converter will be installed (usually the server where the PolicyTech website is installed), you need to create an administrator user account that will be used by PDF Converter.

Note: PDF Converter should not be installed on a server that is an Active Directory domain controller.

- 1. Log in to the computer as an administrator.
- 2. Click Start, and then click Control Panel.
- 3. In the search box, type **user accounts**, and then click **Give other users access to this computer**.
- 4. Click the Advanced tab, and then click Advanced.

User Accounts
Users Advanced
Passwords You can manage the passwords you have stored on this computer
Manage Passwords
Advanced user management
Local Users and Groups can be used to perform advanced user management tasks.
Secure logon
For added security, you can require users to press Ctrl+Alt+Delete before logging on. This guarantees that the authentic Windows logon prompt appears, protecting the system from programs that mimic a logon to retrieve password information.
✓ Require users to press Ctrl+Alt+Delete
OK Cancel Apply

5. In the left panel, right-click Users, and then click New User.

💀 lusrmgr - [Local Users and Groups (Local)]				
File Action View Help (= =) (=) (2) (=)				
Local Users and Groups (Local) Name	Actions			
G New User				
Refresh	DS More Actions			
Help				
Creates a new Local User account.				

- 6. Type a user name, such as pdfconverter.
- 7. Type a password, and then, for **Confirm Password**, type it again.
- 8. Make note of the user name and password.
- 9. Click to clear the **User must change password at next logon** check box.
- 10. Select Password never expires.

New User		? <mark>x</mark>
User name:	pdfconverter	
Full name:		
Description:		
Password:	•••••	
Confirm password:	•••••	
User must char	nge password at next logon	
	hange password	
Password neve		
Account is disa	abled	
Help	Create	Close

- 11. Click **Create**, and then click **Close**.
- 12. In the middle panel, right-click the user you just added, and then click **Properties**.

Iusrmgr - [Local Users and Group	os (Local)\Users]		
File Action View Help (=) (=) (=) (=) (=)	? 🗊		
Local Users and Groups (Local)	Name	Full Name	Actions
Users Groups	admin		Users 🔺
Gloups	🛃 Administrator		More Actions
	💭 pdfconverter	pdfconverter	pdfconverter 🔺
	Set Pas:		More Actions
	Delete		
	Renam	e	
	Proper	ties	
	∢ [Help		
Opens the properties dialog box for t	he current selection		

13. Click the Member Of tab, and then click Add.

pdfconverter Properties	8 22
General Member Of Profile	
Member of:	
🜆 Users	
Select Groups	? ×
Select this object type:	
Groups	Object Types
From this location:	
NECTOR	Locations
Enter the object names to select (examples):	
	Check Names
1	
Advanced OK	Cancel
Changes to a user's group me are not effective until the nex	
Add Remove are not effective until the nex user logs on.	a une the
OK Cancel Apply	Help

- 14. The **From this location** box is auto-filled with the computer name. For **Enter the object names to select**, type **administrators**, and then click **Check Names**. What you typed should be verified and display as **[computer name]\Administrators**.
- 15. Click OK twice.

Install and Activate Microsoft[®] Word

PDF Converter requires access to a working copy of Word 2007 or later on the computer where PDF Converter is installed.

- 1. Install Word.
- 2. Log off from Windows[®], and then log on as the new user you created for PDF Converter.
- 3. Start Word and follow the prompts to activate and configure Word for use by the PDF Converter user.

Copy the Neevia "configs" Folder

If you're reinstalling Document Converter Pro, you can avoid having to enter configuration settings for your new installation by copying the **configs** folder from your previous Document Converter Pro directory structure to the desktop or other easily accessible file system location.

The default folder path is C:\Program Files

(x86)\neevia.com\docConverterPro\configs for a 64-bit (x64) operating system or C:\Program Files\neevia.com\docConverterPro\configs for a 32-bit (x86) operating system.

After completing the new installation, you can then copy the previous **configs** folder into the new Document Converter Pro file structure to restore configuration settings.

Uninstall the Previous Document Converter Pro Version

If you are upgrading to a newer Document Converter Pro version, you need to uninstall the current version using the Windows **Uninstall or change a program** utility before installing the newer version.

Install Document Converter Pro

1. While still logged in as the PDF Converter user, click the following link to download PDF Converter:

Neevia Document Converter Pro 6.7

Important: A Document Converter Pro serial number is tied to a specific version of the application. If you're reusing a serial number, you may need an earlier Document Converter Pro version, which you can download from the <u>Client Resource Center</u>. If you're not sure which version you need, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

2. Run the downloaded file as an administrator and follow the prompts.

3. When you see the **Product Registration** window, type your company name and the serial number you received from Client Support, and then follow the prompts to complete the installation.

Configure Document Converter Pro

Important: If you are reinstalling Document Converter Pro and saved a copy of the **configs** folder from the previous installation, you can copy the **configs** folder into the directory structure of the new installation now, replacing the existing folder and its contents, and skip the remainder of this section.

1. On the desktop or in the **Start** menu, right-click **Document Converter Pro**, click **Run as administrator**, and then, at the **User Account Control** prompt, click **Yes**.

🔅 Neevia Document Converter Pro	-	×
Converter View Settings Help		
Files in queue:		
		_
		- 1
		_
[8:45:34 AM] DC Pro version: 6.7 [8:45:34 AM] Computer Name:		^
[8:45:34 AM] Current User: pdfconverter [8:45:34 AM] Is Admin: True		. 1
[8:45:34 AM] Temp Folder: C:\Program Files (x86)\neevia.com\docConverterPro\temp\\VDC\ [8:45:34 AM] Default System Printer: \\rxeisvcorpfps01\Downstairs Printer		. 1
[8:45:34 AM] Debug Mode enabled: False [8:45:34 AM] Input folders:		. 1
[8:45:34 AM] C:\Program Files (x86)\neevia.com\docConverterPro\DEF_FOLDERS\IN\		. 1
		\sim
Main log Error log		
Started Time: 9:02:12 AM Total threads: 0 Converted docs: 0		

Part of the configuration process is designating a folder in the PolicyTech directory structure where Document Converter Pro will scan for document files it needs to convert and designating another folder where the finished PDF files will be placed. Document Converter Pro also needs to know where you want error logs stored.

2. Click Settings, click Folders, and then click Add Folder.

Input Folder(s)	×
Folder to scan	Output format
C:\Program Files (x86)\neevia.com\docConverterPro\DEF_FOLDERS\IN\	PDF
O Add Folder Settings	

3. Click the button next to the **Folder to scan** box, find and click the following folder, and then click **OK**.

[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\inpdf\

4. Click the button next to the **Destination (Output) folder** box, find and click the following folder, and then click **OK**.

[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\webdocs\

5. The error folder is not automatically created when installing PolicyTech. Copy the **Destination (Output) folder** path, paste it into the **Error** folder box, and then change **webdocs** to **errors** so that it looks like the path below. (The **errors** folder will be added when you run the Document Converter Pro service.)

[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\errors\

		Add I	nput Folder		×
General Settings	Scripting	Document Parsers	File Associations	Advanced Settings	
Folder to scan					
D:\Policy Tec	nnologies (Pol	icy Manager \data \doc	s\inpdf\		
Process Su	bfolders	Delete empty sub	folders Proces	ss All Files in the input folder	
Destination (O	utput) folde	r:			
D:\Policy Ted	nnologies (Pol	icy Manager \data \doc	s\webdocs\		
Copy "Fold	ler to scan" s	tructure 🗌 Keej	p original file extensio	n in the output file name	
Error folder:					
D:\Policy Ted	nnologies\Pol	icy Manager \data \doc	s\errors\		
Copy "Fold	er to scan" s	tructure			
- Folder for orig	inal files:				
Copy "Fold	er to scan" s	tructure			
Output <u>F</u> ormat:	PDF	۷	utput Settings	Watermark / Stationery	
Use <u>P</u> rinter:	Neevia Co	onverter	✓ neeviaPDF a	ddins	
Import	Export			🖌 Apply 🔀 Ca	ancel

Because the PolicyTech document copies are no longer needed after PDF versions of those documents have been created, leave the **Folder for original files** box blank.

- 6. Click **Apply**, and then click **Yes** to confirm that you want PolicyTech document copies deleted once they've been processed.
- 7. Close the Input Folder(s) window.
- 8. Click Settings, and then click Advanced Settings.
- 9. Select Launch as Windows service, and then click configure.

Adv	anced Settings ×
Enable / Disable Parsers Microsoft Word Microsoft Excel Microsoft PowerPoint Microsoft Internet Explorer Microsoft Project Microsoft Visio Microsoft Publisher Microsoft Snapshot Corel WordPerfect CorelDraw WordPro Autodesk Design Review Auto-Detect Installed Parsers	Configuration Folder-specific configuration Show DC Pro Tray Icon Don't prompt for closing confirmation Create log file Debug Mode Launch as Windows service configure Enable clustering Fonts lookup: use mapped fonts Max Conversion Threads: 64 Scan input folder(s) every 1000 ms
🗸 ок	💥 Cancel

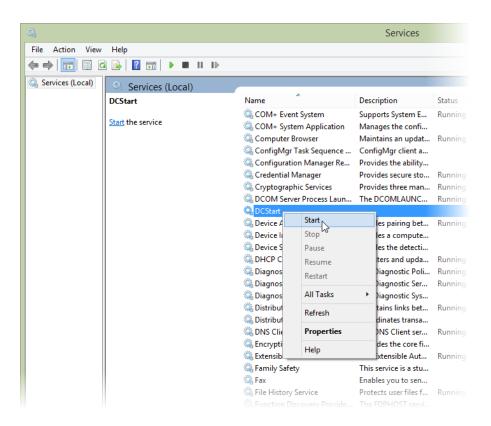
- 10. For **Log On As account**, click **Browse**, click the local user you created for PDF Converter, and then click **Select**.
- 11. For **Password** and **Confirm Password**, type the user's password, and then click **OK** twice.

Configure Windows Service ×
Log On As account: pdfconverter Browse
Password: ******
Confirm Password: *******
Startup type: Automatic V
Adjust DCOM settings for MS Office Apps
Restart Service after 1000 conversions
Restart Service after 10 consecutive conversion errors
✓ OK 🔀 Cancel

12. Close the Neevia Document Converter Pro window.

Start Document Converter Pro Service

- 1. Open Services (found in Windows Administrative Tools).
- 2. Right-click **DCStart**, and then click **Start**.



Activate PDF Converter

1. In PolicyTech, click **System Settings**, click **System / IT Settings**, and then click **Module Manager**.

REGISTERED ADD-ONS	0
PDF Converter	
Document Module	
Cuestionnaire Module (BETA) Learn more about other available add-ons	
WORD MODULE	
 Refresh supported files 1 Refresh PDF search index 1 	
Cancel	/e

2. Select PDF Converter, and then click Save.

Automated User Synchronization

Use the **Automated User Synchronization** settings to schedule a daily, full synchronization of users from an import file. The way you use this feature

depends on whether you have installed PolicyTech on your organization's premises or whether your PolicyTech system is hosted by NAVEX Global. Click the link below that applies.

Automated User Sync for an On-Site PolicyTech Installation Automated User Sync for a Hosted (SaaS) PolicyTech System

Automated User Sync for an On-Site PolicyTech Installation

1. Click System Settings, click System /IT Settings, and then click Automated User Synchronization.

Configuration Settings	Mapping Settings	
Activate Synchroniza	tion- Last Run:	
FILE SETTINGS		
File Location		
Last Modified: Unknown		
File Encoding		
Unicode (UTF-8)		~
FILE SECURITY		
 Anonymous Windows 		
Domain		
Username		
Password		
000000000		
SYNCHRONIZATION	N TRIGGER	
 Monitor File for Char Daily Synchronization 		
Based on system-wide tin	ne zone. 😮	
OTHER SETTINGS		
Sync Log Contains		
All Sync Information		~
Notification Email Addre	occor	
	5353	
comma delimited list		
Synchronization Queue	Length	
500		
Purge Reports Interval (in days)	
0 - Do not purge		

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- 2. In the **File Settings** area, you designate the name and location of the tabdelimited user import file that you will periodically update. (See <u>Importing</u> <u>and Syncing Users from Another Database</u> for details on the file and data formats and on syncing behavior.) Do one of the following:
 - Type a file name to use the following default location in the PolicyTech directory structure:

[*drive*]:\[*path to installation directory*]\Policy Technologies\Policy Manager\data\user import

Note: The default installation folder is **C:\Program Files** for a 32-bit (x86) server operating system or **\C:\Program Files (x86)** for a 64-bit (x64) server operating system.

- Include a network path before the file name to designate a different location.
- 3. (Optional) The default file encoding setting is Unicode (UTF-8), which works in most cases. If you know you need to use a different character encoding system, in the **File Encoding** list, click the appropriate option.
- 4. If your Windows[®] network security is such that PolicyTech will need a user name and password to access the export file, in the **File Security** area click **Windows**, and then fill in the **Domain**, **Username**, and **Password** information. Otherwise, leave **Anonymous** selected.
- 5. In the **Synchronization Trigger** area, select how PolicyTech will know when to upload and sync the import file with the user database.
- 6. In the **Other Settings** area, do any of the following:
 - For Sync Log Contains, click All Sync Information, ONLY Changes, ONLY Errors, or Errors and Changes.
 - Type one or more email addresses separated by commas if you want a notification email sent to specific users whenever an error occurs during the import and sync process.
 - To maintain server performance, you can indicate a queue length (default of 500) to import users in batches.
 - Indicate in number of days how often you want sync reports purged (deleted).

Note: Designating a purge interval is required. If you don't want the sync reports deleted, type **0** (the number zero) in the **Purge Reports Interval** box.

7. Click Save, and then click the Mapping Settings tab.

Important: All of the following must be true before you can access the **Mapping Settings** page.

- There must be a correct file path, including the import file name, entered in the File Location box.
- An import file with a matching name must exist in the designated file location.
- If network security requires credentials to access the folder containing the document, you must have provided the appropriate Windows domain, user name, and password.

Field	Overwrite?	Column Number		Туре	Accepted Characters	
Unique Employee ID*		0 ()	~	Alphanumeric	A-Z, 0-9, _, and -	
First Name*		1 ()	~	Alphanumeric	All	
Middle Name		2 ()	~	Alphanumeric	All	
Last Name*		3 ()	~	Alphanumeric	All	
ob Title		4 ()	~	Alphanumeric	All	1
Site Reference ID*		5 ()	~	Alphanumeric	All	
Department Reference ID*	+	6 ()	~	Alphanumeric	All	
Email Address		7 ()	~	Alphanumeric	A-Z, 0-9, _, and -	
efault Domain None Remove first line? Archive users not in syn Ignore blank values?		th no domain specif	ied in	the import file.)	Cancel Sa	ve

8. In the upper box, map each PolicyTech user field to its corresponding field in the user information file. If the field is optional and no corresponding field exists in the file, or if the field does exist but you don't want the information in that field imported, select **Not in File**.

Note: Fields marked with an asterisk (*) are required.

9. (Optional) Notice the check boxes in the Overwrite? column after Username, Password, and Manager. When performing a sync (importing anytime after the initial import), user name, password, and manager information from the tab-delimited file that is different than the corresponding information in PolicyTech does not overwrite the information in PolicyTech unless you select the Overwrite? check boxes.

- (Optional) If you're using Microsoft[®] Active Directory[®] and have defined domains in PolicyTech (see <u>Active Directory Settings</u>), use **Default Domain** to specify which domain a user should be assigned to by default if the user's record in the import file does not include a domain.
- 11. (Optional) If the first row of your import file contains column names, select **Remove first line?** to prevent creating a user from column names.
- 12. (Optional) If the import file contains all of the users you want included in PolicyTech, you can select **Archive users not in sync file?** to clean out any unneeded user records.

Note: PolicyTech is intentionally designed not to allow all users in a site to be archived at once. In other words, a sync attempt with **Archive users not in sync file?** selected and with no users listed in the sync file will fail. In the rare case where you need to archive all users in the site, you must leave at least one user in the sync file and then manually archive that user after the sync (see <u>Archiving a User</u>).

- 13. By default, blank values are ignored. If you want blank values for unrequired fields in the import file to delete any existing, corresponding values in the PolicyTech user database, click to clear the **Ignore blank** values? check box.
- 14. Click Save.
- 15. When you are ready to activate the automated sync, click the **Configuration Settings** tab, select **Activate Synchronization**, and then click **Save**.

Configuration Settings	Mapping Settings
Activate Synchronizat	ion- last Run:
FILE SETTINGS	
File Location	
Last Modified: Unknown	
File Encoding	
Unicode (UTF-8)	

Automated User Sync for a Hosted (SaaS) PolicyTech System

Because you do not have direct access to the server hosting your PolicyTech installation, you must use a tool called User Provisioning Service to get your sync files to the PolicyTech server. See the Installation & Configuration Guide: User Provisioning Service for details.

Automated Department Synchronization

Use the **Automated User Synchronization** settings to activate a daily, full synchronization of departments from an import file. The way you use this feature depends on whether you have installed PolicyTech at your site or whether your PolicyTech system is hosted by NAVEX Global. Click the link below that applies.

Automated Department Sync for an On-Site PolicyTech Installation

Automated Department Sync for a Hosted (SaaS) PolicyTech System

Automated Department Sync for an On-Site PolicyTech Installation

1. Click System Settings, click System / IT Settings, and then click Automated Department Synchronization.

When changes are detected automatically be updated to			departments will 🛛 🔞		
MAP FILE FORMAT					
The map file must be tab-de	elimited in the follow	ing format:			
Department Reference ID	Department Name	Site Reference I	D		
1	Department A	Site A			
2	Department B	Site B			
Note: The first row will be ig	gnored.				
MAP FILE LOCATION					
File Location					
			Validate File Save		

2. In the **File Location** box, type the network path—including the file name to a location on the network where you will periodically save a tab-delimited department import file.

Note: The expected data format for the import file is shown in the **Map File Format** area.

- 3. Click Save.
- 4. Whenever you need to update departments in PolicyTech, copy a department import file (with the name specified in the **File Location** box) into the sync folder (specified by the path in the **File Location** box).

PolicyTech will detect the new file and sync its contents with the PolicyTech department records.

Note: While syncing, if the reference ID of a department in the mapping file differs from that of the corresponding department already in the system, a new department will be created with the reference ID from the mapping file as the department name.

Automated Department Sync for a Hosted (SaaS) PolicyTech System

Because you do not have direct access to the server hosting your PolicyTech installation, you must use a tool called User Provisioning Service to get your sync files to the PolicyTech server. See the <u>Installation & Configuration Guide:</u> User Provisioning Service for details.

View Logs

PolicyTech keeps logs of all errors and email receipts, which can be especially useful when troubleshooting an issue with Client Support.

To view a log,

1. Click System Settings, click System / IT Settings, and then click View Logs.

ete			
hoose Log Type: ERROR	•	Convert	
Check All	File size	{"LogType":"error","ServerData":("Date":"2018-10- 19716:03:042","ProductVersion":10.6.0.82","WebServer":"LKO-PTQA- WEB01"),"Requestinfo":	
ERROR_2018_10_19	3 KB	{"RequestURL":"https:// .policytech.com/D/dotnet/db/ConnectionSett	
ERROR_2018_10_18	8.3 KB	ings.aspx", "RemoteAddress": "10.64.111.80", "ServerName": .policyte ch.com", "UserID": "1"}, "Exception":	
ERROR_2018_10_17	7.3 KB	{"InnerExceptionType":"System.Data.SqlClient.SqlException","InnerExceptio	
ERROR_2018_10_16	1.8 KB	nMessage":"Cannot open database \"Data46\" requested by the login. The login failed.\r\nLogin failed for user 'PTech'.","InnerSource":".Net	
ERROR_2018_10_15	221.2 KB	SqlClient Data Provider","InnerStackTrace":" at	
ERROR_2018_10_11	6.5 KB	System.Data.SqlClient.SqlInternalConnectionTdsctor(DbConnectionPoollde ntity identity, SqlConnectionString connectionOptions, SqlCredential	
ERROR_2018_10_03	7.5 KB	credential, Object providerInfo, String newPassword, SecureString newSecurePassword, Boolean redirectedUserInstance, SolConnectionString	
ERROR_2018_10_02	16.9 KB	userConnectionOptions, SessionData reconnectSessionData,	
ERROR_2018_09_17	3.1 KB	DbConnectionPool pool, String accessToken, Boolean applyTransientFaultHandling)\r\n at	
		System.Data.SqlClient.SqlConnectionFactory.CreateConnection(DbConnecti onOptions options, DbConnectionPoolKey poolKey, Object poolGroupProviderInfo, DbConnectionPool pool, DbConnection owningConnection, DbConnectionOptions userOptions)r/n at System.Data.ProviderBase.DbConnectionFactory.CreatePooledConnection(DbConnectionPool pool, DbConnection owningObject,	

- 2. Do any of the following:
 - Error logs are shown by default. To display another log type or all logs, use Choose Log Type.

- To view a log, click its name.
- To delete a log, select it, and then click **Delete**.

Theme Manager

Use Theme Manager to customize various aspects of the user interface, including the color scheme, logo, and custom banner.

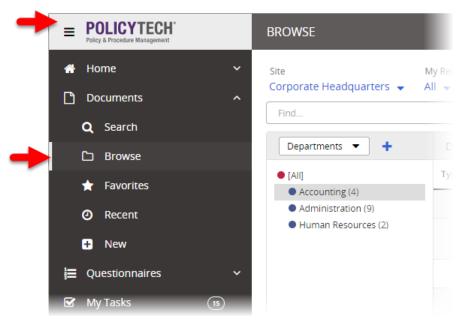
Color Scheme

- 1. Click System Settings, click System / IT Settings, and then click Theme Manager.
- 2. In the Color Scheme tab, do any of the following:
 - For **Theme**, select **Dark** or **Light**. This changes the background color of the left navigation panel and the header above the main display pane.

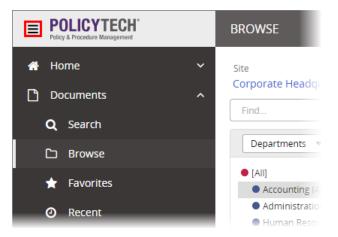
Note: The change will not be made until you click Save.

	DLIC & Procedur	TECH.	THEME	E MANAGER 🌢 Douglas Johnson 👻
	ime icumer	v nts v		r Scheme Logo Area Custom Banner
j≣ Qu	lestion	naires 🗸 🗸	Them	
🗹 My	/ Tasks	(15)		······································
lılıl Re	=	POLICYTECH	Accer	tt Background Accent Text THEME MANAGER & Douglas johnson
🔅 Sys		Policy & Procedure Management		
Co	*	Home	~	Color Scheme Logo Area Custom Banner
Us	C	Documents	~	Theme
Do	}≡	Questionnaires	~	Light V
Sys	Ľ	My Tasks	15	Accent Background Accent Text
	<u>lait</u>	Reports		#edecec X ▼ #000 X ▼
	٥	System Settings	^	
		Company Setup	~	Primary Button Background Primary Button Text
		User Setup	~	
		Document Setup	~	
		System / IT Settings	^	Cancel
		Registration Info		
		Check for Updates		
		Database Manager		
		Email Settings		
]	Login Settings		
		Language Files		
		Module Manager		
		Automated User Synchronization		NAVEX global'
		Automated Dept. Synchronization		Privacy Statement Terms of Use Policy Share

 The Accent Background option affects the background of the rectangular logo area in the upper left corner and the "selected" indicator in the sidebar menu.



The **Accent Text** option affects the **Toggle Sidebar** icon as well as the custom logo labels (see <u>Logo Area</u> below).



For **Accent Background** and **Accent Text**, select a color or type an RGB or hexadecimal color code.

heme			
Dark	•		
Accent Background		Accent Text	
#edecec	× -	#000	× -
		R: 237	Cancel Save
		R: 237 G: 236	Cancel Save
			Cancel Save

 The Primary Button Background and Primary Button Text options affect action buttons (such as Save in the Color Scheme tab) throughout the PolicyTech application.

Dark	•		
Accent Background		Accent Text	
#edecec	× -	#000	× -
Primary Button Background		Primary Button Text	
#3265d7	× -	#FFF	× -

For **Primary Button Background**, and **Primary Button Text**, select a color or type an RGB or hexadecimal color code.

3. Click Save.

Logo Area

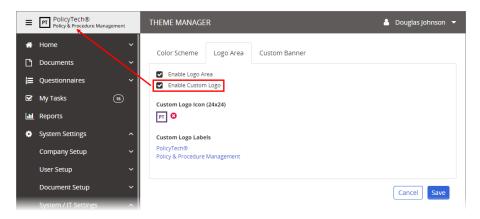
- 1. Click System Settings, click System / IT Settings, and then click Theme Manager.
- 2. Click the **Logo Area** tab, and then do any of the following to customize the rectangular area in the upper left corner.

POLICYTECH Policy & Procedure Management	_ T	THEME MANAGER	💄 Douglas Johnson 🔻
🖀 Home	~	Color Scheme Logo Area Custom Banner	
Documents	~		
📜 Questionnaires	~	Enable Logo Area Enable Custom Logo	
🗹 My Tasks 🛛	15		
and Reports			Cancel
System Settings	~		
Company Setup	~		

• To hide the logo area, click to clear the **Enable Logo Area** check box.

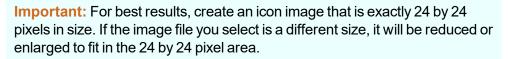
POLICYTECH Policy & Procedure Management	THEME MANAGER	💧 Douglas Johnson 🔻
Home Home Occuments Questionnaires	Color Scheme Logo Area Custom Banner	
THEME MANAGER		💄 Douglas Johnson 🔻
	Color Scheme Logo Area Custom Banner	
☞ My Tasks ుs		Cancel

• To create a custom logo, make sure **Enable Logo Area** is selected, and then select **Enable Custom Logo**.



PT

To change the logo, under **Custom Logo Icon** click **2** to display the **Browse** button. Click **Browse**, and then select a graphic image file to replace the following icon in the upper left corner of PolicyTech page:



To change the text displayed in the logo area, under **Labels** click a line of text to display the **Edit** form. If you have multiple user interface languages enabled (see <u>Language Files</u>), you can enter different text for each language. When finished, click **Save**.

Edit		×
English (English) (en-US)		
PolicyTech®		
Nederlands (Dutch) (nl-NL)		
PolicyTech®]
Francais (French) (fr-CA)		
PolicyTech®]
Français - France (French - France) (fr-FR)		
PolicyTech®]
Deutsch (German) (de-CH)		
PolicyTech®]
		•
[Cancel	Save

Notes:

- The top line of text will always be 14 pixels in height and the bottom line will always be 12 pixels.
- To change the text color, use the Accent Text option in the Color Scheme tab.
- 3. Click **Save** to apply your changes.

Custom Banner

You can enable and customize the legacy PolicyTech banner.

policytech					
POLICYTECH Poly & Procedure Management		SEARCH			着 Douglas Johnson 👻
者 Home	~			0	
Documents	^				
Q Search		Site Corporate Headquarters 👻	My Relationship		
🗅 Browse		Search			Q
🛧 Favorites					
🗿 Recent	_				

- 1. Click System Settings, click System / IT Settings, and then click Theme Manager.
- 2. Click the **Custom Banner** tab, and then select **Enable Custom Banner**.

Color Scheme	Logo Area	Custom Banner			
Enable Custom	Banner				
Show Custom Bann	ner on				
Desktop Browse	ers				
Mobile Browser	s				
Mobile App					
Banner Height (px)					
100					
Top Left Image		Repeating Backgro		Logo On Banne	-
TOD Left Image					r i i i i i i i i i i i i i i i i i i i
-			bunu	-	
0	on		Sund		
0	on		Sund	-	
Banner Logo Positi From Left From Right		0	Vertical Offset of		
Banner Logo Positi From Left From Right		0			-
Banner Logo Positi From Left From Right Horizontal Offset of 22			Vertical Offset of		-
Banner Logo Positi From Left From Right Horizontal Offset o			Vertical Offset of		
Banner Logo Positi From Left From Right Horizontal Offset of 22			Vertical Offset of		
Banner Logo Positi From Left From Right Horizontal Offset of 22			Vertical Offset of	Elogo (px)	Cancel

3. Do any of the following:

- For Show Custom Banner on, select where you want the banner to appear.
- For Banner Height, type a number of pixels. Changing the default setting (100 pixels) simply changes the size of the frame that contains the banner images; it does not change the size of the banner images themselves. The banner height should typically be the same as the height of the top left and repeating background images.
- The legacy PolicyTech banner is comprised of three images—Top Left Image, Repeating Background, and Logo On Banner—as shown in the screenshot below.



To change a banner image, click ⁽²⁾ to display the **Browse** button. Click **Browse**, and then select a graphic image file.

Notes:

- The **Repeating Background** image is duplicated to fill space on the right as the browser window is widened.
- To revert to a default image, click ^O next to an image thumbnail, and then click **Save**.
 - Use the Banner Logo Position, Horizontal Offset of Logo, and Vertical Offset of Logo settings to precisely position the logo image in relation to the banner's top and left edges or top and right edges.
 - Use the Logo URL and Logo Hover Text settings to make the logo image a link to a website.
- 4. Click Save.

Upgrading to Theme Manager 9.5

If your PolicyTech system has been upgraded to version 9.5 from a previous version and you customized your previous version's theme, you may be able to restore some of your previous customizations.

Important: Because of the complete remodeling of the PolicyTech user interface in 9.5, certain customizations from previous versions no longer apply. Also, due to security concerns, NAVEX Global no longer allows the uploading of customized .css and .html files. Customizations you may have made to the styles.css and titlebar.html files cannot be carried forward into PolicyTech 9.5.

If you customized the banner graphic files (logo.gif, titlebar.jpg, and titlebar_ bg.jpg), you can use those again in PolicyTech 9.5. Simply select them using the **Top Left Image**, **Repeating Background**, and **Logo On Banner** options in Theme Manager (see <u>Theme Manager</u>).

Note: The btn_button.gif graphic is no longer used.

Widget Settings

Use **Widget Settings** to enable widgets as part of the setup process for integrating PolicyTech with SharePoint using Web Parts. See <u>SharePoint</u> Integration via Page Viewer Web Part for details.

Redact Tool

Important: The Redact Tool is available free of charge but must be enabled in your registration code. If you have a need for this tool, contact Customer Support to have it enabled.

The Redact Tool lets you search for and redact personally identifiable information (PII) in hard-to-find or otherwise inaccessible areas of the PolicyTech database. These areas would typically not contain PII, but PolicyTech makes no determination of what is or is not PII. The Redact Tool lets you search these areas that could possibly contain PII and make that determination for yourself. You select a specific data type and the text you want to search for, and then the tool finds and replaces matching text with generic text that is not personally identifiable.

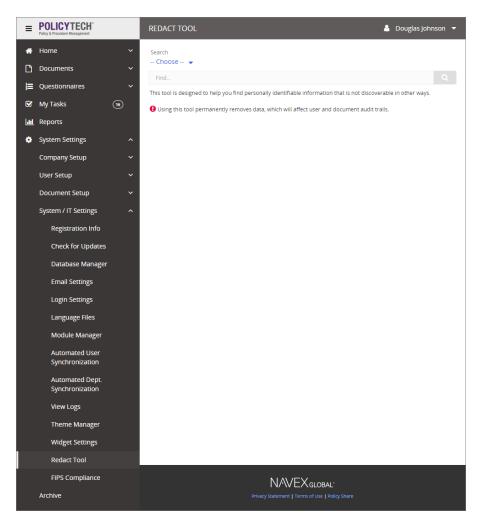
The redaction text is in the following format:

Redacted by User [unique PolicyTech-generated user ID] on [date]

Important: Be aware that the Redact Tool is destructive and use it with extreme caution. Redacted data cannot be restored and may break audit trails and reports.

To use the Redact Tool:

- 1. Log in as a global administrator.
- 2. Click System Settings, click System / IT Settings, and then click Redact Tool.



3. Under Search, select a data type, and then click OK.

Search	×
	A
Choose	
Change Log	
Discussion Text	
Discussion Title	
Document Keywords	
Document Note Body	
Document Note Subject	
Document Owner Instructions	
Document State Change Log	
Document Title	
Document Version Change Summary	
Group	
Questionnaire Answer	
Questionnaire Answer Task Instructions	Cancel OK

- 4. In the **Find** box, type part or all of the text you need to find, and then click
- 5. For the data value you want to redact, click , and then check the **Details** information to make sure it is actually what you need to redact.

Details	ж
THE FOLLOWING WILL BE REDA	ACTED:
First Name	Lena
Middle Name	
Last Name	Anders
Email Address	landers@email.com
Unique Employee ID	landers-5/16/2018 9:51:27 PM
Username	****
	Close Redact

6. Click **Redact**, and then click **Confirm**.

The data value is shown in **Results** with the redaction text in place of the original value.

Note: In the screenshot below, the redaction text is shown three times, once each for the user's first, middle, and last names that were redacted.

earch			
ser 👻			
anders			® Q
earches the first, middle, and last n	ame of all users that have been deleted from the	Archive.	
Results			
Matching Value			
Redacted by User 2 on 10/19/201	8 Redacted by User 2 on 10/19/2018 Redacted by	' User 2 on 10/19/2018	ø
15 30 60		Page 1 of 1 《 〈	> »

FIPS Compliance

You will see this option only if you have upgraded from a PolicyTech version earlier than 7.0. The method used to encrypt passwords in those versions (the widely-used MD5 message digest algorithm) does not meet the Federal Information Processing Standard (FIPS) requirements published by the United States government. To ensure FIPS compliance, users' passwords are reencrypted using a FIPS-approved algorithm upon first login after PolicyTech has been upgraded to version 7.0 or later. You can use the **FIPS Compliance** option on the **System / IT Settings** menu to see how many users have logged in to the current version of PolicyTech and thus have had the encryption of their passwords converted. This option is removed once all passwords have been converted.

To check FIPS compliance,

- 1. Click **PREFERENCES**.
- 2. Click System / IT Settings, and then click FIPS Compliance.

Important: If you don't see the **FIPS Compliance** option, then all users' passwords are already encrypted using the FIPS-compliant algorithm.

= POLICYTECH	FIPS COMPLIANCE	💄 Douglas Johnson 🔻
🔅 System Settings 🛛 🔨	FIPS COMPLIANCE	
Company Setup 🗸 🗸 🗸 🗸	Conversion Progress:	
User Setup 🗸 🗸 🗸 🗸	22.92% 37 left out of 48	
Document Setup 🗸 🗸 🗸	Enable FIPS compliance	
System / IT Settings ^		
Registration Info		
Check for Updates		
Database Manager		
Email Settings		
Login Settings		
Language Files		
Module Manager		
Automated User		
Synchronization		
Automated Dept.		
Synchronization		
View Logs		
Theme Manager		
Widget Settings		
FIPS Compliance	NAVEX _{global} .	
Archive		

 (Optional) If you want to disable all MD5-encrypted passwords immediately, click Enable FIPS compliance. This immediately makes PolicyTech FIPS-compliant, but you will then need to manually reset affected users' passwords before they can log in again (see <u>Resetting a</u> <u>User's Password</u>).

API Keys

Important: This feature is only available if it has been enabled. See <u>Enable</u> an Advanced Feature Add-On for details.

API keys are for use by programmers when integrating third-party applications with PolicyTech documents through the PolicyTech API. Custom programming

is required in order to connect to the PolicyTech API from another application. For an example of third-party application integration using the PolicyTech API, refer to <u>Sharepoint Integration via Federated Search</u>.

Note: Using the PolicyTech API only gives access to documents assigned the **AII Users** or **Public** security level. Documents assigned **Restricted - High** or **Restricted - Severe** are not accessible.

Follow these steps to generate an API key you can give to the developer responsible for doing custom programming:

- 1. Click System Settings, click System / IT Settings, and then click API Keys.
- 2. Click New.

+ New Image: Content of the second sec		8
API Keys		
Corporate Headquarters	Choose an API Key or an Action	

3. Type a display name. This is for your own use in managing keys.

Add API Key
Create a Display Name for your API Key and assign appropriate Site Access
Display Name
Key
(Key will be generated after save)
Sites
 Corporate Headquarters Manufacturing Sales & Support Office
Automatically select new sites as they get created.
Cancel

The **Key** box is not editable. A key will be generated automatically when you save the form.

4. (Optional) To limit the IP addresses (server connections) that can access PolicyTech, in the IP Range(s) box type one or more IP ranges containing the addresses of the servers that will talk to PolicyTech through the API. Type ranges in the following format: xxx.xxx.xxx.xxx.xxx.xxx.xxx.xxx. xxx.xxx.xxx.xxx.xxx.xxx.xxx

Note: You can enter the IP address in both IPv4 (32 bit) and IPv6 (128 bit) formats.

- 5. In the Sites box, select only those sites you want the API to have access to.
- 6. (Optional) Select Automatically select new sites as they get created.
- 7. Click **Save** to generate the key.
- 8. Copy the key and send it to the developer who will be doing the custom programming.

Regenerating or Deleting a Key

If you ever feel that a key has been compromised, disable the key by regenerating or deleting it.

- 1. Click System Settings, click System / IT Settings, and then click API Keys.
- 2. Click the key name to show its details.
- 3. Do either of the following:
 - To regenerate the key, click C to the right of the Key box, and then copy and send the new key to the programmer.
 - To delete the key, click **Delete**, and then follow the prompts to back up the PolicyTech database. When the backup is finished, in the Delete API Keys window click Yes. Then create a new key if necessary.

You should now see one of the following warnings, depending on whether your PolicyTech system is hosted by NAVEX Global (first warning) or installed on your organization's premises (second warning).

Do one of the following:

- If your PolicyTech system is hosted by NAVEX Global, click Continue.
- If you're prompted to back up your database, click Back Up Database, click OK, and then. when the backup is finished, click Close. Because backing up the database automatically logs you out of PolicyTech, log back in and repeat steps 1 and 2 above. Then, on this step, click Continue.

WARNING!	×
Bulk actions may not be reversible. Please exercise extreme caution in this area.	
Continu	ie
Back Up Database	×
Back Up Database Bulk actions may not be reversible. Please exercise extreme caution in this area. It is highly recommended that you back up the database before proceeding.	×

Click the red **Delete** button, and then create a new key if necessary.

he following have been ma	rked for archival:	Ū
API Key 1		*
		Ψ.

The Archive

Whenever one of the following is archived, it is moved to the **Archive**, where it is stored indefinitely for future reference, unless you restore or permanently delete it.

- Site
- Department
- Department group
- Job title
- Job title group
- User
- Writer, reviewer, approver, or assignee group
- Category
- Template
- Document

To restore or permanently delete an item from the Archive,

- 1. Click System Settings, and then click Archive.
- 2. Select an item type.

Select	×
Choose	
Categories	
Departments	
Documents - Published	
Documents - Templates	
Documents - Unpublished	
Job Titles	
Questionnaires - Published	
Questionnaires - Templates	
Questionnaires - Unpublished	
Sites	
User Groups	
Users	
Cancel	

Notes:

- Documents Published and Questionnaires Published are for documents and questionnaires that were automatically archived when new versions of those documents/questionnaires were published.
- Documents Unpublished and Questionnaires Unpublished are for manually archived draft documents/questionnaires.
- By default, 15 items of the type you select are displayed per page. Click
 30 or 60 at the bottom left to increase the number shown.
- 5. (Optional) Use **Find** or turn on column filters (click **\$**, and then click **Show Column Filters**) to find an item in a long list.

Notes:

- With filters on, start typing in a filter box to limit the list to only those items containing matching column text.
- By default, the filter operator is **Contains**. To change the filter

operator, point to \mathbf{T} after the filter box, and then click a different operator, such as **Starts with** or **Equals**.

- To clear a column filter, point to **T**, and then click **Reset**.
- 6. Do one of the following:
 - Select one or more items individually.
 - Select the check box in the first column header to select all items listed in the current page.

			0 0
Drag a	a column header h	ere to group by that column Find	Q
✓	Reference #	Title	
	1	Account Collections Form (v.1)	Restore
	2	Accounts Payable and Cash Distribution (v.1)	Restore
	3	Bad NSF Checks (v.1)	Restore
	295	Family and Medical Leave (v.1)	Restore
	291	Safety Guidelines (v.1)	Restore
15 3	30 60	Page 1 of 1 《	< > >

- 7. Do one of the following:
 - Click Restore Selected, and then click OK.

Note: Archived published documents and questionnaires must be restored one at a time by clicking **Restore** to the right of the document/questionnaire title.

• Click **Delete Selected**, click **Yes** to confirm, and then click **OK**.

Important: The **Archive** is intended as a permanent storage area, and we recommend that you not delete any items from the **Archive** as you may find that you need to access those items in the future.

 To export the currently displayed list, click , and then click Export to Excel.

Document and Questionnaire Manipulation

For general instructions on working with documents and questionnaires, see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the User's Guide.

As an administrator, you can make changes to any accessible document's or questionnaire's workflow status or to its elements.

Changing a Document's or Questionnaire's Workflow Status

Changing Document or Questionnaire Elements

Changing a Document's or Questionnaire's Workflow Status

As an administrator, you can force a document or questionnaire from one workflow status to another. See the sections below for details:

Returning a Document or Questionnaire to Draft Status

Setting a Document or Questionnaire as Approved

Manually Archiving a Document or Questionnaire

Restoring an Archived Document or Questionnaire

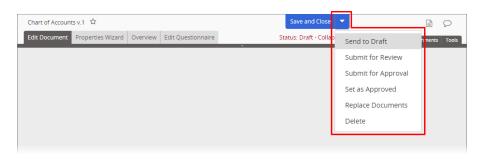
Forcing Submission for Periodic Review

Returning a Document or Questionnaire to Draft Status

As an administrator, you can return any document or questionnaire currently in the Review or Approval status back to draft.

Notes:

- If changes need to be made to a document/questionnaire in the Pending or Published status, you or the document owner must create a new version of the document/questionnaire. See "Doing a Periodic Review and Creating a New Version" in the User's Guide for details.
- A document's owner can also send an owned document/questionnaire back to Draft.
- 1. Find and open the document or questionnaire you need to send back to Draft status (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the <u>User's Guide</u>).
- 2. Do one of the following:
 - If the document/questionnaire is in Collaboration status, click , and then click Send to Draft.



 If the document/questionnaire is in Review or Approval status, click Options, and then click Send To Draft.

Statu	Send to Draft	Attachments Too
	Submit for Approval	
	Set as Approved	
	Edit in Current State	

3. (Optional) Write a reason for sending the document/questionnaire back to draft.

Send to Draft				×
Comments (Opt	ional)			
X 0 6	🔂 ' 🧠 🖉 ' 🐴 ' X²	x,'≣ ≋∃'₫ ₫'@		
Normal	~ Arial	✓ (Font Size) ✓ E	J <u>U</u> S ≣	ΞΞ'
Post to Disci	ussion Board 😧		Ca	incel Save

4. Click Save, and then in the Results window, click OK.

The document owner receives a task notification that the document/questionnaire needs to be resubmitted for review or approval. Any reviewers or approvers who have not yet completed their assigned tasks for that document/questionnaire are notified that they no longer need to complete those tasks.

Setting a Document or Questionnaire as Approved

There may be times when an administrator or will need to set a document or questionnaire as approved without going through the normal review and approval process. For example, documents may have already been reviewed and approved outside of PolicyTech and therefore do not need to be reviewed and approved after importing them. An administrator who completes the **Set As Approved** action will be listed in the **Approver Status** page as having approved that document/questionnaire, and any other reviewers and approvers who have not completed their assigned tasks will be marked with a skipped status.

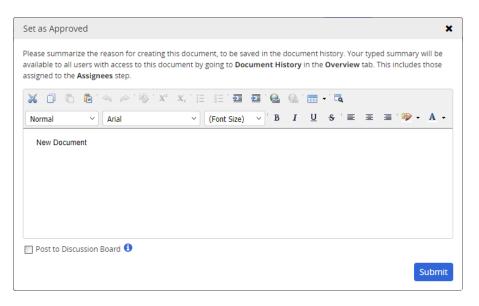
- 1. Find and open the document or questionnaire you need to set as approved (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the User's Guide).
- 2. Do one of the following:
 - If the document/questionnaire is in Draft or Collaboration status, click , and then click Set as Approved.

Code of Conduct v.1 ☆	Submit to Writers	Submit for Review	▼ ■ ♀
Edit Document Properties Wizard Overv	status:	Draft - Draft	Submit for Approval
			Set as Approved
			Replace Documents
			Delete
			Save and Close

 If the document/questionnaire is in Review or Approval status, click Options, and then click Set As Approved.

Computer Security Incident Rep v.1 🛱		Options 🔻	P P
View Document Properties Wizard Overview Edit Questionnaire	Stat	Send to Draft	Attachments Tools
		Submit for Approval	
		Set as Approved	
		Edit in Current State	
			1

- 3. An alert appears showing the assignees (writers, reviewers, or approvers) who will be skipped if you continue. Click **OK**.
- 4. Type your reason for setting the document/questionnaire as approved.



- (Optional) To add what you wrote to this document's/questionnaire's discussion board, click **Post to Discussion Board** (see "Working with Discussions" in the <u>User's Guide</u> for details on adding recipients and making the discussion private).
- 6. Click Submit, and then click OK.

Manually Archiving a Document or Questionnaire

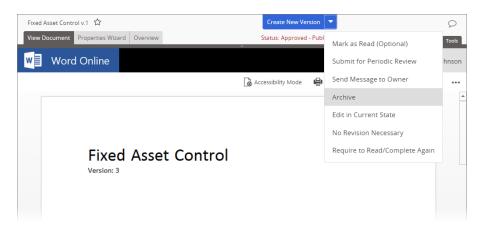
You can manually archive any document or questionnaire in the Draft, Pending, or Published status.

- Find and open the document or questionnaire you want to archive (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the <u>User's Guide</u>).
- 2. Do one of the following:
 - If the document/questionnaire is in Published status, click , and then click Archive.

With WordModulePlus enabled

Account Collections Form v.1 🏠	Create New Version			\mathcal{O}
View Document Properties Wizard Overview	Status: Approved - Publ	Mark as Read (Optional)	ichments	Tools
		Submit for Periodic Review		
		Make Comment		
		Archive		
		Edit in Current State		
		No Revision Necessary		
		Require to Read Again		

With Office Online integration enabled



If the document/questionnaire is in Pending status, click **Options**, and then click the **Archive**.

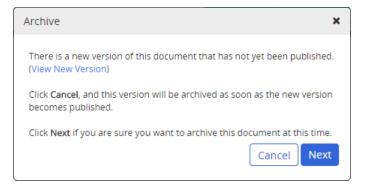
With WordModulePlus enabled

Job Description - Accounting M v.1 🟠	Options 🔻	
View Document Properties Wizard Overview Sta	Mark as Read (Optional)	Attachments Tools
	Create New Version	
	Make Comment	
	Archive	
	Edit in Current State	
	Change Compliance	

With Office Online integration enabled

Fixed	Asset Control v.2 🏠			Options 🔻		Q
View	Document Properties Wizar	d Overview	Statu:	Mark as Read (Optional)		Tools
w	Word Online			Create New Version	Douglas Jo	hnson
			Accessibili	Send Message to Owner	Immersive Reader	
				Archive		*
				Edit in Current State		
	Fixed Version: 3	l Asset Control				

2. (Conditional) If a new version of this document/questionnaire has been started and currently resides in the Draft, Collaboration, Review, or Approval status, you will see the following alert after clicking **Archive**.



Do one of the following:

- If you decide not to manually archive this document/questionnaire but instead let it be automatically archived as soon as the new version is published, click Cancel.
- To continue with archiving this document/questionnaire now, click Next.
- 4. In the large box, type a reason for archiving the document/questionnaire.

Archive	×
Please explain why you are archiving the document.	
Send Notifications To Document Owner - Alison, Todd (Tester);	*
💥 🗇 🛍 💁 🖉 (X* X,) 🗄 🖽 🖬 🤮 🍓 🎬 📢 🗖	
Normal → Arial → (Font Size) → B I U S E Ξ Ξ 🖤	
A -	_
Title	
🗹 Post to Discussion Board 📀	
Make Private (Visible only to me, those selected to receive notifications, and administrators.) A Private comments will be visible in the Change Summary.	
Cancel	/e

5. (Optional) Do any of the following:

 By default, no one is notified that the document/questionnaire has been archived. The document owner's name is added as a suggested recipient, but will not receive notification via your organization's email system unless you select the name.

- To add notification recipients, click Send Notifications To. To add writers, reviewers, or approvers currently assigned to this document/questionnaire, click the corresponding tab, and then select user names. To include any other user as a notification recipient, click the Other Users tab, and then select users by department or job title, or search for and select specific user names. When you're finished adding recipients, click OK.
- The first 70 characters of your message text are automatically inserted in the **Title** box. Change the title text if desired.
- If you don't want this change summary added to the discussion board, click to clear **Post to Discussion Board**. (The change summary will still be accessible from the **Version History** page of the document's/questionnaire's **Overview** tab. See "About the Version History Page of the Document Overview" in the <u>User's Guide</u> for details.)
- If the change summary is posted to the discussion board, anyone with access to the document/questionnaire by virtue of their role or system permission assignments can view the discussion. To restrict access to only those selected as recipients and administrators, select Make Private. (The change summary will still be accessible from the Version History page of the document's/questionnaire's Overview tab.)
- 6. Click Save.

Restoring a Manually Archived Document

An archived document or questionnaire can be restored as long as a new version of the document/questionnaire has not been approved.

- 1. Find and open the document or questionnaire you want to restore (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the <u>User's Guide</u>).
- 2. Click Restore.

With WordModulePlus enabled

Code of Conduct v.2 🏠	Restore		Q
View Document Overview	Status: Archived - Archived	Attachments	Tools

With Office Online integration enabled

Fixed Asset Control v.2	Restore	_
View Document Overview	Status: Archived - Archived	Tools
Ward Online		Douglas Johnson
	🔓 Accessibility Mode 🛛 🖶 Print 👂 Find 🔃 Imm	ersive Reader •••
		· · · · · · · · · · · · · · · · · · ·

3. Type the reason for restoring the document/questionnaire.

Restore	×
Are you sure you want to restore this document back to status: Approved? Please write an explanation to be kept with the document history on why this document is being restored.	
🐰 🗇 🛍 🛸 🖉 🐵 👋 👘 x, x, 1 🗄 🖽 🥶 🚱 🚱 🖽 🔸	
Normal \checkmark Arial \checkmark (Font Size) \checkmark B I \underline{U} S $\overset{\cdot}{\equiv}$	
Ξ Ξ ' [™] · Α ·	
Post to Discussion Board 😮	
Cancel Yes	

4. (Optional) To also add your typed text as a new discussion, select **Post to Discussion Board**.

Note: The change summary text is always accessible from the **Overview**, whether or not it is posted to the discussion board. See "About the Version History Page of the Overview" in the <u>User's Guide</u> for details.

5. Click **Yes** to move the document/questionnaire back to Pending or Published status.

Note: When a document/questionnaire is restored to Pending or Published status, incomplete reading/completion tasks are reactivated. If the document/questionnaire was set to be due on a date interval (a specific number of days after the reading/completion task was assigned) or the **Recurrence** option was set, the interval starting date is reset to when the document/questionnaire was restored.

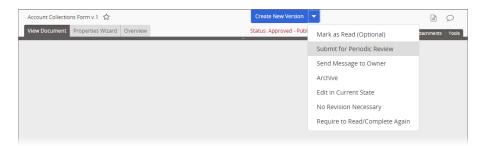
Restoring an Archived Document or Questionnaire

See <u>The Archive</u> for instructions on restoring an archived document or questionnaire.

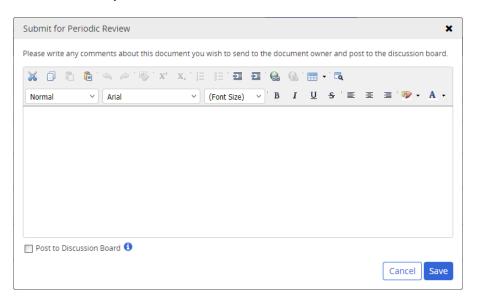
Forcing Submission for Periodic Review

As an administrator, you can set an approved document or questionnaire as immediately due (today) for review. Doing so creates a periodic review task and sends the document owner two emails. One is the email usually sent at the beginning of the periodic review warning period and includes a due date of the day you force the periodic review submission. The second email indicates that you have submitted the document/questionnaire for periodic review and includes the message, if any, that you include when you force the periodic review.

- 1. Find and open the published document or questionnaire you want to submit for review.
- 2. Click , and then click **Submit for Periodic Review**.



3. (Optional) Type a reason for submitting the document/questionnaire for review today.



- 4. (Optional) Click **Post to Discussion Board** (see "Working with Discussions" in the <u>User's Guide</u> for details on selecting notification recipients and making a discussion private).
- 5. Click Save.
- 6. In the **Results** window, click **OK**, and then close the document/questionnaire.

Changing Document or Questionnaire Elements

As an administrator, you have several options for making changes to others' documents and questionnaires. Depending on a document's/questionnaire's status, you may be able to make changes directly as if you were the document owner, or you may need to use the **Edit in Current State** (EICS) feature, as shown in the tables below.

Document		Editing Method by Status									
Element	Draft	Col- laboration	Revie- w	Approv- al	Pend- ing	Pub- lished	Archive- d				
Content (Edit Document tab)	Direc t*	Direct	EICS [†]	EICS	EICS	EICS	Not editable				
Properties (Properties Wizard tab)	Direct	Direct	Direct	Direct	Direct	Direct	Not editable				
Questionnair e (Edit Questionnair e tab)	Direct	Direct	EICS	EICS	EICS	EICS	Not editable				

Changing Document Elements

*Edit in same way as the document owner would.

[†]Use the Edit in Current State feature.

Changing Stand-Alone Questionnaire Elements

Ques-	Editing Method by Status									
tionnaire Ele- ment	Draft	Col- laboration	Revie- w	Approv- al	Pend- ing	Pub- lished	Archive- d			
Content (Edit Questionnair e tab)	Direc t*	Direct	EICS†	EICS	Not editabl e	Not editable	Not editable			
Properties (Properties Wizard tab)	Direct	Direct	Direct	Direct	Direct	Direct	Not editable			

*Edit in same way as the document owner would.

[†]Use the Edit in Current State feature.

See the following sections for detailed editing instructions:

Editing a Document or Questionnaire as a Document Owner Would (direct editing)

Editing a Document or Questionnaire in Its Current Status

In addition to the above mentioned elements, an administrator can also edit a document's/questionnaire's change summary while the

document/questionnaire is any status except archived. See <u>Editing a</u> Document's or Questionnaire's Change Summary for details.

Editing a Document or Questionnaire as a Document Owner Would

As an administrator, you can edit any of a document's or questionnaire's elements (content, properties, and in-document questionnaire) wherever a document owner can edit these elements. You can edit them in the statuses indicated below without affecting a document's/questionnaire's workflow status and without the necessity of using the **Edit in Current State** feature:

Element	Directly Editable in These Statuses
Content (document's or stand-alone questionnaire's)	Draft, collaboration
Properties	All except archived
In-document questionnaire	Draft, collaboration

Note: While you can edit an existing document/questionnaire as an administrator, you cannot create documents/questionnaires unless you've also been assigned the document owner or proxy author role.

For detailed instructions on editing document elements, see the following sections in the User's Guide:

"Writing a Document"

"Creating a Questionnaire"

"Assigning Properties"

"Creating a Document Questionnaire"

Editing a Document or Questionnaire in Its Current Status

As an administrator, you can use the **Edit in Current State** feature to make necessary changes to a published document without having to create a new version of the document and send it through the review and approval process again. You can also use **Edit in Current State** for a document or questionnaire in Review or Approval without causing it to be sent back to draft.

Note: You cannot edit the content of a published stand-alone questionnaire in its current state.

Edit Document/Questionnaire Content

- 1. Find and open the document in the Review, Approval, Pending, or Published status, or find and open the questionnaire in the Review or Approval status (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the User's Guide).
- 2. Do one of the following:
 - If the document is in Review, Approval, or Pending status, or if the questionnaire is in Review or Approval status, click Options, click Edit in Current State, and then click OK.

Hiring Policy v.1 🏠	Revise 💌	Q
View Document Properties Wizard Overview Edit Questionnaire	Status: In Approv	Tools
	Set as Approved	
	Edit in Current State	

 If the document/questionnaire is in Published status, click , click Edit in Current State, and then click OK.

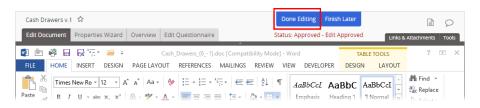
Fixed Asset Control v.1 🛱	Create New Version 💌	5
View Document Properties Wizard Overview	Status: Approved - Publ Mark as Read (Optional)	Тос
	Submit for Periodic Review	
	Send Message to Owner	
	Archive	
	Edit in Current State	
	No Revision Necessary	
	Require to Read/Complete Ag	ain

- 3. With the **Edit Document** or **Edit Questionnaire** tab (in a stand-alone questionnaire) selected, make changes to the content.
- 4. Click Done Editing.

If the document/questionnaire is in **Review** or **Approval** status, click **Done Editing** to save your changes and keep the document/questionnaire open in read-only mode, or click **Save and Close**.

Hiring Policy v.1	☆							Done Ec	liting Sa	ve and Close			Q
Edit Document	Properties \	Nizard	Overview	Edit Questionna	aire	*		Status: In A	Approval - I	Edit in Approval	Links	& Attachments	Tools
AutoSave 💽 Off	0 🕒 🤗	BR	17 C	; -	Hiri	ng_Policy_(3	3351).doc	c			Jim W	/oolf 📧	×
File Home	Insert	Design	Layout	References	Mailings	Review	View	Developer	Help		at you want to do	🖻 Share	· 🖓
Paste Date	i • 1	1 • A	A Aa -	* = =		•	AaBbCcDc	AaBbCcDc	AaBbo			(+) WebEy	

If the document/questionnaire is in Pending or Published status, click **Done Editing**.



- 5. If the document/questionnaire is in Review or Approval status, you can now close it. If the document is in Pending or Published status, continue with the next step.
- 6. In the Done Editing window, explain the changes you made.

Please summarize the changes between this version of this document and the previous version.	Done Editing			×		
Normal ✓ (Font Size) ✓ B I U S ' E E ' ● A Fixed a minor typo.	Please summarize the changes between this version of this document and the previous version.					
Fixed a minor typo.	🔏 🗇 🖺 👼 ' 🗠 🖉 ' X² X₂ '	: ::::::::::::::::::::::::::::::::::::	G. i 🌐 📲 🖬			
Post to Discussion Board 🕄	Normal Y Arial	✓ (Font Size) ✓ B	I <u>U</u> \$'≣ ≣	≣'®∕•А•		
	Fixed a minor typo.					
	Post to Discussion Board ()					
Send Email Notification to Approvers	Send Email Notification to Approvers			Cancel Save		

7. (Optional) Select **Post to Discussion Board** if you want to make the changes summary available for discussion. (For details on selecting users as notification recipients or making the discussion private, see "Working with Document Discussions" in the User's Guide).

Notes:

- If the document is in the Pending or Published status, only the document owner and assigned approvers receive email notification that the document has been changed. Assigned reviewers and designated assignees do not receive notification unless you post the change summary to the discussion board and add reviewers and assignees as notification recipients.
- If the document/questionnaire is in Review or Approval status, no email notifications are sent. If users should be notified, it may be best to create a new version (see "Doing a Periodic Review and Creating a New Version" in the <u>User's Guide</u>) and either set it as approved (see "Setting a Document as Approved" in the <u>User's Guide</u>) or send it through the standard review and approval process (see "Submitting a Document or Questionnaire for Review" or "Submitting a Document or Questionnaire for Approval" in the <u>User's Guide</u>).

8. (Optional) If **Send Email Notification to Approvers** is not already selected, select it to send an email notification to approvers.

Note: If the **Send Email Notification to Approvers** option is selected and not changeable (grayed out), then that option has been selected in the **Default Properties** in **Document Setup** (see <u>Comments/Discussions and</u> <u>Notifications</u>)

9. Click Save, and then, in the Results window, click OK.

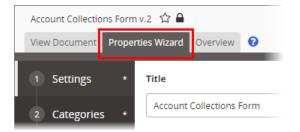
Note: A new snapshot of the document/questionnaire is taken when it is saved. Previous snapshots are accessible, along with change summaries, in the **Version History** page of the **Overview** (see "Working with the Document Overview" in the <u>User's Guide</u>).

10. Close the document/questionnaire.

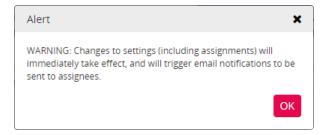
Change Properties

As an administrator, you can make changes directly (without having to use **Edit in Current State**) to most properties for documents or questionnaires in any active (not archived) status.

 Find and open the document/questionnaire you want to change (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the <u>User's Guide</u>), and then click the **Properties** Wizard tab.



2. (Conditional) If the document/questionnaire is in Pending or Approved status, an alert is displayed explaining that any properties you change will take immediate effect on this approved document/questionnaire. Click **OK** to close the alert.



- 3. Make necessary changes.
- 4. Click Save, and then close the document/questionnaire.

Edit a Document Questionnaire

Follow the instructions below for the status of the document whose questionnaire you need to modify.

Note: You cannot edit a stand-alone questionnaire in its current state.

Draft, Collaboration, Review, or Approval

As an administrator, you can make changes to the questionnaire in any document you have access to that is in Draft, Collaboration, Review, or Approval status just as if you were the document owner or an assigned proxy author. For instructions on adding or making changes to a questionnaire, see the "Creating a Document Questionnaire" section in the User's Guide.

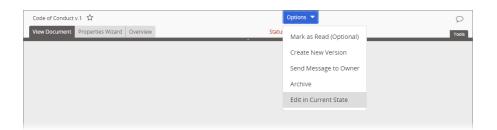
Pending or Published

To add or make changes to a questionnaire in a document that is in the Pending or Published status, you must use the **Edit in Current State** feature.

- 1. Find and open the document you want to change (see "Searching for a Document or Questionnaire" or "Browsing for a Document or Questionnaire" in the <u>User's Guide</u>).
- 2. Do one of the following:
 - If the document is in Published status, click , click Edit in Current State, and then click OK.

Fixed Asset Control v.1 🛱	Create New Version	Q
View Document Properties Wizard Overview	Status: Approved - Publ Mark as Read (Option	nal)
	Submit for Periodic R	eview
	Send Message to Ow	ner
	Archive	
	Edit in Current State	
	No Revision Necessar	у
	Require to Read/Com	iplete Again

 If the document is in Pending status, click Options, click Edit in Current State, and then click OK.



- 2. Click the Edit Questionnaire tab.
- 3. Do one of the following, depending on what you see.
 - If a questionnaire has not yet been added to this document, you will see the window shown below. Click Create Questionnaire, and then see the "Creating a Document Questionnaire" section in the User's Guide for further instructions.

Questionnaire		
A questionnaire has not been created	d yet.	
Would you like to create one now?		
	Close	Create Questionnaire

 If a questionnaire has previously been added to this document, you will see the window shown below. Select one of the three options described below.

Questionnaire				
You are attempting to edit the questionnaire on an approved document.				
What would you like to do?				
 Create a New Version of the Questionnaire 				
This will create a new version of the questionnaire, which should be done only when absolutely necessary as it will affect the ability to run questionnaire reports. If you decide to create a new version, the old version will remain active during revision.				
You will be editing a temporary version of the questionnaire. To deactivate the old version and activate the new version click Done Editing.				
O Disable Current Questionnaire				
 Restrict results to administators and the Document Owner 				
Close Continue				

• If you need to make changes to the questionnaire's questions and answers or to questionnaire settings (other than the **Confidentiality** or **Disable/Enable Questionnaire** setting), click **Create a New**

Version of the Questionnaire, and then click Continue. You are taken to a copy of the existing questionnaire where you can make needed changes (see the "Changing a Questionnaire" section in the User's Guide for help).

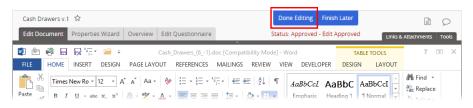
- This option lets you change the Enable/Disable Questionnaire setting without having to create a new version of the questionnaire. The option label depends on the current state of the questionnaire. If it is currently enabled (available to any assignee of this document), you will see Disable Current Questionnaire; if it is currently disabled, you will see Enable Current Questionnaire. Select the option, click Continue, click OK, and then click Close. You are returned to the Edit Document tab.
- This option lets you change the **Confidentiality** setting without having to create a new version of the questionnaire. As with the previous option, this option label varies. It will say either Restrict results to administrators and the Document Owner or Make results available to anyone who can see questionnaire reports. Both options apply to the two management questionnaire reports, Questionnaire Reports by Document and Questionnaire Reports by User. By default, anyone with access to this document and with an assigned role that grants access to the abovementioned questionnaire reports can generate these reports and see questionnaire results. This includes the document owner, any administrator with access to the document's site, any user assigned the report manager role, and any user assigned the manager role (which grants access to Questionnaire Reports by User only). You can restrict questionnaire report access to only the document owner and administrators.

Important: Changing the **Confidentiality** setting applies to the questionnaire in all versions of the current document. For example, if the document you're currently editing is in the published status and a new version of this document is currently in approval, changing this setting changes it in both of those document versions.

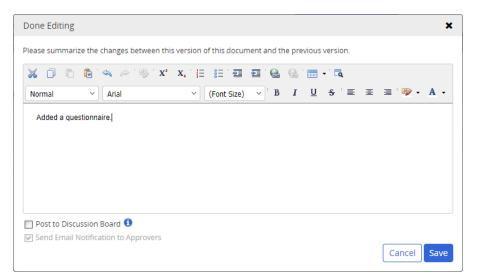
Note: Restricting questionnaire report access affects only the management questionnaire reports. It does not affect each user's ability to run personal questionnaire reports.

To change this setting, click it, and then click **OK** to clear the warning. Click **Continue** to apply the change, click **OK**, and then click **Close**.

5. Click Done Editing.



6. In the Done Editing window, explain the changes you made.



 (Optional) Select Post to Discussion Board if you want to make the changes summary available for discussion. (For details on selecting users as notification recipients or making the discussion private, see "Working with Discussions" in the <u>User's Guide</u>).

Note: Only the document owner and assigned approvers receive email notification that the document has been changed. Assigned reviewers and designated assignees do not receive notification unless you post the change summary to the discussion board and add reviewers and assignees as notification recipients.

8. (Optional) If **Send Email Notification to Approvers** is not already selected, select it to send an email notification to approvers.

Note: If the Send Email Notification to Approvers option is selected and not changeable (grayed out), then that option has been selected in the Default Properties in Document Setup (see <u>Comments/Discussions and</u> Notifications)

- 9. Click Save, and then, in the Results window, click OK.
- 10. Close the document.

Editing a Document's or Questionnaire's Change Summary

A change summary is created whenever a draft document or questionnaire is submitted to review or submitted directly to approval (skipping the review status). As an administrator, you can make changes to a document's/questionnaire's change summary while it is in any status except archived.

Important: You can access the editing feature on major versions only (such as 1.0). It is not available when viewing minor version change summaries (1.1, 1.2, 1.3, etc.).

- 1. Open a document/questionnaire in any status except archived.
- 2. Click the Overview tab, and then click Version History.
- 3. In the **Changes Summary** column, for a major version (with a .0 extension), click **View**.

Note: The version history may list archived versions, whose change summaries cannot be edited.

Version 2 -	 view Docur 						seded Documents	s Status	
	Draft: 1	06/21/2018	View	(Compare 👻	-None-		Current: I	in Approval
2.0 -		06/21/2018	-None-		Compare 👻	-None-		Draft Revi	
Version 1 -)	You are view	ing this version of	the docum	ent.					
1.0 06	6/21/2018	View		Compare 👻	-None-		Published	0	Major Version

4. Click Edit.

Changes Summary	0	×
Account Collections Form (21), Reference # 1 Edit		
New Version		
	Clos	e

5. Make changes, click **Save**, and then close the document/questionnaire.

Notes:

- To return to the existing change summary without saving changes, click **View** or **Close**.
- You cannot save an empty change summary.

Generate Administrative Reports

For a description of and instructions on generating administrative reports, see "Login Reports" in the <u>Reports Supplement</u>.

Optional Add-Ons and Modules

PolicyTech offers several advanced features as optional add-ons and modules. Add-ons are features that are included with basic licenses and that only need to be enabled. Modules are separately purchased features.

Enable an Advanced Feature Add-On

Set Up an Advanced Feature Add-on

Purchase an Advanced Feature Module

Set Up an Advanced Feature Module

Enable an Advanced Feature Add-On

Each of the features described below are included with your purchase of PolicyTech licenses, but they are not enabled by default. To enable an optional advanced feature, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123. When enabling most add-ons you will be given a new registration code.

Add-On	Description
PDF Converter	PDF Converter exports a copy of all approved Microsoft [®] Word documents to a temporary folder where a third-party application—Neevia Document Converter Pro—converts them into PDF format. PolicyTech then displays the PDF version of those documents to readers, which eliminates the need for readers to have Word licenses.
	Important: If PolicyTech is installed on your organization's premises, you'll need to contact Client Support to get a Neevia Document Converter Pro serial number. If your PolicyTech site is hosted by NAVEX Global, you don't need to call Client Support to enable it. You need only to activate it in Module Manager (see <u>Set Up PDF Converter</u>).
Case Management Integration	 Enables integration of EthicsPoint Case Management or IntegriLink with PolicyTech, both of which are NAVEX Global products. From within EthicsPoint or IntegriLink, case investigators can view case-related PolicyTech documents. From within PolicyTech, a user can do the following: Enable the syncing of EthicsPoint issue types or IntegriLink allegation types with corresponding PolicyTech categories

	 Assign issue type or allegation type categories to documents, making them accessible in EthicsPoint or IntegriLink
	 Be assigned the case investigator role, which allows that user to request updates to case-related documents
	 Report an incident or event from within a document
Document Export	Enables the exporting of PolicyTech documents to PDF or or original file formats.
	Note: Depending on your PolicyTech license, this feature may already be enabled. Click System Settings , and then click Document Setup . If you see the Export Documents option, then the feature is already enabled.
PolicyTech API for Integration with SharePoint	Provides a method for returning a list of matching PolicyTech documents in SharePoint search results. The API provides one function—GetDocuments—that retrieves only documents that both match the SharePoint search criteria and meet the following PolicyTech criteria:
Federated Search	 Must be assigned to a site to which the API key has been assigned
	 Must reside in the published status
	 Must have a security level designation of All Users or Public

Set Up an Advanced Feature Add-on

Go to the instructions for the advanced feature add-on you want to set up.

Set Up PDF Converter

Set Up Case Management Integration

Set Up PolicyTech API for Integration with SharePoint Federated Search

Set Up PDF Converter

How you set up PDF Converter depends on whether your PolicyTech site is hosted by NAVEX Global or is installed on your organization's premises.

- If PolicyTech is hosted, all you need to do is activate PDF Converter in Module Manager. Go to <u>Activate PDF Converter</u> for instructions.
- If PolicyTech is installed on your organization's premises, follow all of the instructions that follow, starting with "Prerequisites."

Prerequisites

Complete the following steps before installing PDF Converter.

Obtain a Neevia Document Converter Pro Serial Number

PolicyTech uses a third-party application—Neevia Document Converter Proto convert Word documents to PDF. You'll be downloading and installing Document Converter Pro in a later step, at which time you'll be prompted for a serial number to activate the application.

If you're newly adding PDF Converter to an existing PolicyTech site or migrating your PolicyTech site to a new server, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123 to obtain a Document Converter Pro serial number.

If you're reinstalling PolicyTech on the same server, use the serial number from the previous Document Converter Pro installation. If you don't know that serial number, contact Client Support at one of the numbers listed above to retrieve it.

Create a Local Administrator Account

On the computer where PDF Converter will be installed (usually the server where the PolicyTech website is installed), you need to create an administrator user account that will be used by PDF Converter.

Note: PDF Converter should not be installed on a server that is an Active Directory domain controller.

- 1. Log in to the computer as an administrator.
- 2. Click Start, and then click Control Panel.
- 3. In the search box, type **user accounts**, and then click **Give other users access to this computer**.
- 4. Click the **Advanced** tab, and then click **Advanced**.

User Accounts
Users Advanced
Passwords
You can manage the passwords you have stored on this computer
Manage Passwords
Advanced user management
Local Users and Groups can be used to perform advanced user management tasks.
Advanced
Secure logon
For added security, you can require users to press Ctrl+Alt+Delete before logging on. This guarantees that the authentic Windows logon prompt appears, protecting the system from programs that mimic a logon to retrieve password information.
✓ Require users to press Ctrl+Alt+Delete
OK Cancel Apply

5. In the left panel, right-click **Users**, and then click **New User**.

😣 lusrmgr - [Local Users and Groups (Local)]				
File Action View Help Image: Contract of the second				
Local Users and Groups (Local) Nam	e	Actions		
G New User	sers	Local Users and Groups (Local)		
Refresh	roups	More Actions		
Help				
Creates a new Local User account.				

- 6. Type a user name, such as **pdfconverter**.
- 7. Type a password, and then, for **Confirm Password**, type it again.
- 8. Make note of the user name and password.

- 9. Click to clear the **User must change password at next logon** check box.
- 10. Select Password never expires.

New User	? ×			
User name:	pdfconverter			
Full name:				
Description:				
Password:				
Confirm password:				
User must change password at next logon				
User cannot change password				
Password neve				
Account is disa	bled			
Help	Create Close			

- 11. Click Create, and then click Close.
- 12. In the middle panel, right-click the user you just added, and then click **Properties**.

😣 lusrmgr - [Local Users and Groups (Local)\Users]					
File Action View Help (****) (*****) (************************************					
Local Users and Groups (Local)	Name	Full Name	Actions		
Users	admin		Users 🔺		
Groups	🛃 Administrator 🐼 Guest		More Actions		
	📕 pdfconverter pdfconverter		pdfconverter 🔺		
	🧶 Set Pas	sword	More Actions		
	All Tas	ks 🔸			
	Delete				
	Renam	e			
	Proper	rties			
	∢ Help				
Opens the properties dialog box for the current selection.					

13. Click the Member Of tab, and then click Add.

pdfconverter Properties	8 23
General Member Of Profile	
Member of:	
A Users	
Select Groups	? ×
Select this object type:	
Groups	Object Types
From this location:	
NECTOR	Locations
Enter the object names to select (examples):	
Administrators	Check Names
Advanced OK	Cancel
Changes to a user's group me	
Add Remove are not effective until the next user logs on.	time the
OK Cancel Apply	Help

- 14. The **From this location** box is auto-filled with the computer name. For **Enter the object names to select**, type **administrators**, and then click **Check Names**. What you typed should be verified and display as **[computer name]\Administrators**.
- 15. Click OK twice.

Install and Activate Microsoft[®] Word

PDF Converter requires access to a working copy of Word 2007 or later on the computer where PDF Converter is installed.

- 1. Install Word.
- 2. Log off from Windows[®], and then log on as the new user you created for PDF Converter.
- 3. Start Word and follow the prompts to activate and configure Word for use by the PDF Converter user.

Copy the Neevia "configs" Folder

If you're reinstalling Document Converter Pro, you can avoid having to enter configuration settings for your new installation by copying the **configs** folder from your previous Document Converter Pro directory structure to the desktop or other easily accessible file system location.

The default folder path is C:\Program Files (x86)\neevia.com\docConverterPro\configs for a 64-bit (x64) operating system or C:\Program Files\neevia.com\docConverterPro\configs for a 32-bit (x86) operating system. After completing the new installation, you can then copy the previous **configs** folder into the new Document Converter Pro file structure to restore configuration settings.

Uninstall the Previous Document Converter Pro Version

If you are upgrading to a newer Document Converter Pro version, you need to uninstall the current version using the Windows **Uninstall or change a program** utility before installing the newer version.

Install Document Converter Pro

1. While still logged in as the PDF Converter user, click the following link to download PDF Converter:

Neevia Document Converter Pro 6.7

Important: A Document Converter Pro serial number is tied to a specific version of the application. If you're reusing a serial number, you may need an earlier Document Converter Pro version, which you can download from the <u>Client Resource Center</u>. If you're not sure which version you need, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

- 2. Run the downloaded file as an administrator and follow the prompts.
- 3. When you see the **Product Registration** window, type your company name and the serial number you received from Client Support, and then follow the prompts to complete the installation.

Configure Document Converter Pro

Important: If you are reinstalling Document Converter Pro and saved a copy of the **configs** folder from the previous installation, you can copy the **configs** folder into the directory structure of the new installation now, replacing the existing folder and its contents, and skip the remainder of this section.

1. On the desktop or in the **Start** menu, right-click **Document Converter Pro**, click **Run as administrator**, and then, at the **User Account Control** prompt, click **Yes**.

🔅 Neevia Document Converter Pro	-	×
Converter View Settings Help		
Files in queue:		
		- 1
		- 1
		_
[8:45:34 AM] DC Pro version: 6.7 [8:45:34 AM] Computer Name:		^
[8:45:34 AM] Current User: pdfconverter [8:45:34 AM] Is Admin: True		
[8:45:34 AM] Temp Folder: C:\Program Files (x86) \neevia.com\docConverterPro \temp\WVDC\ [8:45:34 AM] Default System Printer: \rxeisvcorpfps01\Downstairs Printer		
[8:45:34 AM] Debug Mode enabled: False [8:45:34 AM] Input folders:		
[8:45:34 AM] C:\Program Files (x86) \neevia.com\docConverterPro\DEF_FOLDERS\IN\		
		~
Main log Error log		
Started Time: 9:02:12 AM Total threads: 0 Converted docs: 0		

Part of the configuration process is designating a folder in the PolicyTech directory structure where Document Converter Pro will scan for document files it needs to convert and designating another folder where the finished PDF files will be placed. Document Converter Pro also needs to know where you want error logs stored.

2. Click Settings, click Folders, and then click Add Folder.

Input Folder(s)		×
Folder to scan	Output format	
C:\Program Files (x86)\neevia.com\docConverterPro\DEF_FOLDERS\IN\	PDF	
		_
		_
Add Folder 🕺 Edit Settings		

3. Click the button next to the **Folder to scan** box, find and click the following folder, and then click **OK**.

[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\inpdf\

4. Click the button next to the **Destination (Output) folder** box, find and click the following folder, and then click **OK**.

[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\webdocs\

5. The error folder is not automatically created when installing PolicyTech. Copy the **Destination (Output) folder** path, paste it into the **Error** folder box, and then change **webdocs** to **errors** so that it looks like the path below. (The **errors** folder will be added when you run the Document Converter Pro service.)

[*drive*]:\[*path to installation folder*]\Policy Technologies\Policy Manager\data\docs\errors\

		Add Ii	nput Folder		×	
General Settings	Scripting	Document Parsers	File Associations	Advanced Settings		
Folder to scan	Folder to scan:					
D: Policy Tech	nnologies \Po	icy Manager \data \doc	s\inpdf\			
Process Su	bfolders	Delete empty subf	folders Proces	ss All Files in the input folder		
Destination (O	utput) folde	۲ ۲				
D: Policy Tech	nnologies\Pol	icy Manager \data \doc	s\webdocs\			
Copy "Fold	ler to scan" s	tructure 🗌 Keep	original file extension	n in the output file name		
Error folder:						
D:\Policy Tech	nologies\Pol	icy Manager \data \doc	s\errors\			
Copy "Fold	er to scan" s	tructure				
- Folder for orig	inal files: —					
Copy "Fold	er to scan" s	tructure				
Output <u>F</u> ormat:	Output <u>F</u> ormat: PDF V Output Settings Watermark / Stationery					
Use <u>P</u> rinter:	Neevia Co	onverter	✓ neeviaPDF a	ddins		
Import	Export			🖌 Apply	Cancel	

Because the PolicyTech document copies are no longer needed after PDF versions of those documents have been created, leave the **Folder for original files** box blank.

- 6. Click **Apply**, and then click **Yes** to confirm that you want PolicyTech document copies deleted once they've been processed.
- 7. Close the Input Folder(s) window.

- 8. Click Settings, and then click Advanced Settings.
- 9. Select Launch as Windows service, and then click configure.

A	dvan	ced Settings ×
Enable / Disable Parsers Contemporation of the series of	~	Configuration ✓ Folder-specific configuration ✓ Show DC Pro Tray Icon Don't prompt for closing confirmation Create log file Debug Mode ✓ Launch as Windows service configure Enable clustering Fonts lookup: use mapped fonts ✓ Max Conversion Threads: 64 Scan input folder(s) every 1000 ms Color Scheme: Gray ✓
🗸 🗸 🗸	ĸ	🔀 Cancel

- 10. For **Log On As account**, click **Browse**, click the local user you created for PDF Converter, and then click **Select**.
- 11. For **Password** and **Confirm Password**, type the user's password, and then click **OK** twice.

Cont	figure Windows Service	
Log On As account:	pdfconverter Browse	
Log on As account.	biowse	
Password:	******	
Confirm Password:	****	
Startup type:	Automatic 🗸	
Adjust DCOM settings for MS Office Apps		
Restart Service af	ter 1000 conversions	
Restart Service af	ter 10 consecutive conversion errors	
	V OK X Cancel	

12. Close the Neevia Document Converter Pro window.

Start Document Converter Pro Service

- 1. Open Services (found in Windows Administrative Tools).
- 2. Right-click **DCStart**, and then click **Start**.

9			Services	
File Action View	Help			
🔶 🔿 🔚 🖬 🖸	à 🗟 🛛 📰 🕨 🔲 II IV			
🎑 Services (Local)	Services (Local)	-		
	DCStart	Name	Description	Status
		🔍 COM+ Event System	Supports System E	Runnin
	Start the service	COM+ System Application	Manages the confi	
		Computer Browser	Maintains an updat	Runnin
			ConfigMgr client a	
		Configuration Manager Re		
		🔍 Credential Manager	Provides secure sto	Runnin
		Cryptographic Services	Provides three man	Runnin
		🔍 DCOM Server Process Laun	. The DCOMLAUNC	Runnin
		🖏 DCStart		
		Concerned Start	les pairing bet	Runnin
		🔍 Device II Stop 🕫	les a compute	
		Cevice S Pause	les the detecti	
		C Resume	ters and upda	Runnin
		Carling Diagnos Restart	Diagnostic Poli	Runnin
		🔍 Diagnos)iagnostic Ser	Runnin
		🔍 Diagnos 🛛 All Tasks	Diagnostic Sys	
		Distribut Refresh	tains links bet	Runnin
		🔍 Distribut	dinates transa	
		DNS Clie Properties)NS Client ser	Runnin
		Encrypti Help	des the core fi	
		🔍 Extensib	ixtensible Aut	Runnin
		🔍 Family Safety	This service is a stu	
		🔍 Fax	Enables you to sen	
		🔍 File History Service	Protects user files f	Runnin
			. The FDPHOST servi	

Activate PDF Converter

1. In PolicyTech, click **System Settings**, click **System / IT Settings**, and then click **Module Manager**.

REGISTERED ADD-ONS	0
Office Online (RETA) PDF Converter Cocument Module	
 Document Module Questionnaire Module (BETA) Learn more about other available add-ons 	
WORD MODULE	
 Refresh supported files 1 Refresh PDF search index 1 	Cancel Save
l	

2. Select **PDF Converter**, and then click **Save**.

Set Up Case Management Integration

Important: The **Case Management Integration** add-on is included with your purchase of PolicyTech licenses, but it is not enabled by default. To

enable it, contact Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

PolicyTech supports integration with two case management applications: EthicsPoint Case Management, and IntegriLink, which, along with PolicyTech, are all NAVEX Global products

Go to the appropriate link below to set up integration with your case management application.

Integration Setup: EthicsPoint Case Management

Integration Setup: IntegriLink

You can direct those you designate as case managers and assignees to the following <u>User's Guide</u> section: "Using Case Management Integration Features."

Integration Setup: EthicsPoint Case Management

Integrating PolicyTech Policy Management with EthicsPoint Case Management provides the following benefits:

From within EthicsPoint, case investigators can view case-related PolicyTech documents.

From within PolicyTech, a user can do the following:

- Enable the syncing of EthicsPoint issue types with corresponding PolicyTech categories
- Assign issue type categories to documents, making them accessible in EthicsPoint
- Be assigned the case investigator role, which allows that user to request updates to case-related documents
- Report an incident or event from within a document
- Create an open-ended question in a questionnaire that, when answered, creates a case in EthicsPoint

Note: The following instructions are for setting up integration within PolicyTech. See the EthicsPoint documentation for that application's integration setup instructions.

Setting up integration with EthicsPoint consists of the following tasks, which are described in the sections that follow.

- Defining an issue type category
- Setting integration preferences
- Assigning the case manager permission
- Adjusting browser settings

Defining an Issue Type Category

Part of the integration functionality is syncing EthicsPoint issue types with PolicyTech categories. You need to define a top-level category, such as one called Issue Types, that will hold the issue type categories that will be created with the initial sync and then updated whenever a sync is performed thereafter.

Note: To avoid site mismatches between categories and case managers, we recommend making the category available to all sites and then assigning the case manager permission to users at specific sites.

See <u>Adding a Category</u> for general instructions on how to create a category. Add the top-level category only (no subcategories).

Setting Product Integration Preferences

1. Click System Settings, click System / IT Settings, and then click **Product Integration**.

Important: The **Product Integration** option is available only after case management integration has been enabled. See <u>Enable an Advanced</u> Feature Add-On for details.

POLICYTECH Procedure Management	PRODUCT INTEGRATION	
♣ Home ~ □ Documents ~ ↓ Questionnaires ~ ☑ My Tasks (*)	ETHICSPOINT INCIDENT MANAGEMENT () Report Incident URL Test URL)
Image: Reports System Settings Company Setup Third-Party Setup User Setup Document Setup	WEB SERVICE CONNECTION SETTINGS () Web Service URL Username djohnson Password	
System / IT Settings ^ Registration Info Check for Updates Database Manager Email Settings Login Settings	Save and Test Connection Connection Status:Not Connected ISSUE TYPE SYNCHRONIZATION ③ Activate Synchronization Synchronize Now	
Language Files Module Manager Automated User Synchronization Automated Dept. Synchronization	Daily Synchronization Time 2:00 AM HH:MM am/pm Sync to Category Choose A Category DEFAULT CASE CREATION SETTINGS	
Product Integration View Logs Theme Manager Widget Settings Redact Tool FIPS Compliance	Activate Case Creation Tier Issue Type Intake Method	
API Keys Archive	Status Case Type Save and Create Test Case Cancel Save	

- 2. In the **Incident Reporting** area, for **Report Incident URL** type the web address for reporting an incident in EthicsPoint. This is so PolicyTech users can report an incident when reading a policy document that has been assigned an EthicsPoint issue type category.
- 3. In the **Web Service Connection Settings** area, provide the following information:

- Web Service URL: The URL for the EthicsPoint web service.
- Username and Password: A user name and password for logging in to the server hosting the EthicsPoint web service.
- 4. Click **Save and Test Connection**. After a few moments, **Connection Status** should change to **Connected**. If the connection fails, troubleshoot the connection settings and try again until the connection is made.
- 5. In the **Issue Type Synchronization** area, provide the following information:
 - Daily Synchronization Time: The time each day when you want to sync EthicsPoint issue types with their corresponding PolicyTech categories.
 - Sync to Category: Select the category you created to store EthicsPoint issue types.
- 6. Select Activate Synchronization.
- 7. Click Save.
- 8. (Optional) Click Synchronize Now to create the issue type subcategories.
- 9. (Optional) **Default Case Creation Settings** apply only when a document owner enables the selecting of an answer to a questionnaire question to create a case. Do the following to enable and set up this feature:
 - a. Select Activate Case Creation.
 - b. Make selections for **Tier**, **Issues Type**, **Intake Method**, **Status**, and **Case Type**.

Note: The settings you choose here appear as the default settings for the questionnaire creator, who can change these options.

- c. Click Save and Create Test Case.
- d. When you're alerted that the test case has been sent, click **OK**. You can then sign into EthicsPoint to verify that the test case was created.
- e. Click Activate Case Creation.

Assigning the Case Manager Permission

The case manager permission enables a user to request that a document be updated. To assign one or more users as case managers, do the following:

- 1. Create or open the user profile (see <u>Adding a User Manually</u> or <u>Editing a</u> <u>User</u> for general instructions).
- 2. Click the System Permissions tab.

- 3. In the Sites list, click All Sites (Global Permissions) or an individual site.
- 4. In the Available Permissions box, select Case Manager.

awna Gifford		? >
General Information Roles System Permissions Pro	xy Settings Manager	
Select the System Permissions for Tawna from the options below.		
Sites All Sites (Global Permissions)	~	
Available Permissions	Selected Permissions	匬
Category Owner Administrator Company / User System / IT Report Manager Access Site Case Manager	All Sites (Global Permissions) Case Manager	•
	Back Archive Save Save and Close	Next

5. Click Save and Close.

Adjusting Browser Settings

For each PolicyTech user, add the following websites to the trusted sites for that user's browser:

- *.navexglobal.com
- *.ethicspoint.com

Notes:

- The method for adding trusted sites varies depending on the browser and browser version being used.
- The PolicyTech website (*.policytech.com) should already be a trusted site to allow the use of WordModulePlus to edit Word and Excel documents.

Integration Setup: IntegriLink

Integrating PolicyTech with IntegriLink provides the following benefits:

From within IntegriLink, case investigators can view case-related PolicyTech documents.

From within PolicyTech, a user can do the following:

 Enable the syncing of IntegriLink allegation types with corresponding PolicyTech categories

- Assign allegation type categories to documents, making them accessible in IntegriLink
- Be assigned the case investigator role, which allows that user to request updates to case-related documents
- Report an incident from within a document

Note: The following instructions are for setting up integration within PolicyTech. See the IntegriLink documentation for that application's integration setup instructions.

Setting up integration with IntegriLink consists of the following tasks, which are described in the sections that follow.

- Defining an allegation type category
- Setting integration preferences
- Assigning the case manager permission

Defining an Allegation Type Category

Part of the integration functionality is syncing IntegriLink allegation types with PolicyTech categories. You need to define a top-level category, such as one called Allegation Types, that will hold the allegation type categories that will be created with the initial sync and then updated whenever a sync is performed thereafter.

See <u>Adding a Category</u> for general instructions on how to create a category. Add the top-level category only (no subcategories).

Setting Product Integration Preferences

1. Click System Settings, click System / IT Settings, and then click **Product Integration**.

Important: The **Product Integration** option is available only after case management integration has been enabled. See <u>Enable an Advanced</u> <u>Feature Add-On</u> for details.

≡	POLICYTECH [®] Policy & Procedure Management	PRODUCT INTEGRATION	💄 Douglas Johnson	•
* [] []	Home × Documents × Questionnaires × My Tasks (16)	INTEGRILINK Report Incident URL Test URL		0
•	Reports System Settings ^ Company Setup ~ Third-Party Setup ~	WEB SERVICE CONNECTION SETTINGS () Web Service URL Username		
	User Setup × Document Setup × System / IT Settings ^	Password		
	Registration Info Check for Updates Database Manager Email Settings	Client ID Save and Test Connection Connection Status:Not Connected		
	Login Settings Language Files Module Manager	ALLEGATION TYPE SYNCHRONIZATION () Activate Synchronization Synchronize Now Daily Synchronization Time		
	Automated User Synchronization Automated Dept. Synchronization	2:00 AM HH:MM am/pm Sync to Category Choose A Category		~
ļ	Product Integration View Logs Theme Manager Widget Settings Redact Tool	DEFAULT CASE CREATION SETTINGS Activate Case Creation Program	v	7
	FIPS Compliance API Keys Archive	Allegation Type	Cancel Save	

- 2. For **Report Incident URL**, type the web address for reporting an incident in IntegriLink. This is so PolicyTech users can report an incident when reading a policy document that has been assigned an IntegriLink allegation type category.
- 3. In the **Web Service Connection Settings** area, provide the following information:
 - Web Service URL: The URL for the IntegriLink web service.
 - Username and Password: A user name and password for logging in to the server hosting the IntegriLink web service.
 - Client ID: Your organization's identifier for accessing the IntegriLink web service.

- 4. Click **Save and Test Connection**. After a few moments, **Connection Status** should change to **Connected**. If the connection fails, troubleshoot the connection settings and try again until the connection is made.
- 5. In the **Allegation Type Synchronization** area, provide the following information:
 - Daily Synchronization Time: The time each day when you want to sync IntegriLink allegation types with their corresponding PolicyTech categories.
 - Sync to Category: Select the category you created to store IntegriLink allegation types.
- 6. Select Activate Synchronization.
- 7. Click Save.
- 8. (Optional) Click **Synchronize Now** to create the allegation type subcategories.
- 9. (Optional) **Default Case Creation Settings** apply only when a document owner enables the selecting of an answer to a questionnaire question to create a case. Do the following to enable and set up this feature:
 - a. Select Activate Case Creation.
 - b. Select an IntegriLink program, and then select an allegation type.
 - c. Click Save and Create Test Case.
 - d. When you're alerted that the test case has been sent, click **OK**. You can then sign into IntegriLink to verify that the test case was created.

Note: The **Program** and **Allegation Type** settings you choose here appear as the default settings for the questionnaire creator, who can change these options.

Assigning the Case Manager Permission

The case manager permission enables a user to request that a document be updated. To assign one or more users as case managers, do the following:

- 1. Create or open the user profile (see <u>Adding a User Manually</u> or <u>Editing a</u> <u>User</u> for general instructions).
- 2. Click the System Permissions tab.
- 3. In the Sites list, click All Sites (Global Permissions) or an individual site.
- 4. In the Available Permissions box, select Case Manager.

awna Gifford		()
General Information Roles System Permissions Proxy	/ Settings Manager	
Select the System Permissions for Tawna from the options below.		
Sites All Sites (Global Permissions)		
Available Permissions	Selected Permissions	向
Category Owner Administrator Company / User System / IT Report Manager Access Site ✔ Case Manager	All Sites (Global Permissions) Case Manager	4
	Back Archive Save Save and Close	Next

5. Click Save and Close.

Set Up PolicyTech API for Integration with SharePoint Federated Search

For detailed instructions on setting up this API, refer to the <u>SharePoint</u> <u>Integration via Federated Search</u> section in "Appendix E: SharePoint Integration."

Purchase an Advanced Feature Module

You can purchase any of the advanced feature modules described below. Contact Sales at 888-359-8123 (toll-free in the U.S. and Canada) or Client Support at 888-359-8123 if you have questions about or want to purchase a module.

Module	Description
Public Viewer	Adds an option for opening a document for viewing and reading by anyone you give the URL. You can restrict access to a specific range of IP addresses.
	After purchasing the module, see <u>Setting Up the Public Viewer</u> .
Third-Party Contacts	Adds the ability to define contacts from outside your organization, such as vendors or clients, as PolicyTech users. You can then assign them to write, review, or read documents. After purchasing the module, see the <u>Third-Party Contacts</u> <u>Supplement</u> .
Localization Workflow	Important: Depending on your PolicyTech license, the

	Localization Workflow module may or may not be included. Click System Settings, click System / IT Settings, and then click Registration Info. If you see Localization Workflow: Enabled listed, then the module is already enabled.
	Lets you create localized copies from a master document so you can customize copies with site-specific information and translations. After purchasing the module, see the <u>Localization Workflow</u> <u>Supplement</u> .
Export Documents	Important: Depending on your PolicyTech license, the Export Documents module may or may not be included. Click System Settings , and then click Document Setup . If you see the Export Documents option, then the module is already enabled.
	Enables the exporting of documents in the following ways:
	 Simple export: Downloads selected documents in their original file formats to a .zip file
	 Simple export with PDF conversion: Downloads selected documents to a .zip file after converting all included Word files to PDF
	 Export with metadata: Downloads selected documents plus an Excel spreadsheet containing information about each document (document owner, task assignees, date created, and the like)
	 Emergency Document Access (EDA): Downloads selected documents along with a basic viewer for browsing and searching for documents
	 EDA with PDF conversion: Downloads selected documents—after converting all included Word files to PDF—along with a basic viewer for browsing and searching documents
	After purchasing the module, see Exporting Documents.

Set Up and Use an Advanced Feature Module

Go to the instructions for the advanced feature module you want to set up.

Public Viewer

Third-Party Contacts

Localization Workflow

Export Documents

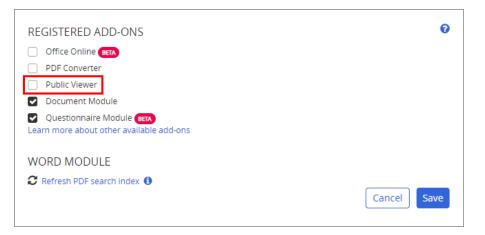
Setting Up Public Viewer

Important: The **Public Viewer** module is an optional feature and must be purchased. If you have questions about or want to purchase the **Public Viewer** module, call Sales at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

Normally, only defined users who log in to PolicyTech can view approved documents. With the **Public Viewer** module, selected approved documents can be published to a public web address viewable by anyone given that address.

To set up the Public Viewer,

- 1. Click System Settings, click System / IT Settings, and then click Module Manager.
- 2. If you have the **Public Viewer** module, you'll see it listed in the **Registered Add-ons** area. Select **Public Viewer**, and then click **Save**.



4. (Optional) You can limit accessibility to the **Public Viewer** web site to only those IP addresses (for computers) that fall within a certain range. With the **System / IT Settings** menu still displayed, click **Login Settings**. In the **Public IP Range(s)** box, type a range of IP addresses in the following format, and then click **Save**.

X.X.X.X-X.X.X.X

To include multiple ranges, separate each range with a comma.

Note: You can also use the IPv6 format to designate ranges.

5. When you activated the **Public Viewer**, a separate web address was automatically generated for each site defined in PolicyTech. You will want

to distribute the web address for each site you want people to have access to. To see the web address, with **System Settings** still expanded, click **Company Setup**, click **Sites**, and then click a site name. The web address is displayed in the **Public Viewer** area.

Note: The Public Viewer takes its default sort settings from the site settings.

SITE INFORMATION	
Name	
Corporate Headquarters	
Reference ID	
Corporate Headquarters	
PTT HILT DISPLAY OPTITIE	\sim
IP Range(s) ()	
PUBLIC VIEWER	
Site URL 🚯	
https:// .policytech.com/?public=true&siteid=1	
DOCUMENT LOGO 🚯	
Import Default Logo	
	Browse Upload File
	browse
Preview 🗐	
None	
	Cancel Save

- Inform document owners that the Public Viewer is available and refer them to the following topic in the <u>User's Guide</u> for instructions on making documents accessible in the Public Viewer: "Making a Document Accessible in the Public Viewer".
- Distribute the **Public Viewer** web address and refer users to the following topic in the <u>User's Guide</u> for instructions on how to view documents: "Reading a Document in the Public Viewer".

Note: When a user opens a document a license is used, and it remains in use for 15 minutes. At the end of that time, the license is made available to another user, even if the first user is still viewing a document. You can see how many concurrent **Public Viewer** licenses you have in **Registration Info** under **System / IT Settings** (see <u>Registration Info</u>).

Setting Up Third-Party Accounts

Important: The **Third-Party Accounts** module is an optional feature and must be purchased. If you have questions about or want to purchase the **Third-Party Accounts** module, call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

For details on setting up and using the Third-Party Accounts module, see the Third-Party Accounts Supplement.

Setting Up Localization Workflow

Important: Depending on your PolicyTech license, the Localization Workflow module is either included or is available as an optional feature module and must be purchased. Click System Settings, click System / IT Settings, and then click Registration Info. If you see the Localization Workflow: Enabled listed, then the module is already enabled. If you have questions about or want to purchase the Localization Workflow module, call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123.

For details on setting up and using the **Localization Workflow** module, see the **Localization Workflow Supplement**.

Appendix: SharePoint Integration

You can configure Microsoft[®] SharePoint[®] Portal Server to access PolicyTech documents using either Federated Search or Page Viewer Web Part. Both methods provide a method for searching and accessing PolicyTech documents, but each has unique functionality, as shown in the table below.

Feature	Federated Search	Page Viewer Web Part
Search PolicyTech documents from within SharePoint	\checkmark	\checkmark
Access documents with All Users and Public security levels	\checkmark	\checkmark
Single search for both SharePoint and PolicyTech with results on the same web page	~	
Access documents with restricted security levels (specifically allowed users only)		\checkmark

Go to the section for your preferred integration method:

Integrate via Federated Search

Integrate via Page Viewer Web Part

SharePoint Integration via Federated Search

You can integrate PolicyTech with SharePoint[®] so that certain PolicyTech documents appear in SharePoint search results.

Important: Using this integration method returns only those documents meeting the following criteria:

- Must be assigned to a site to which the API key has been assigned
- Must reside in the published status
- Must have a security level designation of All Users or Public

Also be aware that, if the SharePoint server is installed on a local server computer, .NET Framework 4.6.2 must be installed on that Windows server.

Choosing an Interface Method

You can use either the default search interface built in to PolicyTech or, if you need more advanced handling of search requests and results, create your own by coding an interface web page (see <u>Search Interface Web Page Details</u>). The instructions that follow apply to both methods.

Activating the PolicyTech API and Creating an API Key

- 1. To activate the API for your PolicyTech installation, call Client Support at 888-359-8123 (toll-free in the U.S. and Canada) or 208-359-8123. A Client Support technician will give you a new registration code.
- 2. Log in to PolicyTech.
- 3. Click System Settings, click System / IT Settings, and then click Registration Info.
- 4. In the Enter Registration Code box, copy and paste the new registration code that Client Support emailed to you, and then click Submit Registration Code.
- 5. Refresh the browser window to reload PolicyTech with new registration code.
- 6. Click System / IT Settings, and then click API Keys.
- 7. Click New.

Add API Key
Create a Display Name for your API Key and assign appropriate Site Access
Display Name
Кеу
(Key will be generated after save)
Sites
 Corporate Headquarters Manufacturing Sales & Support Office
Automatically select new sites as they get created.
Cancel

- 8. Type a name for the new key.
- 9. (Optional) If you want to limit access to PolicyTech via the API, in the **IP Range(s)** box type one or more IP ranges containing the addresses of one or more servers. Type ranges in the following format: xxx.xxx.xxx.xxx. xxx.xxx.xxx, xxx.xxx.xxx.xxx.xxx.xxx
- 10. In the **Sites** box, select only those sites you want SharePoint users to have access to. If you want SharePoint users to also have access to any sites that may be added to PolicyTech in the future, select **Automatically select new sites as they get created**.
- 11. Click Save to generate the key and display it in the Key box.

Leave the **Edit API Key** window open, as you will need to access the key in a later step.

Create and Test a Search Result Source in SharePoint

Important: The instructions that follow are one example of how to configure SharePoint using Office 365[™]. If you're using a different administration tool,

your steps and screens may be different than those below. You may also choose different options to set up your Search Result Source.

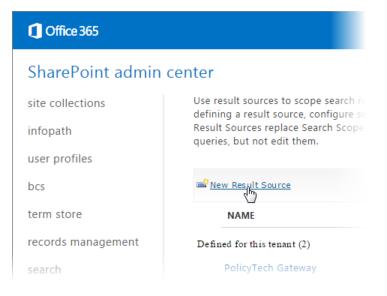
- 1. Log in to Office 365 as an administrator.
- 2. Click Admin, and then click SharePoint.

1 Office 365		Admin 🝷	Ly
Office 365 admin center «		Office 365	
Search users, admin tasks ar 👂	service overview	SharePoint	
DASHBOARD		current health	

3. Click Search, and then click Manage Result Sources.

Cffice 365	
SharePoint admin ce	nter
site collections	search administration
user profiles	Manage Search Schema Create and modify search properties so that users can
bcs term store	Manage Search Dictionaries Create and modify lists of terms which will be used to i
records management	Manage Authoritative Pages Identify high-quality pages that search will use to impr consider less relevant.
search	Query Suggestion Settings
secure store	Show search suggestions as users type in the search bo
apps	Manage Result Sources Create and bodify sources you can query for results. Th from remote sources such as Bing.
settings	Manage Query Rules Create and modify query rules to promote important re ranking.

4. Click New Result Source.



5. Type or select the following settings.

Name	PolicyTech Search
Description	(optional)
Protocol	OpenSearch 1.0/1.1
Туре	SharePoint Search Results
Query Transform	{searchTerms}
Credentials Information	Anonymous: This source does not require authentication

- 6. The **Source URL** you must provide depends on whether you're using the default PolicyTech interface or a custom interface web page.
 - Default PolicyTech interface: Type the URL in the following format.

https://[*your PolicyTech* URL]/api/opensearch/2014/06/?MethodName=GetDocuments&APIKey= [*PolicyTech API key*]&SearchField=ALL&itemsPerPage= {itemsPerPage}&startIndex={startIndex}&SearchTerms= {searchTerms}

Make sure the protocol is https:// (secure). Replace [*your PolicyTech URL*] with the URL used to access your PolicyTech site. Replace [*PolicyTech API key*] with the key you created earlier in PolicyTech Preferences. Your completed URL should look similar to the following:

```
https://samplecompany.policytech.com/api/opensearch/2014/06
/?MethodName=GetDocuments
&APIKey=e3b24f256c7c4dacbbea3f2205d9c6ee
&SearchField=ALL&itemsPerPage={itemsPerPage}
&startIndex={startIndex}&SearchTerms={searchTerms}
```

Note: The URL must be one long string containing no spaces. Line breaks were added to the sample above to accommodate viewing within this documentation format.

- Custom interface web page: see <u>Search Interface Web Page Details</u> below.
- 7. Below the settings, click Save.
- 8. Point your cursor to the white space after the newly added result source name to display a down arrow, click the arrow, and then click **Test Source**.

Cffice 365		Admin	- Ly
SharePoint admin	center		
site collections	Use result sources to scope search result		
infopath	search engines. After defining a result so it. Learn more about result sources. Result Sources replace Search Scopes, wi		
user profiles	use them in queries, but not edit them.	nich are now deprecated.	You can s
bcs			
term store	New Result Source		
records management	NAME		CREA
search	Defined for this tenant (2)	_	10/16/
secure store	PolicyTech Search Provided by the search service (4)	Edit	11:23: 5
apps	InternetSearchResults	Сору	4/18 /2 11:05:5
settings	InternetSearchSuggestions	× Delete	4/18/2 11:05:5
	LocalPeopleSearchIndex	Deactivate	4/18/2 11:05:5
	LocalSearchIndex	Set as	4/18/2 11:05:5
	Provided by SharePoint (16)	Default	11.05.0
	Conversations	Test Source	4/18 /2 11:06: 2
	Documents		4/18 /2 11:05:5

9. When the test finishes, you should see a Succeeded message. Click OK.

Important: If the test fails, try executing it again. If it continues to fail, there is a configuration issue. Check the Result Source settings, especially the source URL. Also check the PolicyTech logs (see <u>View Logs</u>).

Adding and Configuring a Web Part

1. In the SharePoint admin center, click site collections.

G Office 365	
SharePoint admin	center
site collections	Use res configu
infopath	Result
user profiles	🛋 Nev
bcs	Nev
term store	
records management	Define
search	

2. Click the search site.

1 Office 365		
SharePoint admin cen	ter	
site collections	Site Collections	
infopath	🛱 🗙 🔲 🦀 🤐 🎒 🎒	
user profiles	New Delete Properties Owners Sharing Storage Buy S Quota Storage	erver Resource Quota
bcs	Contribute Manage	
term store	Search by URL P	STORAGE
records management	https://	0.00
search	https://	0.03
secure store	https:// -my.share-bint.com	0.00
	http:// -public.sharepoint.com	0.13
apps		
settings		

3. In the site collection properties window, click the Web Site Address link.

		×
site collection p	roperties	
Title Web Site Address	https://	
Primary Administrator	Company Administrator	
Administrators	Company Administrator	
Number Of Subsites	1	
Storage Usage	0.03 GB	
Storage Quota	0.98 GB	
Storage Warning Level	Not set	
Resource Usage	0 resources	
Server Resource Quota	0 resources	
Resource Usage Warning Level	Not set	
	Close	

4. Type any keyword, and then click \mathcal{P} .

s 🕻	✓ EDIT LINKS Search	
	policy	P.

5. In the results page, click 🔅, and then click Edit Page.

Office 365	Admin 🔻	Lee 700 · • ?
We don't have any refiners to show you	policy Everything People Conversations Nothing here matches your search Suggestions • Make sure all words are spelled correctly • Try different search terms • Try more general search terms • Try fewer search terms • Try these tips for searching	Office 365 settings Show Ribbon Shared with Edit page Add a page Add an app Site contents Design Manager Site settings Feedback

6. Click Add a Web Part.

Cffice 365			A	dmin 👻 💵 📷	· ¢ ?	
BROWSE PAGE PUBLISH				Q	SHARE 😭 SAVE 🖂	
Save New CheckIn Properties.	Page History Page Permissions Page URLs X Delete Page	E-mail a Alert Popularity Trends	Preview Page Layout -	Library Settings Permissions View A Pages	Tags & Notes	
Edit	Manage	Share & Track	Page Actions	Page Library	Tags and Notes	
Navigation Zone		A	dd a Web Part			
Add a Web Part	Search Box					
Refinement	policy			Q		
Shared Results: This Web Part shares results from	Search Navigati	on				

7. In Categories, click Search; in Parts, click Search Results; for Add part to, click Main Zone; and then click Add.

Note: If the Add button is not visible, try accessing the page in Internet $\mathsf{Explorer}^{\texttt{R}}$ with Compatibility View enabled.

Categories	Parts	About the part
 Content Rollup Document Sets Filters Forms Media and Content Search Search-Driven Content Social Collaboration 	Refinement Search Box Search Navigation Search Results Taxonomy Refinement Panel	Search Results Displays the search results and the properties associated with them.
Upload a Web Part 🔻		Add part to: Main Zone Add Cancel

- 8. The newly added web part is displayed at the top of the **Main Zone**. Click and drag the new web part below the **Search Navigation** part (or below another Search Result part) so that **Search Box** and **Search Navigation** are the first and second parts at the top.
- 9. In the new web part, click the down arrow near the upper right corner, and then click **Edit Web Part**.

Main Zone						
	Add a Web Part					
	earch Navigation Everything People Conversations Videos					
S	Search Box					
	policy	ρ				
	Gearch Results reference for results in English ▼		Vinimize Close			
	Look in the right place Define result sources that change where results come from.	×	Delete			
	Tailor the look of important result types		Edit Web Part			
	Craft a display template in HTML and a result type rule that controls when to sh Get even more relevant results		Connections			
	Create query rules to promote important results, show blocks of alternate items	,	Export g.			
	Learn more about how to customize search results.					

10. In the settings pane displayed on the right, click **Change Query**.

 Search Results 	×			
Properties for Search Results	\$			
 Search Criteria Query results provided by This Web Part (Search Result: 				
Change query				
Use the "Change Query" dialog to configure what's being searched and which result sour to use.				
Display Templates He	elp			
	elp			
Appearance				
Layout				
Advanced				
OK Cancel App	ly			

11. For **Select a query**, click the name of the result source you created earlier, and then click **OK**.

Build Your Query							
BASICS	REFINERS	SORTING	SETTINGS	TEST			
					Switch to Quick Mode		
	q uery hat content you wa a <u>result source</u> .	int to search by	PolicyTech	Search (Tenant)	Y		

12. Back in the settings pane, expand **Settings**, and then, under **Results control settings**, click to clear the **Show advanced link** and **Show language dropdown** check boxes, as these features are not compatible with the PolicyTech API.

+	Display Templates	Help			
-	Settings	Help			
	Results settings Number of results per page				
	10				
	 Show ranked results Show promoted results Show "Did you mean?" Show personal favorites Show View Duplicates lin Show Search Navigation menu Specify the search center in Search Settings 	k			
[Results control settings Show advanced link Advanced search page URL advanced.aspx Show result count Show language dropdow Show sort dropdown	n			
	Available sort orders (JSON)				

13. Expand Appearance, and then update the web part title.

Appearance	
Title	
PolicyTech Search Results	
Height	

- 14. At the bottom of the settings pane, click **OK**.
- 15. In the alert near the top of the page, click Check it in.

Checked out to you Only you can see your recent changes. Check it in.

- 16. In the next alert, click Publish this draft.
- 17. Type a keyword that you know is contained in one or more PolicyTech documents, and then click *P*.

You should see a list of PolicyTech documents containing the keyword.

Coffice 365	Admin 👻	Los Talles -	¢	?
5>	Everything People Conversations V policy	/ideos	Q	^
We don't have any refiners to show you	Account Collection Process (222) /docview/?docid=34			
	Account Collections Form (463) /docview/?docid=35			
	ActionTest Policy /docview/?docid=12	8		
	Air, Water & Soil Resource Management (218) /docview/?docid=36	i		
	Anti-Bribery_Gifts and Gratuity Policy /docview/?docid=11	3		
	1 2 🕨			
	About 123 results			
	Preferences			

Search Interface Web Page Details

If you decide to program your own interface web page, here's one example of how you could implement it:

- Accept search parameters from the SharePoint server in an OpenSearch formatted URL.
- Send requests to and accepts results from the PolicyTech API using WCF services.
- Format returned results as an XML document in RSS or Atom format.
- Return the results to the SharePoint server.

SharePoint Federated Search Example						
	SharePoint	Search Parameters Results	Search Interface Web Page	Search Parameters Results	PolicyTech API	

Note: The web page can reside on the same web server as SharePoint but doesn't have to.

Coding Resources

OpenSearch.org

Code Sample: Federated Search SQL Server Connector

Windows Communication Foundation Services and WCF Data Services in Visual Studio

Add the Code for the Federated Search HTML to RSS Converter

SharePoint Integration via Page Viewer Web Part

PolicyTech supports configuring Microsoft[®] SharePoint[®] Portal Server to display interface controls and document access directly from PolicyTech via the Page Viewer Web Part. To configure PolicyTech to work with SharePoint, please review the sections below.

Available Web Parts

Click **System Settings**, click **System / IT Settings**, and then click **Widget Settings** to see the PolicyTech Web Parts that can be integrated into SharePoint.

Enable Widgets A Warning		
Document List		
https:// .policytech.com/SharePoint/DocumentList/		۲
Tasks		
https:// .policytech.com/SharePoint/TaskList/		۲
Favorites		
https:// .policytech.com/SharePoint/DocumentList_Favorites/		۲
Reports		
https:// .policytech.com/SharePoint/Reports/		۲
Widget Manager		
https:// .policytech.com/SharePoint/Widgets/		۲
	Cancel	Save

Select **Enable Widgets** to enable SharePoint integration and activate Web Part previews.

Important:

 In previous PolicyTech versions, SharePoint integration was always enabled but is not enabled by default in version 9.5. If you upgraded to 9.5 and were previously using SharePoint integration, you must select Enable Widgets to re-enable the integration. Selecting Enable Widgets allows a PolicyTech data window to appear in SharePoint or other third-party software systems, which could pose a security risk.

Click To preview a Web Part.

You'll come back to Widget Manager later in the setup process to copy and paste widget URLs.

Installing the Web Parts into SharePoint 2007

- 1. Log in to SharePoint. (Your SharePoint user account must have permission to create new pages.)
- 2. Click Site Actions > Create.
- 3. Click Web Part Page.
- 4. Set the desired properties of the new page and click Create.
- 5. Click Add a Web Part.
- 6. Check the box next to Page Viewer Web Part and click Add.
- 7. Click Edit at the top right of the newly added web part.
- 8. Click Modify Shared Web Part.
- 9. On the right, provide the link (links can be found in **Widget Settings** in PolicyTech—see <u>Available Web Parts</u> above.)
- 10. Set the other properties such as width and height as desired.
- 11. Click OK.
- 12. Click Exit Edit Mode at the top right.
- 13. Make sure that the SharePoint integration prerequisites (explained in the next section) have been met before using the web parts.

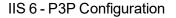
Prerequisites for SharePoint Integration via Web Part

Enabling Third-Party Cookies / Creating a P3P for your Website

Note: This may not be required if PolicyTech is configured to use Active Directory authentication.

SharePoint Page Viewer web parts make use of Iframes for displaying content. When the PolicyTech pages are displayed inside an Iframe, third-party cookies must be permitted for proper functionality. If third-party cookies are not permitted, the user will not be able to log on to the PolicyTech system. To do this, ensure that your P3P policy is in place on your web server.

- Make sure P3P in place in your Custom HTTP Headers as seen below. (Note: We highly suggest applying P3P to the root web server and not the website itself because PolicyTech updates may override P3P settings. If this occurs, P3P will have to be reinstalled each time PolicyTech updates are applied.)
- For more information on P3P's please see the following: http://www.w3.org/P3P/details.html_



🂐 Internet i	BlueDepotStores (Stopped) Properties	
🐚 Eile Act (⇔ → 💽	Web Site Performance ISAPI Filters Home Directory Documents Directory Sequrity HTTP Headers Custom Errors ASP NET	<u>_8×</u>
	Directory Security HTTP Headers Custom Errors ASP.NET	Status
	OK Cancel Apply Help	

IIS 7 - P3P Configuration

Connections	HTTP Response Headers Use this feature to configure HTTP headers that are added to responde to respond to the total sector of total se	
E Sites	Name A Value	Entry Type
🗒 🏅 🔤 Edit Custom HT	TP Response Header 🛛 🔋 🗙	Local
Name: >3P Value: CP="CAO DSP	COR CURa DEVa TAIa OUR DELa BUS IND PH	Local

Adding PolicyTech as a Trusted Site

If your users experience login issues when viewing PolicyTech within the web part, add the URL to PolicyTech as a trusted site in Internet Explorer.